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Building Collaborative Capacity Across Institutional Fields: A Theoretical Dissertation Based on a Meta-Analysis of Existing Empirical Research

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BUILDING COLLABORATIVE CAPACITY ACROSS INSTITUTIONAL
FIELDS: A THEORETICAL DISSERTATION BASED ON A META-
ANALYSIS OF EXISTING EMPIRICAL RESEARCH

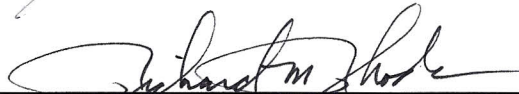
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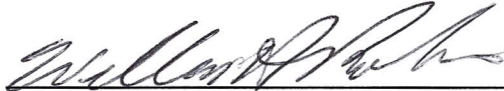
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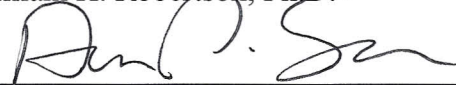
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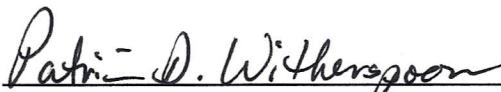
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Dedication

To David V. Carrasco, you have made it possible for me to pursue this dream- you are the love of my life and the foundation of my success.

My boys, Joshua David Carrasco and Jacob Paul Carrasco- may this joint accomplishment instill as sense of fearlessness in you as you pursue your own dreams. Being your mom has been my greatest gift.

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by

VIVIAN CARRASCO

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A special appreciation and gratitude goes to my committee chair, William Johnston, for his guidance, support and encouragement. His advocacy on my behalf allowed me to participate in this conversion allowing for the development of a deeper appreciation for scholarship. Thanks is also in order to my committee members, I appreciate your time and commitment. May this be just the beginning of our collaborations together.

Abstract

This dissertation study folds the existing empirical literature across a broad spectrum of disciplines with the experience of a national collaboration between Fortune 500 corporations, government agencies and the United States Army to explore the capacity and key competencies required to support successful interorganizational collaboration (IOC) at the individual and organizational level. It explores the evolution of collaboration and maps the continuum of related concepts, illustrating their distinction in a spectrum of IOC. It presents the collaboration process as a dialectic model within a Systems Psychodynamic Perspective, detailing the necessary ingredients for increasing collaborative capacity within individuals and organizations. The major findings include; the role of knowledge, the necessity of engaging in constructive conflict and a dialectic collaboration model.

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Chapter 1: Introduction

“The modern global economy is characterized by a need to collaborate effectively across national boundaries. This is as true of international alliances and networks between firms as it is of teams within companies that cross cultural and geographic boundaries” (Child, 2001, p. 274). The last two decades witnessed an increase in the frequency and magnitude of inter-firm collaborations (Hladik, 1994; Contractor & Lorange, 1988). Inter-firm collaboration is “a major topic of interest and relevance in the present organizational world.” (Smith, Carroll, & Ashford, 1995, p. 20). During the past decade, the wave of global mergers, acquisitions and strategic alliances, plus the development of global networks, have multiplied the occasions when such collaboration is required. Gray (1985) is likely to speak for many when she sees “a growing need to promote collaborative problem solving across various sectors of society” (p.911). Austin (2000) posits that the, “21st century will be an age of accelerated interdependence. Cross-sector collaboration between nonprofits, corporations, and governments will intensify” (p. 69). On the horizon of the twenty first century is the possibility to utilize the knowledge base of an entire world across geographic and institutional boundaries. Getting global collaboration to work successfully is a primary requirement in accomplishing this goal (Child, 2001).

This study reviews major theories of collaboration with the purpose of generating a more comprehensive and powerful account of collaboration, a new synthesis of the research. The theory to be developed will then be used in a case analysis of a major collaboration effort between Fortune 500 companies and the military.

1.1 Background

Strategies to increase collaborative capacity and to increase the effectiveness of collaborative activity have been a fertile research topic for several decades. Early and basic assumptions of America's organizations and the structure of work are out of date (Drucker, 1998). Nevertheless, the general evolution of modern business continues to employ strategies grounded in increasing the degree of specialization. This reinforces organization by function with a correspondingly greater demand for coordination, automatically creating a wider and wider range of within-group and cross-group relationships (Lasker, Weiss, & Miller, 2001). A growing body of multi-disciplinary research suggests that we live in an increasingly networked world that demands new forms of organizing other than traditional, hierarchical bureaucracies. Successful business operations across a variety of industries will depend on the ability to collaborate vertically and horizontally, both internally and across organizations.

Due to the complexity of the issues to be addressed, institutions, whether public or private, no longer have the information, skills, resources, or many of the other necessary ingredients to function independently. Ronald Heifetz (Heifetz & Linsky, 2002), who directs the Leadership Education Project at the John F. Kennedy School of Government at Harvard University, coined the term "adaptive problems" (p. 68) to describe situations that do not lend themselves to an expert's solution, but require a variety of perspectives both to define the situation and develop appropriate responses.

Michael Fullan proposes, in his book, *Change Forces* (1993), that society..."expects its citizens to be capable of proactively dealing with change throughout life both individually as well as collaboratively in a context of dynamic, multicultural global transformation. A century and a half of technological evolution [has] produced communication and technologies that make

our entire planet a global marketplace” (p. 4). This means that today’s firms deal with thousands of interdependent relationships- linkages to people, groups, or organizations that have the power to affect performance and the diversity among individuals and organizations is limitless. In such an environment, there is great potential in partnerships that enable different people and organizations to support each other by leveraging, combining, and capitalizing on their complementary strengths and capabilities (Alter & Hage, 1993).

1.2 Statement of the problem

Despite the growing interest and utilization of collaborative approaches as a resolution to adaptive problems, a synthesis of the existing research across “institutional fields” (Powell & DiMaggio, 1991; Scott, 1995) does not exist. I propose to sample the vast empirical research on interorganizational collaboration (IOC) found across institutional fields to better understand the phenomenon of collaboration. The purpose of this study is to provide a more compelling theoretical understanding of IOC by taking a broad, holistic approach to explore the context or conditions required to nurture IOC at the individual and organizational level.

Individual collaborative capacity can be defined as the knowledge, skills, and attitude required to achieve collaborative outcomes. Organizational collaborative capacity can be defined as the culture and processes required to support collaboration. A dual analysis of the relationship between individuals at the senior, strategic and operations levels and the relationships between organizations will reveal the key tenets required to increase collaborative capacity. Vygotsky (1934/1987) emphasized the inevitable existential interrelatedness of the individual, the context, and the object. Understanding the importance of interdependence, constructive human interaction and collaborative dialogue are the precursors of collaboration. Furthermore, the wide range of theoretical perspectives that currently characterize collaborative

capacity, suffers from an overall lack of consensus among scholars and practitioners on the meaning of its central construct: collaboration. This lack of consensus not only makes theory building difficult, but also impedes the transfer of knowledge across institutional fields.

1.3 Purpose of the Study

A theoretical integration across disciplines in an effort to establish a more unified multidisciplinary approach to increasing both individual and organizational capacity will facilitate the discovery of knowledge that is useful to both researchers and practitioners. By adopting a holistic, multidisciplinary approach, individuals and organizations may be able to synthesize the findings of specialists and apply new solutions to problems. The scope of this research and the ensuing literature review does not include the extensive and growing body of research on relationships that are associated with ‘social networks’, ‘network theory’ and ‘social capital’ as reflected in the work of Coleman (1988) and Burt (1992) among others. Although these research traditions may at times be complementary and overlap some of the research associated with IOC, social network and human capital approaches tend to remain too focused at the individual and micro level and are only a small part of IOC theory. The literatures on networks within organizations (e.g. virtual teams, network capacity within organizations, matrix organizations) are therefore considered a minor component (Mandell, 2001) relative to the focus of my research on IOC.

1.4 Significance of the Study

The ability to cross technical boundaries to find multidisciplinary solutions represents only the first part of collaboration's value. When collaboration facilitates learning at organizational and individual levels, the solutions tend to be more innovative and more integrated

(Liedtka, Haskins, & Rosenblum, 1997). Collaborative capacity includes the development of ways to build and strengthen relationships, an analysis of the way we communicate with one another, and cultural characteristics that support collaboration. A theoretical integration, across disciplines, of existing research about collaborative capacity could result in a more unified, and generally more useful, approach to the subject.

1.5 Research Questions

The key purpose of this study is to explore and examine the concept of increasing collaborative capacity across disciplinary boundaries and institutional fields. Common to all organizations across fields is the human element. Rather than simply shift focus from the individual to the organization, a dual analysis is required.

Common to all enterprises...is the deployment of human resources. Regardless of the extent of automation, there are always some activities in an enterprise that must be carried out by human beings. Moreover, human beings do not exist simply as individuals; they are joined together in groups, small and large, and they interact in these groups both as individuals and as groups. Further, individuals can belong to many subgroups within a larger group, and to many large groups in any environment. Indeed an individual cannot exist in isolation, but only in relation to other individuals and groups. Even when alone, personal identity, beliefs and values, as well as social behavior, are conditioned by and are in large part a product of past relationships and of anticipated relationships in the future. Any theory of organization requires, therefore, not only a theory of systems of activities and their boundaries, but also a theory of human behavior (Miller & Rice, 1967, p. 14).

The research undertaken here attempts to answer the following questions:

1. What are the key processes to increasing collaborative capacity at the individual and organizational level?
2. What are the key competencies required to support collaboration at the individual and organizational level?

The interpersonal aspect and the interorganizational aspect are the two major dimensions of collaborative activity. The ability to operate at both the interorganizational and the interpersonal level simultaneously is at the core of collaborative capacity. Senge (1990) argues that “Organizations learn through individuals who learn. Individual learning does not guarantee organizational learning, but without it no organizational learning occurs” (p. 139). Interorganizational (IO) domains vary considerably in their degree of organization. Focusing on IO domains requires a different approach to diagnosing problems (Kaplan, 1980; Alderfer & Guzzo, 1979) and requires different methods of organizing stakeholders to work out collaborative solutions to mutually important problems.

The organization and the individual are interdependent in an environment saturated with adaptive problems. Kanter (2004) posits that teams and organizations that overcome challenges and thrive on success rely on individual and organizational confidence. Her research shows three factors critical to developing and sustaining confidence: accountability, collaboration and initiative. Drucker (1998) argues that,

there is no such thing as the one right organization. There are only organizations, each of which has distinct strengths, distinct limitations and specific applications. It has become clear that organization is not an absolute. It is a tool for making people productive in working together. As such, a given organizational structure fits certain tasks in certain conditions and at certain times. There are thus vast

differences in organizational structure according to the nature of the task. Yet there are universal principles of organization (p. 6).

An understanding of the interconnection between the individual and the organization help decision makers to create conditions that cultivate collaborative capacity despite institutional and individual boundaries.

1.6 Definition of Terms

A Knowledge Broker is understood as a person with a strong technical base and communication skills. Synthesizes and packages knowledge rather than creators of new knowledge (Kirke, 2002).

Lateral Thinking is the process of generating solutions to problems by exploring related ideas that may at first seem irrelevant to a specific problem, but may in fact lead to new ways of looking at, and ultimately solving problems (De Bono, 1970).

Tacit Knowledge is the conceptualization that you know more than you can say. According to Michael Polanyi (1967) “there are things that we know but cannot tell” (p. 7) - We know how to discriminate a complex pattern of things without being able to specify by what features we discriminate it. It is a combination of intellectual and practical knowledge.

Multiframe Thinking is the idea that concepts can be viewed through different frames. For example, the business sector refers to collective intelligence while personnel in education refer to cooperative learning.

Interorganizational Coordination is the process whereby two or more organizations create and/or use existing decision rules that have been established to deal collectively with their shared task environment (Rogers & Whetten, 1982).

Collaborative Relation is between members of an organization in performing tasks jointly individual must consider reward potential of others as well as recognize their own requiring interpersonal skills and task skills (Kingdon, 1973).

Multiparty Collaboration is a process through which parties who see different aspects of a problem can constructively explore their differences and search for solutions that go beyond their own limited vision of what is possible. Organizations, social groups and unorganized parties work across boundaries to develop sustainable solutions for a problem domain (Gray, 1989).

Collaborative Inertia is when the apparent rate of work output from collaboration is slowed down considerably compared to what a casual observer might expect it to be able to achieve. It could result from difference in aim, language, procedures, culture and perceived power; from the tension between autonomy and accountability and the lack of authority structure; and from the time needed to manage the logistics (Huxham & Vangen, 1994; Huxham, 1996).

Alternative Terminology there are several concepts used to reference the inter-organizational relationship, cooperation, co-ordination, coalition, network, alliance partnership and bridge (Huxham, 1996).

Collaborative capital is the process and environmental assets that can be developed over time (Beyerlein, Freedman, McGee, & Moran, 2003).

Synergy is the power to combine resources and skills of a group of people and organization (Fried & Rundall, 1994; Lasker, Weiss, & Miller, 2001; Mayo, 1997; Richardson & Allegrante 2000; Taylor- Powell, Rossing, & Geran, 1998).

1.7 Theoretical Frameworks for Understanding Collaboration

Collaboration is complex in nature. The theoretical frameworks underlying collaboration can be found in various organizational approaches. These frameworks advance different

terminology, definitions, agendas, assumptions and methodologies. A summary can be found in Figure 1. The *classical organization* perspective emphasizes a concern for technical aspects of the work, formal authority and centralized structure. According to it, organizational efficacy can be best achieved with rational administrative procedures (Hackman & Oldham, 1980). Clear and unambiguous channels of authority that allow for centralized command and control are required (Scott & Mitchell, 1976). Specialization and division of labor are thought to promote the simplification of tasks and maximum work efficiency. *Bureaucratic theory* and *administrative management* are also traditional organizational approaches. Lawler (1992) refers to the scientific management, bureaucratic and administrative management theories as control-orientated approaches.

The *human relations movement* began in the 1920's with the experiments at the Western Electric plant by Roethlisberger and Dickson (1939). Human relations advocates argue that high performance can be achieved if employees are treated fairly, with respect, and allowed to participate in decisions related to their work. The *human resource* perspective, like human relations, proposes that employees should be treated fairly and cooperation with management should be encouraged, but should be focused on the employee as a valuable resource to be developed by the organization (Miles, 1965).

A Summary of Organizational Theories

Dimensions /Metaphor	Rational-Technical (factory worker) Organization as Machine	Humanistic (knowledge worker) Organization as Organism	Collaborative (creator and empathizer) Organization as Dialogue
Authority	Rational-bureaucratic	Relatively bureaucratic	Negotiated Exclusion of relationships that involve the use of control through legitimate authority (Phillips, Lawrence & Hardy, 1998)
Structure	Hierarchy	Team leadership Group problem solving Human Resource Development	Flexible Process within a bureaucratic framework Adaptive leadership to fit the structure (Berliner, 1997)
Incentive/Reward Structure	Pay	Structured rewards and Individual performance	Social rewards and Shared goals (Baxter, 2005)
Recruitment/ Advancement	Based on specialized training or certification, Universalistic standard of competence	Specialized Training or Certification General Standards of Competence	Lateral &. Vertical Skills = <u>T</u> Factor Breadth- Depth of Experience
Roles	Division of labor that separates intellectual workers from manual workers	Role expectation Personality, Need-disposition	Teamwork/task sharing Diffusion/demystification of specialized knowledge through internal education Nexus Culture (Balcaen, 2004)
Rules	Bound by formally established, written system of rules and regulations	Coordination and control through interaction, shared responsibility and interdependence	New Governance- Integration of horizontal systems into traditional, vertical ones (Kettl, 2000)
Communication	Closed and Minimal Vertical Structured	Flows up, down and laterally	Open and Frequent Established informal and relationship links Interactivity throughout the system (Berliner, 1997)

Figure 1: A Summary of Organizational Theories.

The *economic perspective* focuses on changing incentives while *sociological* approaches look to social norms of fairness and reciprocity. Relational applications argue that internal norms of reciprocity develop over time. *Rational choice theorists* focus attention on competition and incentives in the absence of shared goals. Sullivan, Snyder, Sullivan & Chapp (2008) propose that rational choice models are incomplete and often lacking sufficient understandings of human behavior.

IOC has also been explained from a number of more limited, grounded theoretical perspectives such as: evolutionary theory (Aldrich, 1976); industrial economics (Porter, 1985); transaction costs (Oliver, 1990; Ring & Van de Ven, 1994.); game theory (Parkhe, 1993); new institutionalism (Oliver, 1990; Ring & Van de Ven, 1994); and resource dependence theory (Pfeffer & Salancik, 1978). The concept of interorganizational domains (Gray, 1989) draws on the theory of negotiated order (Strauss, Schatzman, Erlich, Bucher, & Sabsin, 1963). Emory and Trist (1965) introduced the notion of turbulent environments, where problems characterized by uncertainty, complexity and unclear boundaries are beyond the scope of a single organization to solve; they call for inclusive (Warren, 1967) or collaborative (Gray, 1989) decision making where organizations pool their expertise and resources (Trist, 1983). The *multipart collaboration* literature stresses the need for a dynamic, process-oriented theory of interorganizational relations and for research on the quality of collaborative relationships, the emotional challenges posed by interdependent work, and defensive dynamics in emergent processes (Czander, 1993; Gould, Ebers, & McVicker, 1999; Page, S., 2003). Wood and Gray (1991) provide a summary of the theoretical contributions of the existing case study research used to examine and explain collaborative behavior. They propose six theoretical perspectives: resource dependence, corporate social performance, institutional economics, strategic

management, social ecology, microeconomics, institutional and negotiated order and political. They note that the key limitation of the existing theories is that, “most perspectives are oriented toward the individual focal organization-such as a firm, an agency, or a governmental department rather than toward an interorganizational problem domain” (p.140).

Although each paradigm identified above is insufficient alone to capture the complexities of collaboration, the fact that collaborative relationships can be justified from such diverse perspectives and theoretical backgrounds is impressive. We can overcome the limitations of these disparate theories by utilizing an integrationist approach. The contribution of an integrationist perspective is that the responses of actors are conceptualized as a function of both the attributes of the actors and their environment. Participants in a collaborative are confronted with different sources of potential anxiety: the context, the nature of the process and the relationships with other stakeholders. Development of an integrationist approach requires special consideration of system psychodynamics. “Systems psychodynamics, therefore, provides a way of thinking about energizing or motivating forces resulting from the interconnection between various groups and sub-units of a social system” (Neumann, 1999, p. 57).

System psychodynamics is “a term used to refer to the collective psychological behavior” (Neumann, 1999, p.57) within and between groups and organizations. It provides a way of considering individuals, groups and organizations in relation to their environment. The systems psychodynamic perspective originated at the Tavistock Institute in the UK (Miller, 1993), and incorporates Freudian system psychoanalysis, the work of Klein on child and family psychology, Ferenczi on object relations and Bertalanffy on systems thinking. Systems psychodynamics should therefore, be considered interdisciplinary. Integrating researchers and practitioners across disciplines is a central tenet of the research. An interdisciplinary lens is critical to an

understanding of the concept of collaboration and an attempt to increase collaborative capacity at the individual and organizational level. A typology of collaboration would make it easier to compare and communicate results, and would be especially valuable if the types of collaboration could be related to one other.

1.8 Limitations of the Study

This study uses a single case study approach for understanding IOC theory and the processes and competencies required at the individual and organizational level. Correlation, explanation, or comparisons in other arenas are not the intent of this study and may not be valid.

1.9 Chapter Summary

Today organizations are continuously challenged to keep pace with rapidly changing environments and emerging technologies in a globalized marketplace. Old organizational paradigms are no longer sufficient to address future organizational needs.

1.10 Organization of the Study

The following steps will be taken to answer the research questions posed in this study: This current chapter introduces the problem, states the purpose of the research, and the context for the study. Chapter Two examines the literature on collaboration and proposes a synthesized conceptualization of IOC. Chapter three reviews the major competing theories of collaboration to provide a more compelling theoretical understanding of IOC, presenting the Theoretical Framework: The Systems Psychodynamic Perspective. Chapter Four presents the most appropriate methodology as a case analysis on collaborative capacity across institutional fields. Chapter Five presents the case analysis exploring each of the research questions followed by the

results. Chapter Six concludes the study, linking it to the extant literature and presents recommendations for practice and further research.

Chapter 2: Literature Review

This research seeks to understand the key processes and competencies necessary to facilitate successful interorganizational collaborative efforts. An exploration and examination of increasing collaborative capacity across disciplinary boundaries and institutional fields at both the organizational and individual level is lacking in the existing literature. Collaboration allows for building collaborative capacity both within institutions and between collaborative participants. As discussed in chapter one, primary underlying assumptions of this inquiry are: (a) we are witnessing the promulgation of new forms of inter-firm collaboration and (b) organizations share foundational commonalities across institutional fields. Scholars agree that the twenty-first century will be an age of accelerated interdependence (Austin, 2000; Kanter, 1998; Rackham, Friedman & Ruff, 1996). This increase in cross sector collaboration between nonprofits, corporations, and government entities highlights the need for interdisciplinary research and firmly establishing the need for examining key processes and competencies necessary to increase collaborative capacity at the individual and organizational level. Thomson (2001) affirms that the literature on collaboration is vast, but lacks cohesion and fertilization across disciplines. One purpose of this review is to examine the research on collaboration across disciplines.

This chapter begins with a review of the evolution of collaboration from the technical rational to the humanistic organization. Second, a definition of collaboration is proposed. We then review the continuum of related concepts (e.g. cooperation, coordination, etc.) that can be found in the literature. Finally, we explore the motivations for IOC.

2.1 *Evolution of Collaboration: From Technical-Rational to Humanistic Organization*

Critics argue that the current research base concerning collaboration has a tendency to examine the phenomenon in an ahistorical way. The concept and development of collaboration has an evolutionary history and patterns of path dependence in which structures and relationships adopted in one period tend to shape and constrain choices available at a later period. Examination of the historical development of collaboration in the United States therefore provides a significant facet of background information. This research hopes to open the conversation of collaboration by establishing a clear timeline of how collaboration has evolved. We will present an analysis of organizational theory and management literature from the late 19th century to present.

Robert Owens (1991) reviews the emergence of firmly established bureaucratic principles. He refers to the young United States as an *organization society*, where industry, government and other organizational aspects of our life began to grow. The rise of scientific management, founded by Frederick W. Taylor (1911) in the early twentieth century, promised to increase organizational coordination, efficiency and profits by better controlling labor and the labor process. The scientifically managed rational organization was to be directed by skilled managers, advised by professional and technical elites, and based upon detailed task analysis and direct supervision. Specialization and division of labor, while increasing hierarchical control, also had the consequence of separating the conceptualization of work from its execution, both deskilling traditional craft based labor and creating opportunities for a new middle class of specialized professions. Specification of the labor process became the task and prerogative of management; controlling labor became the major organizational problem to be addressed. Taylor claimed that his principles could be applied universally and the search for efficiency

through scientific management became, “an obsession in the press and throughout our society” (Owens, 1991, p. 36).

Taylor’s principles differentiated the roles of managers and workers and mandated a top down hierarchical relationship. Taylor’s focus was on individual workers and how they interfaced with machines, but organizational theory quickly developed from Taylorism to the more classical organizational approaches. Beginning with Max Weber, we began to view the organization as more complex. The principles of organizations, while more sophisticated and detailed today, are still essentially those of Max Weber’s time. Bureaucratic theory was the “ideal typical” rational organizational model. According to Weber, an organization operates through hierarchy of roles and positions based on ability, a system of rules, impersonality and specialization. Organizational theory has glorified the “imperative coordination” Weber identified as key ever since (Perrow, 1986, p. 52). This ideal of coordination and cooperation was adopted in order to calm the fighting spirit that arose within the union movement. Workers were no longer expected to emulate their superiors and achieve success, but rather to accept their modest rewards and the inherent satisfaction of good work (Bendix, 1956). At the core of Weber’s work was the idea of legal-rational authority. The organizational charter established the lines of communication and the chain of command, specification of role related duties and the limits of authority defining interpersonal relationships. This shifted the basis of power from traditional paternalist relations and direct supervision toward authority based upon position, achieved through demonstrated merit and by internalization of the mission, vision, norms and cultural practices of the bureaucratic organization; that is, from discipline by supervision to the discipline of rules.

The classic Weberian technical rational model was not abandoned but it was modified as assumptions of the necessity of impersonality governing social relations gave way to recognition of the necessity of attending to the social dimensions of business organization. Neither classic organizational theory nor the principles of scientific management addressed the worker, however, the human relations movement in the 1930's was largely a result of this shift in focus. Elton Mayo applied social philosophy to industrial cooperation. Mayo attacked economic theory. He took exception to all three primary tenets of economic theories: society as unorganized individuals instead of natural social groups; individuals acting in their own self interest instead of being swayed by group norms; and the individual as a logical thinker instead of one influenced by emotions (Bendix, 1956).

One of the most insightful of the early management scholars of the humanistic period (mid 1930s to the 1950s) was Mary Parker Follett. Her work was ignored for decades because her assumptions differed from those that prevailed when management was becoming a discipline in the 1930s. Follett noted that the key to any successful organization was building and maintaining a process that sustained human relationships and dealt effectively with conflict without compromise. The rise of the human relations movement established a context in which Follett's seminal work could be appreciated by a later generation of theorists.

A second branch of human relations was more concerned with the organizational climate rather than management practices. It offered an expanded view of cooperation suggesting that people want to "contribute effectively and creatively to the accomplishment of worthwhile objectives" (Miles, 1965, p.151). The period from the 1950s to the 1980s is characterized by group relations models and focuses on the worker as a valuable human resource that should be developed. McGregor (1960) and Likert (1961) are among the most influential of the human

resource management theorists of this period. Douglas McGregor's book *The Human Side of Enterprise* (1960) asserted that management had to choose between only two different ways of managing people: "Theory X" and "Theory Y." The first assumes that people don't want to work, so they must be coerced and controlled. The second assumes that they really do want to work and require only proper motivation. McGregor advocated Theory Y. Likert's model contrasts exploitative, authoritative, and participative management. Participatory management is more complex since it is concerned with the interaction of groups.

As a means of replacing classic authoritative management practices with more participatory structures, group relations theorists developed propositions about the role of persons within the organization. Argyris and Schon (1974) proposed Model II as an alternative to classic bureaucratic organization and way of achieving interpersonal effectiveness within organizations. The model offers these guidelines: "(1) Emphasize common goals and mutual influence in relationships. (2) Communicate openly and publicly test assumptions and beliefs. (3) Combine advocacy with inquiry" (p. 21). Kanter (1977) held similar ideals. He details five major assumptions in a model proposing the person-organization relationship: (1) Work is not an isolated relationship between actor and activity. (2) Behavior in organizations is, when all is said and done, adaptive. (3) If behavior reflects a "reasonable" response to an organizational position, it is not thereby seen as mechanically inevitable. Social structure does not control so much as it limits-restricts the range of options, narrows the tools, and confronts the individual with a characteristic set of problems to solve. (4) Behavior is also directly connected to the formal tasks set forth in a job's location in the division of organizational labor. (5) An interest in the relationship of formal task and formal location, to behavioral responses also leads to an emphasis on competence-ability to do the job more than is often stressed in social psychological analysis"

(p. 250-253). He concluded that organizational behavior is produced in the interaction of individuals.

In the more recent period from the 1990s to present we see a significant critique of bureaucratic theory and accepted management practices in the organizational literature. Classic bureaucratic theory, especially when clothed in the velvet glove of human relations and human resource management, offered an enduring and reasonably efficient model of organization, especially within a relatively stable corporate industrial economy which characterized much of 20th century economic development. Economic restructuring that began in the 1970s in response to de-industrialization, however, has fundamentally challenged traditional norms of organizational structure and function. The industrial sector responded to global overproduction and under consumption, first by a search for new sources of efficiency through technology and the application of more comprehensive and systemic analysis to the problem of organizational structure and process. National economic policy, however, began to search for new sectoral markets. The focus of policy development and resources shifted to financial services, personal services, and the development of new market segments both in goods and ideas. These emerging sectors do not lend themselves to the types of organizational controls found in manufacturing. New organizational structures and associated social relationships were needed.

The shifting economic environment, the complexity of corporate organization, and the continued focus on the person-organization relationship led first to a view of organizational behavior through the lens of systems theory. One variant of systems theory, constructivist theory, argues that different organizational viewpoints are due to differences in perspectives and experiences. Moreover, prescriptive management paradigms have given way to an almost

exclusive focus on leadership. Hersey (1996) quotes Warren Bennis, in the differentiation of the extremes of management and leadership:

Leaders conquer the context- the volatile, turbulent, ambiguous surroundings, while managers surrender to it. The manager administrates; the leader innovates. The manager is a copy, the leader is an original. The manager maintains, the leader develops. The manager focuses on systems and structure; the leader focuses on people...Managers do things right; leaders do the right things” (p. 8).

Bolman and Deal (1991) promote a more expressive, artistic conception of the organization that encourages flexibility, creativity and interpretation. They are clear in their goal to avoid producing specific behaviors but, rather, to cultivate habits of mind. They refer to their theory base as conceptual pluralism: a jangling discord of multiple voices.

Due to the size and increased complexity of organizations over the last twenty years we have noted a consistent focus on the ambiguity of the role and expectations of the traditional manager. This has resulted in several approaches to organization over the last twenty years focusing on the need to develop cross-cultural skills and amplify communication skills at all levels of the organization. Organizations are also continuing to adapt to economic imperatives. The large corporations that emerged in the 1900s have given way to more flexible organizational structures. These “shell corporations” are no longer the captains of industry, but, rather, rely on collaborative alliances across organizations to increase efficiency and maintain profits. The interdependence of organizations is more readily accepted. America’s corporations now rely heavily on contract services. Hardy & Phillips (1998) accurately describe this organization symbolically as the “shamrock organization” (p. 89). The authors note that organizations are made up of three distinct categories of workers, each with varying levels of pay and

expectations. More importantly, they assert, the different categories of workers are organized and managed distinctly. The first leaf of the shamrock is the self-managed core workers: professionals, technicians, and managers. Between them they hold and own the organizational knowledge that distinguishes the organization. The second leaf of the shamrock includes the coordinated, contracted staff that makes up 80 percent of the entire corporate workforce. The third leaf is the supervised, flexible work force, called on when needed and let go when necessary (pp. 88-91). Handy was correct, in principle, about the current organizational model except for one major premise. He cautions that the change we are experiencing is discontinuous and not a part of a pattern. The pattern he fails to note is a system of inside contracting. Clawson (1980) highlights the inside contracting model as a system used in the factories of 1860 in an effort to discipline workers while at the same time yielding high productivity. These inside contractors had considerable power and freedom, implementing and carrying out hiring and firing at their discretion. They were, however, expected to introduce innovation and often utilized technological change. They worked inside the factories but were primarily responsible for the production process. They also had a personal stake in a larger portion of the profit in addition to selling products at a price per piece. The company retained control over general policies such as what time work would begin and the length of the work day.

Richard Scott (2004) also reflects on the changes in organizations during the latter decades of the twentieth century as, “surprising and unpredicted” and defines the new “master strategy” as “*externalization*: disposing of internal units and contracting out functions formerly performed in-house” (p. 12).

Regardless of the wording one chooses, organizational theory and management practices have evolved at a fast pace. In the short span of 150 years we can identify changes that range

from the strict task specialization of Taylorism, to recognition of the humanity of labor and the increased productivity of labor when collaborative opportunities are present, to the more open system that includes core workers, inside contractors and externalization. This new type of organization is fundamentally and explicitly grounded in collaboration, a necessary alternative to the traditional bureaucratic model. There are several dimensions that distinguish the collaborative organization. The collaborative organization is defined by a key workforce of creators and empathizers. It can be seen metaphorically as an organization of dialogue, where talk is the work. There is no one right structure for this organization, but includes adaptive leadership to fit existing structures (Berliner, 1997) and remains flexible in the process of collaboration within a bureaucratic framework. Authority within a collaborative is negotiated. It also excludes relationships that involve the use of control through legitimate authority (Phillip, Hardy & Lawrence, 1998). The incentives and reward structure are categorized by shared goals (Baxter, 2005) and social rewards in addition to the more traditional performance measures. The assessment of individual's for collaborative work are focused on lateral and vertical skills, a concept I refer to as the T factor. They include: breadth (interested vs. interesting), depth of experience (mastery in anything), and communication (broad range of world experience). Individual roles are defined primarily as policy entrepreneurs. These individuals orchestrate a vision, follow through on a work plan, communicate regularly with key members, and schedule meetings to facilitate collaboration. Ordinarily they hold an administrative position, can command resources, build trust among participants, empower members, and have the professional or technical respect of the participants (Agranoff & Mcquire, 2003). A collaborator can emerge from any rank or role within the institution. They operate in a teamwork environment where they participate in task sharing within a nexus culture (Balcaen, 2004).

These new cultural norms and rules have been described as the new governance structure. New governance is the integration of horizontal systems into traditional, vertical ones (Kettl, 2000).

Communication is the most critical dimension of a collaborative organization. A summary of these characteristics can be found in Figure 1 (p.10). Collaborative communication is characterized by open and frequent structures, established informal and relationship links, and interactivity throughout the system (Berliner, 1997). The collaborative organization, although a new form, closely relates to the inside contracting system utilized in the factories of the 1860s. The evolution of collaboration from the technical rational model to the more humanistic approaches can therefore be seen as the natural tendency for a pendulum to swing back to its natural state

2.2 The Institutional Environment

Building on the Weberian core of bureaucracy and folding in the more humanistic approach complicates the simple technical model focused on task specialization with the more complicated aspect and current dominant focus of environment. The previous analysis simplified the organization in order to frame the contemporary organization in a collaborative typology. In order to conduct a more meaningful analysis it is necessary to consider the evolution of our current model within the previous frames and incorporate into our analysis the theories of organizational sociologists in addition to the previous analysis of the broad field of organizational theory. We cannot hope to understand our current state without understanding how it was shaped. The emergence of collaboration has its roots in the sociological tradition. The range of disciplines include all of the social sciences—anthropology, communications, economics, political science, psychology, sociology—as well as branches of engineering, cognitive and decision sciences, and management studies such as organization behavior, strategy,

and entrepreneurship. Even though scholars in organizational sociology have not embraced a single unifying theory, there have been a diverse group of disciplines involved in the recognized field, categorizing it as multidisciplinary and collaborative in nature. It is important then to draw attention to the dominant sociological theory of institution. The major contribution of the institutional school is an emphasis on environment (Perrow, 1986). Theorists and investigators have expanded their purview to incorporate more and different tenets of environments affecting organizations and broadening their analysis to allow the study of larger, more encompassing systems in which organizations are central players (Scott, 2004). There are a plethora of case studies that detail specific organizations and their responses to specific environments. Building on the work of Roethlisberger and Dickson (1939), Selznick (1943) introduces three significant hypotheses: (a) every organization creates an informal structure; (b) in every organization, the goals of the organization are modified (abandoned, deflected, or elaborated) by processes within; and (c) the process of modification is affected through the informal structure. Selznick (1948) distinguishes the rational-means-oriented, efficiency guided process of administration from the “economy of learning” (p.28) a value laden adaptive, responsive process of institutionalization. Barnard (1940) also presents a complimentary theoretical analysis of informal organizational structures. He lists three functions in formal organizations as a means of communication, the maintenance of cohesiveness, and the appearance of choice. Barnard and Selznick began the task of synthesizing the conflicting views of organizations as production systems and adaptive social systems.

Institutions that function in specialized arenas are referred to as either “field” or “sector” (DiMaggio & Powell 1983; Scott & Meyer, 1983). Hughes (1936) then developed an interdependent model, defining the institution as an “establishment of relative permanence of a

distinctly social sort” (p.180). Defining the essential elements of institutions as: “(1) a set of mores or formal rules, or both, which can be fulfilled only by (2) people acting collectively, in established complementary capacities or offices. The first element represents consistency; the second concert or organization.

Scott (2001) summarizes the contributions of Hughes’s impact on institutional structure and the surrounding and supporting work activities, primarily occupations and professions, as the myriad of ways in which the institutional interacts with the individual: creating identities, shaping the life course (careers), providing a license to perform otherwise forbidden tasks and a rationale to account for the inevitable mistakes that occur when one is performing complex work (p.10).

Moving from the individual focus of an institution to the interactions between more than one institution, Warren (1967) conceptualizes the interorganizational field as, “based on the observation that the interaction between two organizations is affected, in part at least, by the nature of the organizational pattern or network within which they find themselves” (p. 397). Warren uses the term "field" as a totality of coexisting facts which are conceived of as mutually interdependent. Institutional fields develop through the process of structuration, whereby patterns of social action produce and re- produce the institutions and relationships that constitute the field (Barley & Tolbert, 1997). Institutional fields influence collaboration by providing a foundation of rules and resources that actors use in their collaborative endeavors; conversely, collaboration helps to evolve institutional fields in certain ways (Phillips, Lawrence & Hardy, 2000). Over time, collaborative interactions within a field drive the process of institutional definition and shape ongoing interactions toward isomorphism (DiMaggio & Powell, 1983). In a specific setting the outcome of this process is a structured field composed of a number of organizations

which share institutionalized rules and resources, and provide the context for actual collaboration (Phillips et al., 2000). In such a field, either existing practices get reproduced or new practices get invented, or some combination of both (Holm, 1995). Through repeated interactions, groups of organizations develop common understandings and practices that form the rules and resources that define the field. At the same time these rules and resources shape the ongoing patterns of interaction from which they are produced. DiMaggio and Powell (1983) describe the process as follows:

The process of institutional definition, or “structuration”, consists of four parts: an increase in the intent of interaction among organizations in the field; the emergence of sharply defined interorganizational structures of domination and patterns of coalition; an increase in the information load with which organizations in a field must contend; and the development of a mutual awareness among participants in a set of organizations that they are involved in a common enterprise. (p.148)

We have taken a broad brush stroke at the strongest of the sociological theoretical bases to draw an emphasis on the common foundation of organization and institution. Significant barriers and difference are greater within organizations than between them. One would expect institutional isomorphism to lead to similarities, as would adaption of common bureaucratic structures. Perrow (1986) emphasizes the fundamental fact that organizations work. They transform ideas and raw materials into products. He does affirm institutionalizations focus on informal processes by stating that, “the characteristics of the work process will tell us more about the structure and function of the organization than the psychological characteristics of its members, their wants, motives and drives” (p.155). Drucker’s (1998) essay on management’s

new paradigms discusses the idea that the earliest of theorists did not distinguish the management of for profit business from that of a non profit, or government agencies, “to the earliest theorists ‘management’ applied to any kind of organization, not just business. An organization was an organization, and they differed only in the way that one breed of dog is different from another breed of dog” (p.4). The management of an organization is only differentiated by the specificity of its mission, culture, history and vocabulary. Drucker states that the early theorists believed those differences make up only 10 percent of the organization’s work, “the rest is interchangeable” regardless of the industry (p. 5). If early theorists and Drucker’s musings on the commonalities of organizations are accurate, then the contemporary rhetoric that polarizes us rather than uniting us must be redirected towards a focus on solutions and foundational commonalities that cross every facet of the organizations major common characteristics to include their physical, functional and operational distinctions that categorize an industry. That common thread is communicative in nature. There is a necessity for intra- and IOC.

A barrier to collaboration is the “silo” effect and tacit knowledge, concepts explored in more detail in the conceptual framework found in chapter three. The solution to those barriers is a ‘bridging’, Kirke (2002) proposes that

“the necessary knowledge exists to solve...problems; the barriers to their solutions are more social and political than technical. Fragments of the necessary knowledge may exist within two or more specialist disciplines but the specialists do not listen to each other, so there is a lack of synthesis of research findings into practicable courses of action. Even when technical solutions are known they may not be communicated effectively (p. 99).

He encourages an increased focus on organizations and individuals with the ability to synthesize (improve bridge building between the diverse specialist research disciplines and stakeholders) rather than focus on one specialist topic. He describes these lateral thinkers as “bridge girders, spanning the gaps between the piers. The girders in turn support the decision makers, who have an even broader view and could be regarded as the bridge deck. Without the vital holistic bridge girder people, the decision makers and consumers are unable to cross from the problem to the solution. The same sort of analogy can be applied to the various industry sectors, where researchers, managers and equipment suppliers are the piers which need to be connected by people who can see the point of view of each -- ideally, people who have worked in each of these sectors and can see their points of view” (Kirke, 2002, p. 101). By adopting a holistic, multi-disciplinary approach, individuals and organizations may be able to synthesize the findings of specialists and find and apply new solutions to problems. The bridging of disciplines and focus on common fundamentals of organizations rather than differences is critical to the conceptual work of the twenty first century. The development of cross institutional field commonalities can emerge as a means to achieve understanding between different fields. The practical benefits of understanding difference in organizational types and values in different cultural contexts are not disputed. Jackson and Schuler’s (1995) observations highlight that

Globalization may be the most potent catalyst for an explosion of research on Human Resource Management (HRM) in Context: for those operating in a global environment, the importance of context is undeniable- it cannot be ignored. Multinational organizations strive for consistency in their ways of managing people on a worldwide basis and also adapt their ways to the specific cultural requirement...those responsible for design of globally effective HRM must shift

their focus away from the almost overwhelming variety of specific practices and policies found around the world and look instead at the more abstract, fundamental dimensions of context, HRM systems...and employee reactions (p.227)

A focus on similarities versus differences was also adopted by Weick (1969), an early organizational scholar who employed a relational view of organizations. He advocated shifting from an entity conception—organizations—to a process conception—organizing. The relational approach as applied to organizations is further strengthened by Scott (2004) as the celebration of process over structure, becoming over being. We therefore present a nested foundation that synthesizes Selznick's structural function analysis of the institution as a "cooperative system constituted of individuals interacting as a whole in relation to a formal system of coordination" (p. 28) and Follett's concept of community as process (1919).

The most familiar example of integrating as the social process is when two or three people meet to decide on some course of action, and separate with a purpose, a will, which was not possessed by anyone when he came to the meeting but is the result of the interweaving of all. In this true social process there takes place neither absorption nor compromise (p. 1).

Even though we have proposed the collaborative organization as dialog, we concede that the model is nested in previous typologies of the organization as machine and organism. Bolman and Deal (1991) refer to this type of multi-frame thinking as challenging and, at times, counterintuitive. However, their approach advocates approaching situations from more than one angle. Their four frames view the organization simultaneously as machine, family, jungle, and theater, requiring the development of a capacity to think in different ways at the same time about

the same thing. The acknowledgement and respect for institutionalism and institutional mission do not deflect from the significance of the “fundamental dimension” of communication common to the organization.

Based on the theoretical focus previously presented we have chosen to frame this inquiry around a reflection of interdependent processes that involve actors within an enterprise or structure developing awareness while working on a common goal. In this section we have shifted our analysis from the broad field of organizational theory to the work of the organizational sociologists, then further distilling the unit of analysis from institutionalism to the interorganizational field. We change the conversation from one about structural significance to a framework focused on the process of organizing. This study proposes that a focus on common characteristics instead of differences in culture and mission statements will lead us to insights that can be utilized across organizations due to their connection to common human interactions whether at the individual, group, organizational or interorganizational level of analysis. However, the understanding and knowledge of subcultures with increase transferability of collaborative outcomes. Schein (2009) theorizes that in order to build “cross-cultural understanding and alignment” the recognition and management of subcultures is critical (p. 266).

These premises establish our primary observation that dialogue is the genesis of productivity. We have conceptualized collaboration as process, which we will define in the following section.

2.3 Definition of Collaboration

Collaboration is a complex intervention with multiple components. It is a process that entails institutional and individual development. Collaboration is tailor made for needs, problems, and opportunities that manifest complex, uncertain, and interdependent relationships.

Collaboration may be a defining feature of competent and optimal practice, and the failure to collaborate may be indicative of negligence and malpractice (Lawson, 2004). This review of the literature demonstrates that there is no agreement on the precise meaning of collaboration.

...While many practitioners and authors recognize the existence of a spectrum of innovations that range from agency to agency linkages to more fully integrated collaborations among multiple interest groups that focus on a singular common goal, the absence of a common lingua franca prohibits reliable communication, greater understanding and thus collective learning (Mandell & Steelman, 2003, p. 198).

[Readers note: *Lingua franca*- is a partially developed language that is employed by people who speak different and mutually unintelligible languages to communicate with each other.] Since collaboration as a concept is in semantic disarray, theoretical integration across disciplines would reduce confusion. This analysis aims to contribute to the development of a coherent, theoretically sound, research supported, and pragmatic conception of collaboration as a core organizational process. Theorists provide a variety of definitions, including public management administration which has suggested that collaboration entails multi-organizational arrangements, these generally cannot be addressed by the resources of single organizations (Agranoff & McGuire, 2003); conflict resolution which has defined collaboration as “a process of joint decision-making among key stakeholders of a problem domain about the future of that domain” (Gray, 1989, p.11); and community development which suggests that collaboration is a complex form of interaction which includes a commitment to mutual relationships and goals, shared responsibility and mutual authority, and accountability for success (Mattessich, Murray-Close, & Monsey, 2001).

The majority of scholars across disciplines agree that collaboration is a core process (Miles, Miles & Snow, 2005; Himmelman, 1996, 1997; Wood and Gray, 1991; Gray, 1989; Thomas, 1992; Liedtka, 1996; Jassawalla & Sashittal, 2006; Phillips, Lawrence & Hardy, 2000; Phillips et al., 2000, Thomson, 1998; Mattesich, & Monsey, 1992). It enables independent individuals and organizations to combine their human and material resources so they can accomplish objectives they are unable to bring about alone (Kanter 1994; Mayo, 1997; Lasker et al., 2001). In addition to the previously presented premises of adaptive problems, conflict resolution, and collaboration as a complex form of interaction we employ Gray's (1989) conceptualization of collaboration defined as "a process through which parties who see different aspects of a problem can constructively explore their differences and search for solutions that go beyond their own limited vision of what is possible. Moreover, it is a membership of individuals within organizations working together to accomplish a long-term, complex goal or set of goals, delegating autonomy and resources to the collaboration, whose efforts are highly visible to the community (Mandell & Steelman, 2003; Ciglar, 1999) combined with Follett's insight into the key to any successful organization as building and maintaining a process that sustained human relationships and dealt effectively with conflict without compromise (Lutz, 2006) into our blended definition of collaboration. Collaboration serves as a tool for conflict resolution, knowledge generation and transfer (Emery & Trist, 1965; Gray, 1989). These three major tenets are synthesized with previously presented conceptualizations to form the definition of collaboration as **a process whereby interdependent actors utilize effective dialogue to develop a shared understanding resulting in solutions to adaptive problems.**

In practical terms Randy Nelson (2008), Dean of Pixar University, describes collaboration as

the result of connecting a bunch of human beings who are listening to each other, interested in each other, bring separate depth to the problem, bring breadth that gives them interest in the entire solution, allows them to communicate on multiple levels (verbally, in writing, feeling, acting, pictures) and in all of those ways finding the most articulate way to get a high fidelity notion across to a broad range of people so they can each pull on the right lever at the right time (Nelson, 2008).

Although a common definition of collaboration might continue to elude us, the key tenets are incorporated into the previous definition, moving us toward a common conceptualization of this powerful strategy. Understanding and utilizing the central principles of collaboration will assist practitioners in making qualitative and quantitative assessments of their initiative within the spectrum of cooperative efforts found in the literature.

2.4 Spectrum of Interpersonal and/or Interorganizational Efforts

America has an unfortunate delusion of individualism, where the belief is that each person is separate and apart from all other individuals. Bellah, R.N., Madsen, R., Sullivan, W.M., Swidler, A., & Tipton, S.M., 1996) argue that Americans have wholeheartedly adopted a language of individualism and that it lies at the very core of American culture. Americans speak primarily of their individual goals desires and happiness and only secondly of their social and religious obligations. Bellah and colleagues also warn that American individualism has spread to a dangerous point, growing ‘cancerous’. They fear that individualism will leave people detached from the community and political involvement. The idea that individualism had become pronounced had also been given considerable attention by de Tocqueville (1840) and Durkheim (1893, 1897, 1898) in the past. Cardini (2006) stresses that future public policies must draw on

participatory and cooperative practices as well as increasing coordination between different spheres. Recent research supports the trend that IOC continues to expand and the imperative to collaborate extends across all sectors (Podolny and Page 1998; Eggers & Goldsmith, 2004).

The following differentiates cooperation, coordination and collaboration. We review the spectrum of both interpersonal and interorganizational activities; a clear distinction of cooperative efforts will be laid out. The cooperative imperative is clear in relation to the ineffectual yet intertwined individualism rampant throughout American society. The initial and most widely researched concept is cooperation. Stauffer (1981) argues that cooperation is not the reciprocal of competition; it results from competitive pressures as “institutions and persons need to effect efficiencies” (p. 5). Cooperation recognizes the interdependence within the American and world academy, “the overall health of institutions is bound by similar economic, demographic, political, philosophical, and social pressures” (Stauffer, 1981, p. 5) Coordination is also the implicit or explicit goal of most social policy makers (Kahn, 1969), even though there have been some suggestions that competitive relations among social agencies might serve clients better (Warren, 1977).

The amount of research demonstrating the effectiveness of cooperative efforts is staggering. The first research studies were conducted in 1957. During the past 90 years over 550 studies have been conducted by a wide variety of researchers in a wide variety of settings (Johnson & Johnson, 1992). From these 550 studies, a number of conclusions may be made (Johnson & Johnson, 1992). Working together to achieve a common goal produces higher achievement and greater productivity than does working alone. Students care more about each other and are more committed to each other’s success and well-being when they work together to get the job done than when they compete to see who is best or work independently from each

other. Working cooperatively with peers and valuing cooperating, results in higher self-esteem and greater psychological health than does competing with classmates or working independently. Cooperative learning simultaneously models interdependence and provides students with the experiences they need to understand the nature of cooperation.

Mid range in the spectrum of interpersonal and interorganizational effort is coordination. Gulati (2007) offers a succinct distinction between run of the mill cooperation and coordination. He defines coordination as,

establishing structural mechanisms and processes that allow employees to improve their focus on the customer by harmonizing information and activities *across units*. Since in most companies, knowledge and expertise reside in distinct units organized by product, service or geography. Companies need mechanisms that allow customer related information sharing, division of labor, and decision making to occur easily *across company boundaries*. This entails using structures and processes that *transcend* existing boundaries” [Emphasis is mine] (p. 104).

Beyond cooperation is collaboration. Gray (1985) proposes collaboration as domain level interdependence. Collaboration has been proposed as the only viable response to domain [disciplinary] level interdependence by Emery & Trist since each stakeholder can only apprehend a portion of the problem, by pooling perceptions, greater understanding of the context can be achieved (Emery & Trist, 1965; Trist, 1983). Hord (1986) contends that collaboration is highly recommended and the most appropriate mode for interorganizational relationships. Collaboration is distinct from hierarchical relations and involves the negotiation of roles and responsibilities in a context where no legitimate authority is sufficient to manage the situation (Phillips, Hardy and Lawrence, 1998).

Collaboration is also characterized by complex combinations of vertical and horizontal activity that allows participants to see different aspects of a problem and explore constructively their differences and search for solutions that go beyond what they can accomplish alone (Gray, 1989).

Such arrangements are a unique institutional form, consisting of processes that differ from the spontaneous coordination of markets or the conscious management of hierarchy (Powell, 1990). DiMaggio and Powell's (1983) work on structuration also examines the characteristics of collaboration. They describe three dimensions: “(1) the pattern of interactions among collaborating organizations, (2) the structure of the coalition formed by collaborating partners, and (3) the pattern of information sharing among collaborating partners”.

Lawson's (2004) conceptualization of collaboration is defined as evident when interdependent, autonomous stakeholders with their respective competency domains mobilize resources, and both harmonize and synchronize their operations to solve shared problems, meet common needs, capitalize on important opportunities, and obtain prized benefits. Usually operating with the assistance of intermediaries, these stakeholders join forces, thereby reinforcing and promoting their interdependence. Here stakeholders develop unity of purpose; forge a collective identity; develop shared language; knowledge; norms; and skills; foster equitable relations; develop conflict resolution mechanisms; agree on shared responsibilities and mutual accountabilities; promote norms of reciprocity and trust; reconfigure rules, roles, and jurisdictions; share resources; realign existing policies and create new ones; develop shared governance systems; and accommodate salient features of the local context (pp. 227-228).

Many scholars address the synonymy of terms, especially between cooperation, coordination and collaboration. A few authors address the range of cooperative effort.

Himmelman (1996) suggests that various other terms actually refer to different levels of reciprocity, with collaboration entailing the greatest personal investment, potential benefit, and potential risk. Gajda (2004) cautions that collaboration as a term, “has become a catchall to signify just about any type of interorganizational or interpersonal relationship, making it difficult for those seeking to collaborate to put into practice or evaluate with certainty” (p. 66). Collaboration is unique among the reciprocal relationships in that it involves an investment in the capacity of another (Himmelman, 1996). So while coordinating and cooperating each contribute to the accrual of one’s own skills and resources, collaborating contributes to both one’s own collaborative capital and to that of the participating others, enhancing all parties’ potential for effective collaboration in the future both with each other and with unspecified others.

Mattesich & Monsey (1992) propose that the distinctions between cooperation, coordination and collaboration are as follows: “cooperation is based on informal relationships; coordination is based on more formal relationships and an understanding of compatible missions” (p.39). The authors differentiate collaborative activity as a “more durable and pervasive relationship” (p.39) and characterize collaboration as bringing previously separated organizations into a new structure with full commitment to a common mission. They warn that such relationships require comprehensive planning and well defined communication channels operating on many levels. Authority is determined by the collaborative structure and the risk is much greater because each member of the collaboration contributes its own resources and reputation, with resources often pooled or jointly secured, and the products shared (Costa & Garmston, 1994).

The distinctions between the ranges of cooperative efforts are difficult, but have been clarified by a review of the literature in the previous section. The areas that follow can assist us

in being able to distinguish one cooperative effort from another: integration; reciprocity; interaction; relationship; action; skills; participation; mechanism; technology; process; resourcing; culture; and structure. Although all of these have not been discussed in detail, Figure 2 describes the main differences found in the interorganizational and interpersonal spectrum of activity. Distinguishing collaboration is significant to practitioners and scholars alike. The motivations to collaborate are as diverse as the terms used to express the process. In the following section we will move from describing the characteristics of collaboration to exploring the major motivations to collaborate.

2.5 Motivations to Collaborate

The concept of collaboration is clouded and there is no unified agreement among scholars to its characteristics, however it remains popular. That popularity could be due to the myriad of benefits resulting from collaboration. Collaborative arrangements are most often pursued due to a combination of risk sharing, obtaining access to new markets and technologies,

Spectrum of Interorganizational Collaborative Activity

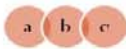


	Cooperation	Coordination	Collaboration
			
Integration	Low	Medium	High
Reciprocity	Low Risk Low Investment	Potential Risk Potential Reward	Greatest Personal Investment, Potential Benefit, and Potential Risk
Interaction	Work is accomplished independently	Formal, some integration of work. Organizations remain autonomous	Investment in the capacity of another (Himmelmann, 1996)
Purpose	Dialogue and Common Understanding	Share resources and/or ideas	Accomplish a shared vision Build Interdependent systems to address issues and opportunities All members have a voice
Decision Making (Frey et al, 2006, p387)	Independent	Some Shared	
Relationship	Interpersonal	Interorganizational	Interpersonal & Interorganizational Interagency Dialogue
Action	Exchange ideas and provide access to services and products	Develop ideas and norms for working together. Support Mutually Beneficial Goals	Fundamentally voluntary (Miles, 2000,p303)
Skills	Organizational Skills Team Player Understand discipline specific jargon Understand Vision and priorities of partners	Understand group dynamics Negotiation Skills Team-Building Skills Understand Partners' functional mandates Ability to adjust to organizational change	Planning and Organizing Project Management Stakeholder Management Tolerant of Ambiguity Relationship Building Conflict Resolution
Participation (Nature of Leadership)	Individual	Team, Group, Business Unit, Department	Senior Leadership Sponsor Strategic Participation Operational Support
Mechanism	Network	Formal Links	Facilitative Leadership
Technology	Networking, Email, Videoconference	Electronic Databases, Intranet, Data Warehouse, Document Management Technology	Collaborative Technology, Portal, Groupware
Process	Strategic Option	Mutual Adjustment	Core Decision Making Process Strategic Imperative
Resourcing			
Culture	Team Work	Cross Functional Team	Intrapreneurship
Structure Peterson (1991); Hogue (1993); Bailey and Koney (2000); Miles (2000)	Network, Association, Task Force, Council	Strategic Alliance, Coalition, Group, Partnership, Consortium	Collaborative

Figure 2: Spectrum of Interorganizational Collaborative Activity.

speeding products and services to market, and pooling complementary skills (Powell, Koput, & Smith-Doerr, 1996).

Lawson (2004) categorizes the benefits of collaboration as; effectiveness gains (e.g., improved results; enhanced problem-solving competence); efficiency gains (e.g., eliminating redundancy); resource gains (e.g., more funding); capacity gains (e.g., weaknesses are covered, workforce retention improves); legitimacy gains (e.g., power and authority are enhanced; jurisdictional claims are supported); and social development benefits (e.g., social movements are catalyzed).

Halpert (1982) describes two types of variables that provide incentives for organizations to work together: interpretive and contextual. Interpretive variables involve the attitudes, values, and perceptions of the participating actors. Contextual variables consider such factors as size, technology, centrality, complexity, standardization, economy, demographics, and resources.

Drawing on institutional theory and the work of DiMaggio and Powell (1983), Powers (2001) outlines four sets of forces influencing which organizations join an interorganizational relationship: coercive, normative, mimetic, and cognitive. Coercive influences involve power and dependence on another organization for critical resources. Such relationships may be mandated through formal authority. Normative influences involve socially embedded ties that may occur through previous alliances or referrals by a third party. Mimetic influences involve an organization copying what seems to have worked for another organization. Cognitive influences recognize “the role of reputation and perceived trustworthiness” of another organization and may choose to join networks because of this prominence or prestige (pp. 9-10).

There are several benefits of collaboration including learning, special understandings, cooperative problem solving, and cross- boundary flows that include money, people, ideas,

practices, energy, attitudes, and a host of other tangible and intangible assets. Halpert (1982) describes two types of variables that provide incentives for organizations to work together: interpretive and contextual. Interpretive variables involve the attitudes, values, and perceptions of the participating actors. Contextual variables consider such factors as size, technology, centrality, complexity, standardization, economy, demographics, and resources.

Barringer's (2000) meta-analysis on interorganizational relations uncovers a basic theme in a majority of the articles he reviews; interorganizational relationships help firms create value by combining resources, sharing knowledge, increasing speed to market, and gaining access to foreign markets. Innovation is also a popular reason to pursue collaboration. Collaboration is an acknowledgement of the basic fact that no one organization or class of organizations on its own has the resources, connections, expertise, or intellectual capital to solve intractable problems or seize emerging opportunities. Individual's abilities to generate alternatives and experiment with new solutions are limited by his or her particular routines and expertise, significant innovation is possible only by bringing together diverse experts who can educate each other. Otherwise, the ability to create new knowledge is limited by organizational routines, individual expertise, and biased interpretation of the potential value of new possibilities

Collaboration is also important to product innovation because it is inherently generative. Innovation involves change in what is produced and/or how work is accomplished in organizations, organizations are working to ensure that multiple talents, skills and key stakeholders are cooperating and collaborating from the initiating stages of product innovation in order to accelerate the process, reduce the cost, and maximize the likelihood of commercial success. (Jassawalla & Sashittal in Beyerlein, 2006). Jassawalla & Sashittal propose collaboration as a metaphor for interaction among participants in product innovation teams. In

their two stage study of product innovation processes with 14 high technology based industrial manufacturers they found that costs were reduced and an acceleration of the process was achieved when these firms were able to: encourage cross-functional communication, adopt features that flattened customer focused organizational design, incorporated structural arrangements such as liaisons and project management focused on improving coordination and cooperation among participants, cross trained key employees and rewarded people for creativity and cooperation with others.

Scholars have also found that innovation is highly sensitive to leader approach and management practices that are relationship-centered and emphasize shared power and collaboration (Kanter, 1998). Collaboration is also receiving vast attention for its ability to promote effectiveness in organizations. In collaborative relationships...each party is as committed to the other's interests as it is to its own, and this commitment reduces the need for the continual assessment of trust and its implications for how rewards will be divided. Because it is the innovation-generating relationships itself that are valued, collaborators can focus on its intrinsic aspects knowing full well that future returns will be equitably allocated (Miles, Miles & Snow, 2005).

Liedtka, Haskins, & Rosenblum (1997) conducted research on three leading professional service firms who have found success in creating capabilities for collaboration and learning that leverage individual competencies into enhanced problem solving for clients. The capability for collaboration across boundaries whether functional, geographic, or line of business, also allows the firms to find broader solutions to client problems (Liedtka, Haskins, & Rosenblum, 1997). Kanter's (2004) research supports that thesis by substantiating the importance of collaborative capital to organizational success. Collaborative capital implies the ability to cross technical

boundaries to find multidisciplinary solutions. Collaboration's value also facilitates learning at organizational and individual levels; solutions tend to be more innovative and more integrated. Many researchers have argued that shared problem solving also leads to greater creativity because each individual's abilities to generate alternatives and experiment with new solutions are limited by his or her particular routines and expertise, significant innovation is possible only by bringing together diverse experts who can educate each other.

Collaboration, however, is not purely positive in nature. The concept of partnership should not be based on some unexamined and idealized let's all do this together discourse that misses, and actually negates the dissent, struggle, and collective action on the contrary, to challenge current social organization by promoting more progressive relationships, the theoretical definition of partnership has to recognize the issue of power and establish working relationships in which struggle and dissent are discussible. The literature is weighed heavily with the positive motivations for collaboration. Critics of collaborative activity are quick to refer to the requirement of resources necessary to produce positive outcomes over an extended timeline. It is significant to note that organizations that rely on collaboration for funding and resource dependence, primarily the educational and non-profit sector are generally motivated by pressure instead of strategic choice. (Suarez & Hwang, 2008).

To summarize, the literature provides a variety of motivations to pursue collaborative initiatives. They are, however, time and resource driven, so organizations hoping to derive the many benefits possible from collaboration should be prepared for a long term commitment to the agreed upon joint outcome.

2.6 *Conclusion*

This chapter has presented a historical perspective on the evolution of collaboration establishing it as a cross-sector framework. It has also thoroughly reviewed the concept of collaboration proposing a definitive definition. The presentation of the collaboration spectrum has enabled us to categorize and characterize the different types of collaborative relationships and the stages that they may pass through as relationships and interdependence evolve.

In summary, an overview of the outcomes of collaboration solidifies its value and points to specific means of increasing collaborative capacity. Phillips, Lawrence and Hardy (2000) propose that the interactive process that defines collaboration can occur in many different ways; the ways in which negotiation, decision making and joint action occur vary tremendously across collaborative contexts. I argue that there is a common foundation in dialogue and that there is a consensus that new perspectives are achieved through perspective building and mediated conflict resulting in new collaborative approaches to meta problems. Organizations have more in common than not, self interest is not primary, we are not autonomous. Building on the thesis that dialogue is the key to collaboration allows for a convergence of building collaborative capacity within institutions and among individual collaborative participants. Johnson and Broms (2000) point out that because we've separated the ends (financial targets and performance objectives) from the means (the processes and practices used to create them), ends have come to seem more concrete, more "real," and therefore, more valuable than means. In contrast, they show how means and ends co-evolve simultaneously. "The task of managers," they argue, "is to stop treating results as a target one reaches by aiming better. Instead, results are an outcome that emerges spontaneously from mastering practices that harmonize with the patterns inherent in the

system itself. In other words, manage the means, not the results. *Means are ends in the making*” (p. 50, italics mine).

An exploration of “collaborative communication” and a clear identification of the process results in specific strategies necessary for creating organizational cultures that support collaboration and build capacity in collaborative actors. In the following chapter I would like to offer that conceptual framework.

Chapter 3: Organization As Dialogue: Development of a Systems Psychodynamic Framework of Collaboration

Thomson (1998) suggests that collaboration fits conceptually into three broad frameworks: a process framework adapted from Ring and Van de Ven (1994), an aggregative framework, and an integrative framework. As a *process*, collaboration occurs over time as organizations interact formally and informally and continues if expectations regarding reciprocity are met. The latter two frameworks are adapted from March and Olsen (1989). Viewed as an *integrative* process, collaboration involves governance through negotiation including adaptive behavior, repeated interaction, and the development of norms such as trust and reciprocity. Negotiation still occurs, but it focuses less on maximizing self-interests and more on forging commonalities than differences (Thomson, 1998). As opposed to the majority of theoretical perspectives, an *aggregative* tradition views institutions as instruments for aggregating private preferences into collective choices (March & Olsen, 1989). It is the aggregative tradition that is most useful at present. This study is aggregative in the sense of (a) crossing disciplinary boundaries and (b) synthesizing a variety of prior studies. One of the more useful aggregative approaches is found in the systems psychodynamic tradition.

Examining collaboration from a systems psychodynamic perspective allows the researcher to develop a theoretical framework that aggregates previous frameworks into a more comprehensive and powerful account of collaboration. The forthcoming framework is integrative in nature and aggregates existing theoretical approaches. It weaves the process, aggregative and integrative framework together layered on a foundation that recognizes collaboration as an individual and organizational phenomena occurring within a cultural context. The framework will then be employed in the following case analysis. The case analysis is a

longitudinal exploration of the development of collaboration between Fortune 500 companies and the military over the span of six years.

3.1 The Systems Psychodynamic Perspective

This section provides an overview of the systems psychodynamic perspective, upon which an understanding of the processes and competencies required for building collaborative capacity may be clarified. The theoretical framework underpinning this research is based on the pioneering work of the Tavistock Institute. This group of scholars engaged in action research and promoted an integration of insights from social sciences and psychoanalysis in the postwar period (Trist & Murray, 1990). Action learning theories describe organizations as undergoing evolutionary metamorphoses to correspond to changes in their environment. These theories suggest that systems and their environments are so interdependent that as one changes it creates the need for change in the other. Hence the need for mutual learning and continual readjustment is created (Michael, 1973; Schon, 1980; Morgan, 1982). Lindblom's (1959) seminal work on policy formation describes mutual adjustment as 'pervasive' (p.85). Most analyses of Lindblom's (1965) work focus exclusively on his distinction of the approaches he proposed rather than the common entry point of adjustment, "For all the imperfections and latent dangers in the ubiquitous process of mutual adjustment, it will often accomplish an adaptation of policies to a wider range of interests than could be done by one group centrally" (p. 85-86).

Systems psychodynamics is a new and emergent field. The term has only come into common usage in the last two decades. It is also sometimes referred to as socio-analysis. This contemporary paradigm has been developed to address the challenges of new forms of organizing (e.g. Gould, Stapley, & Stein, 2001; Huffington et al., 2004). The central tenet of the systems psychodynamic perspective is contained in the conjunction of "systems" and

“psychodynamic”. The systems designation refers to an open systems concept as the dominant framing perspective for understanding the structural aspects of an organizational system. These include the levels of authority, nature of work tasks, processes and activities. Systems’ thinking requires us to acknowledge that our systems are made up of a set of components that work together for the overall objective of the whole (output). In a systems process, there is a series of inputs to throughputs (or actions), resulting in outputs into the system’s environment. A system also contains a feedback loop for monitoring and evaluating the system’s input, throughput, and output. All systems are subsystems of larger and larger systems in their environment. Systems thinking is about, thinking backward from your desired outcome, determining where you are now, and then finding the core strategies or actions that will take you from today to your desired outcome.

The psychodynamic perspective refers to individual experiences and mental processes as well as the unconscious group and social processes. These processes are simultaneously both the source and a consequence of unresolved or unrecognized organizational and individual difficulties. This perspective typically involves understanding, interpreting, and working through collective defenses. The main assumption of this paradigm can be summarized as follows: Behavior is often the result of conscious and unconscious mental processes. In the study of organizing processes, conscious and unconscious aspects have to be taken into account. People create a subjective, emotional reality of the organization. Attribution of meaning, through social interaction, mediates between organizational reality and the human experience.

Examining collaboration through the systems psychodynamic lens allows practical decision makers and theorists alike to enter into a dialogue at a common entry point regardless of leadership style, organizational structure or decision making preference. Muddling through a

problem domain with multiple stakeholders is the simplest of collaborative forms where, ‘talk is the work.’ The ‘black box’ of collaborative capacity is conversation. The dialectic process serves as a mode to enable ‘the right individuals to produce the myriad of collaborative outcomes sought by so many’. The location of language is not just central to organization studies but is indivisibly enfolded in the conception of organization and the process of organization theorizing.

Focusing on “what we know” as opposed to “what we still have to learn” I propose organization as dialogue. When considering an organization as a nexus of cultures and subcultures, language is the untapped area of investigation in the field of organizational studies.

One of the challenges to examining collaboration from the perspective of dialogue is the unwillingness of most people to engage in suspension of judgment, reflective contemplation, or to question their existing interpretive frameworks. Lindblom (1965) comments on this inherent difficulty: “trouble lies in the fact that most of us approach policy problems within frameworks given by our view of a chain of successive policy choices made up to the present. Our thinking is limited by our experience due to the ‘intimate knowledge’ we have of our own organized knowledge” (p.88). Our understanding of collaborative capacity processes and needed competencies can be clarified using the systems psychodynamics perspective. The following section suggests an aggregative approach to developing a more useful theory of collaboration and draws heavily from the systems psychodynamic perspective. The focus on communication is central to our reanalysis of collaboration theory.

3.2 *Development of a Systems Psychodynamic Model of Collaboration*

For the purposes of this study collaboration will be defined as *an emergent process where interdependent actors utilize effective dialogue to develop a shared understanding resulting in solutions to adaptive problems*. In the following we will present the key processes and

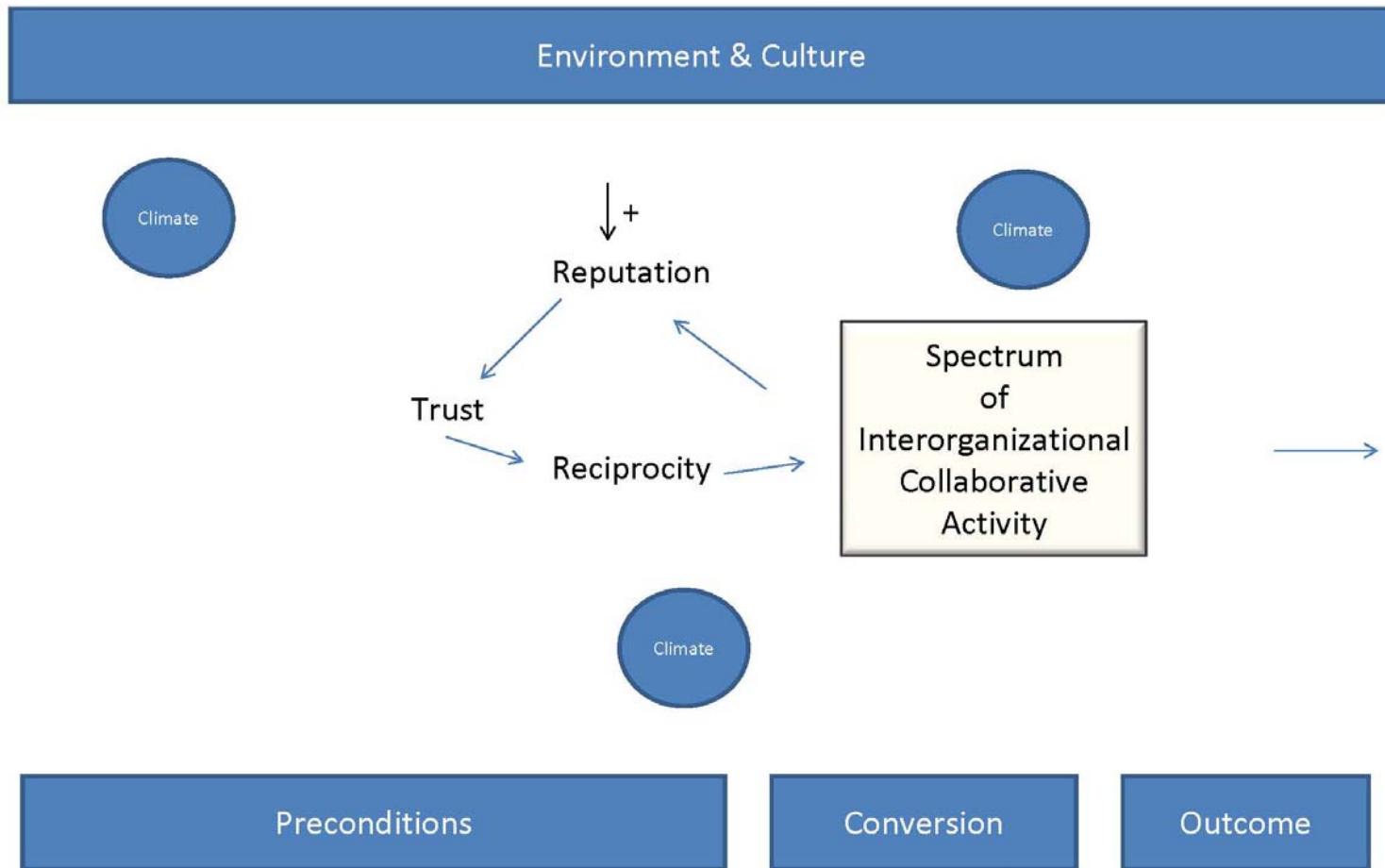
competencies required to support collaboration and increase collaborative capacity at the individual and organizational level. We build on the development of general collaboration theory and especially the work of Barbara Gray's (1989) conceptualization of collaboration as an emergent interorganizational process. The aim of this inquiry is to strengthen the theoretical foundation collaboration is founded on and assist practitioners with research based practices that inform their daily decisions. The premise of this thesis is that individuals and organizations alike find a common foundation in dialogue. There is general consensus that new perspectives are achieved through perspective building and mediated conflict resulting in new collaborative approaches to meta problems. This conceptual framework serves as an aggregate theory, building on what we know and focusing on commonality.

3.2.1 Organization as Dialogue: Collaboration Model

In this section, I offer a framework for increasing collaborative capacity. "Collaborative capacity will emerge when an organization has the right blend of work environment factors to enhance collaboration, along with the right individuals selected to work collaboratively as well" (Nemiro, Hanifah, & Wang, 2005, p. 148). The participants in a collaborative process bring with them various institutional affiliations and the institutionalized rules and resources that they employ. Collaboration, therefore, requires an initial negotiation within and across institutional fields (Phillips, Lawrence & Hardy, 2000). Institutionalized rules and resources are used in the negotiation of at least three aspects of the collaborative process: the definition of the issue or problem that the collaboration is intended to address; the membership of the collaboration; and the practices utilized in response to the problem. This inquiry precedes each of these aspects of collaboration.

Conversation serves as the nexus within IOC and it's application brings us closer to a comprehensive theory of collaboration. This model addresses the three critical and overarching issues of collaboration, as established by the research of Wood & Gray (1991, p. 140): (1) the preconditions that make collaboration possible and motivate stakeholders to participate, (2) the process through which collaboration occurs, and the (3) outcomes of the collaboration. This map is reproduced in Figure 3 to provide a guide. Ostrom (1998) incorporates scholarship from multiple disciplines to expand the range of rational choice models, to a 'better than rational' behavioral theory of bounded rationality and moral behavior. She proposes to build a bridge between the scholars who stress structural explanations of human behavior and those who stress individual choice to find common ground, "rather than continue the futile debate over whether structural variables or individual attributes are the most important" (pp. 2-3). This model is used as the framework for the initial phase of the proposed collaboration model, initiated around people and organizations.

Core Relationships Simple Scenario



Adapted from Ostrom, Elinor 1998

Figure 3: Core relationships Simple Scenario

3.2.2 The Core Relationships

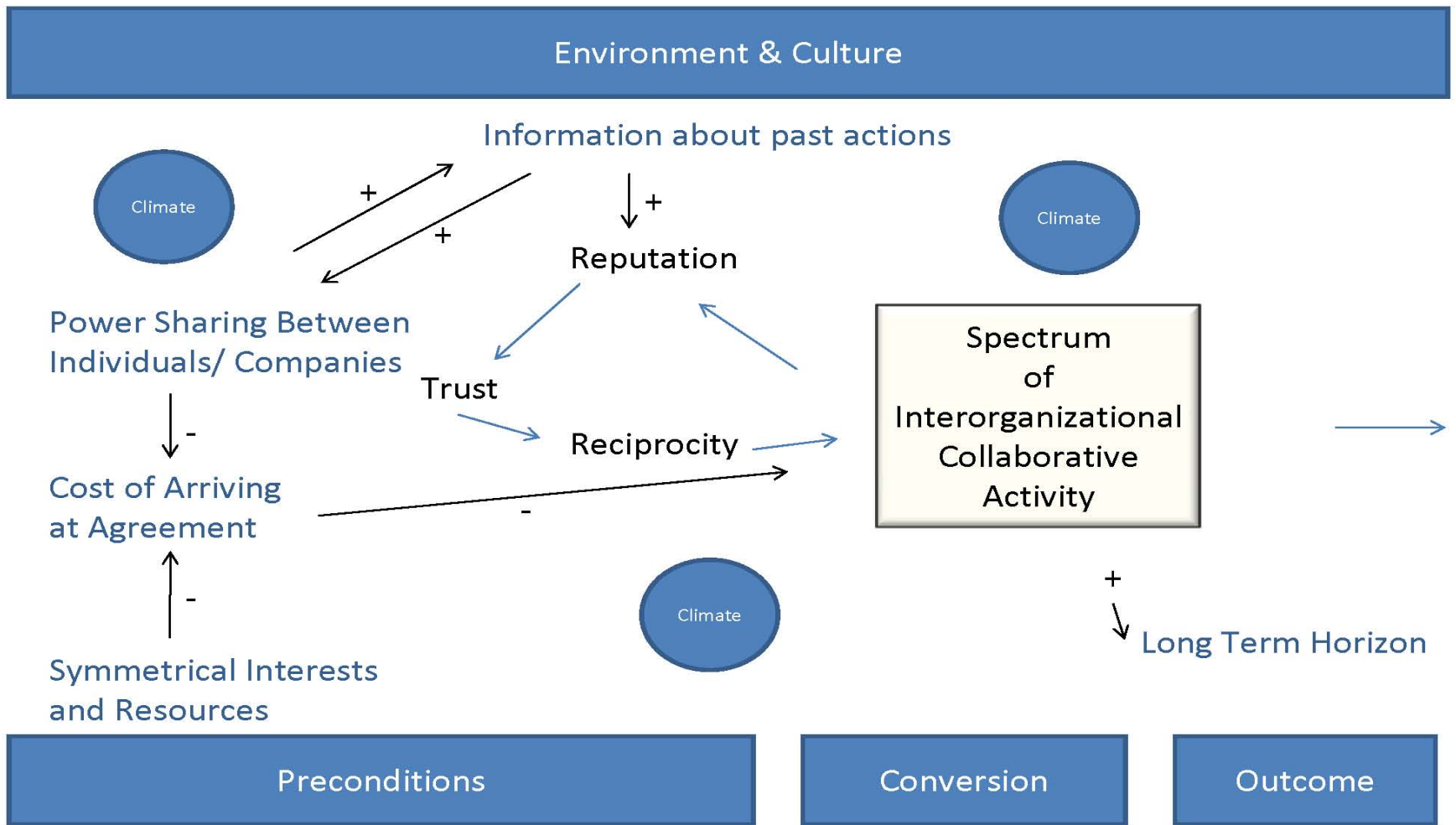
At the core we find consistent, strong, and replicable findings of substantial increases in the levels of cooperation achieved when individuals communicate face to face. Ostrom, Gardner and Walker (1994) present an extensive review of studies showing a positive effect of the capacity to communicate. The links between the trust that individuals have in others, the investment others make in trustworthy reputations, and the probability that participants will use reciprocity norms is a mutually reinforcing core affected by structural variables as well as the past experiences of participants. This leads to the various levels of cooperative activity found in the spectrum of interorganizational activity, based on communicative capacity (see Figure 2, p.40).

3.2.3 People & Organizations

Collaborative capacity refers to the capacity to work effectively with others to achieve mutually beneficial goals. Thinking about collaboration in terms of “capital” suggests a figure ground shift with respect to the phenomena of interest. Whereas collaboration focuses on the dynamics and current actions among collaborators, the notion of collaborative capital foregrounds an individual’s, group’s, or organization’s potential to collaborate in the future based on past collaborative relationships (Godwin & Rennecker, 2005).

Nicholas Negroponte, cofounder of MIT’s Media Lab, discusses the necessary ingredients as:

the basic answers-providing a good educational system, encouraging different viewpoints, and fostering collaboration. People are realizing that interdisciplinary



Adapted from Ostrom, Elinor 1998

Figure 4: Core relationships.

approaches can bring enormous value and the interdisciplinary environments also stimulate creativity. In maximizing the differences in backgrounds, cultures, ages, and the like, we increase the likelihood that the results will not be what we had imagined. In contrast, the negotiations [dialogue] associated with collaborations tend to be more complex and fundamental, leading to new understandings. There is a growing desire to enhance individual creativity, to stimulate collaborative efforts, and to continue learning how to learn. The new paradigm of industrial management emphasizes a trusting environment in which growth and empowerment of the individual are the keys to corporate success (Negroponte, 2008).

IOC requires a keen awareness of our global interdependence. The collaborative literature demonstrates that most often cooperative strategies are elevated to an intention to collaborate either by outside forces that raise anxiety about pending change or a strong conviction of collaboration's transformative potential.

One theoretical challenge is to determine whether collaboration must already be present in nascent form or whether it may be facilitated in order to progress from cooperation to coordination and finally collaboration. In this inquiry we have identified the two critical preconditions that must be present; we've moved their focus outside of the individual or organizational domain because they are both overarching concepts and foundational requirements. Those concepts include trust and a climate of shared power. The first of the two preconditions will be discussed in the following section.

3.2.4 *Trust*

Generating trust appears to be one of the critical elements common to most forms of collaboration. Trust is vital for any relationship, business or otherwise, when there is insufficient knowledge and understanding of the other person or group. We have to bear in mind that the trust involved in collaboration between organizations reflects the quality of relationships between the people, often very few of them, who represent or symbolize those organizations. Trust can be defined as the belief held by members of one team about another team that the other will behave in such a way that gains will result (Johnson & Johnson, 1994) Researchers have treated trust as a multidimensional construct including honesty, truthfulness, loyalty, competence (i.e. Technical and interpersonal skill and knowledge), and consistency. Trust is a fundamental component of all human relationships, however, because of their specific historical experiences and current institutional conditions, societies vary substantially in the meaning their members attach to trust, and the conditions for building it (Child, 2001). Kramer (1999) suggests that these perceptions of exchange partner trustworthiness are, among other things, based on the history of prior interactions with that particular individual. Kramer also states that, “a number of studies have demonstrated that reciprocity in exchange relationships enhances trust” (1999, p.575). Kramer’s review of the trust literature concludes that trust can bring a number of important benefits to cross-national collaboration, as evidenced by its association with superior performance:

1. Trust generates a willingness to overcome cultural differences and to work through other difficulties that arise in collaboration;

2. Trust between partners will encourage them to work together to cope with unforeseen circumstances. It permits them to adjust more rapidly, and with less conflict, to new circumstances which contracts and other formal agreements have not foreseen;
3. Trust can provide an alternative to incurring the costs and potentially de-motivating effects of close control and a heavy reliance on contracts;
4. Trust between collaborating organizations or corporate units encourages the openness in exchanging ideas and information which is a necessary condition for innovation and other forms of new knowledge creation. (p.575)

Kramer (2006) focuses on the benefits of trust while Ostrom (1998) outlines ways that trust can be increased over time. He presents the following five strategies:

1. By providing subjects with an opportunity to see one another
2. Allowing subjects to choose whether to enter or exit a social dilemma game
3. Sharing costs equally to voluntarily contribute to a public good
4. Providing opportunities for distinct punishments of those who are not reciprocators
5. Providing opportunities for face-to-face communication (p.12).

Kouzes and Posner (1987) have reported that trust results in team members being more willing to consider alternative viewpoints during the decision-making process.

What happens when people do not trust each other? They will ignore, disguise, and distort facts, ideas, conclusions, and feelings that they believe will increase their vulnerability to others. Not surprisingly, the likelihood of misunderstanding and misinterpretation will increase...When we encounter low-trust behavior from others, we in turn generally hesitant to reveal information to them and reject their

attempts to influence us...All of the behavior that follows from a lack of trust is deleterious to information exchange and to reciprocity of influence. (p. 147)

In addition to trust, power is also a critical element in collaborative capacity building efforts as will be discussed in the following section.

3.2.5 Climate of Shared Power

Power is conceptualized by Gray (1989) as a shared stewardship. This assumes a broader conception of power, one where power is defined as the production of intended effects not only unilaterally but also collectively. Power thus becomes catalytic, not commanding, and facilitative rather than dominating. Major inequities in power are a deterrent to collaboration.

Collaboration requires the ability to work effectively across multiple cultures, to respect and value the different perspectives that each brings and to know when to grant authority based on knowledge and experience. Collaborative initiatives reflect several key characteristics of power sharing.

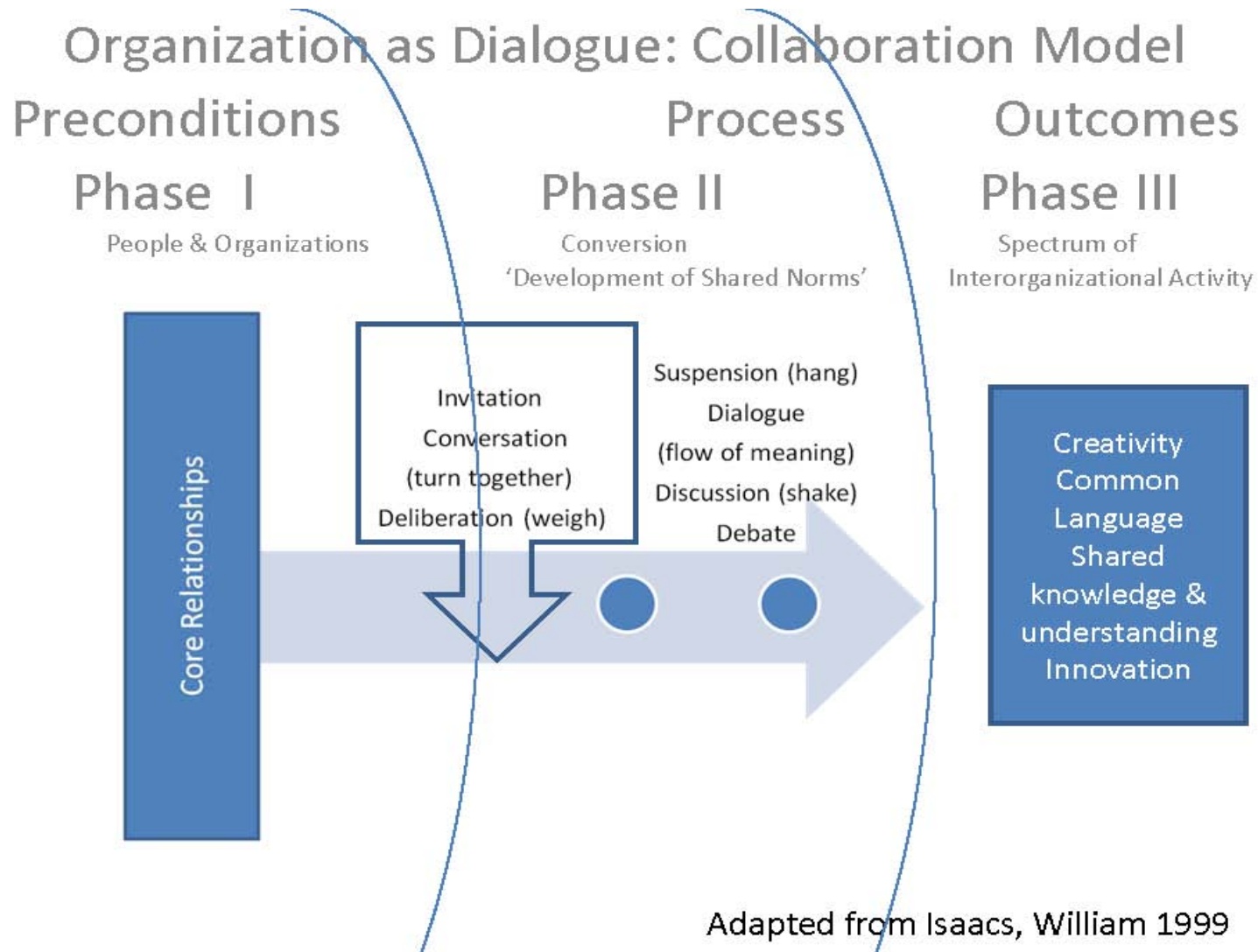


Figure 5: Organization as Dialogue.

3.3 Phase I Preconditions

Effective collaboration practices require the development of individual and organizational competencies that include: the ability to recognize when to collaborate (and when not to), the ability to determine who needs to be involved in the collaboration (and who shouldn't) and the group processes that enable effective collaboration (Huffington et. al., 2004; Page, M., 2003). Southern (2005) calls for a shift in how we think about relationships with others and value aspects of the relationship that are uncommon such as seeing the importance of our relationships to support out common mission and to provide opportunities for continued learning. In the individual we look for 'T shaped skills', that is, breadth of knowledge as well as depth of specialization. The organizational preconditions include the culture, climate and the business processes that function within the organization to include the role of teamwork and performance management. Within collaborative initiatives it is critical to consider several facets of the individuals serving in key roles. The major tenets of the individual perspective include the general skills, talent selection and development and the specific roles that those individuals play are significant to increasing collaborative capacity. These individual competencies are described in the following section.

3.3.1 Individual Competencies

This section discusses three individual attributes that are necessary for successful Phase I collaborative processes to emerge. These three attributes are skills, talent selection (i.e. effective talent identification and acquisition) and the willingness or aptitude to adopt new organizational roles. Together these attributes point to the need to transform the bureaucratic organizational

man of the 20th century in to the collaborative organizational person necessary in the 21st century.

Environments are complex, uncertain and turbulent; reducing these factors is among the central challenges of an organization. A foundational tenet of that turbulence and central topic of this inquiry is communication. The two primary communicative paths are either technical, such as the language of a specific profession, or relational in nature. The implementation of primarily bureaucratic structures has resulted in incompetence when attempting to build relations across technical silos in the organization. Communication happens only on each personal boundary line, which is dynamic, and acts on two levels: the technical and the relational. The presence of a connector, mediator, translator, and negotiator, who has both human and technical training, is essential. Effective collaboration concerns how companies attract, hire, train and retain skilled people. Highly skilled personnel are an essential precondition for collaborative capital (Koch, 2005). Morgan & Lassiter (1992) define skills as the ability to do something specific, usually obtained through training and practice. This presupposes that investments are being made to build organizational and individual collaborative capacity. The presence of the connector role is embedded in internal team structures, not as third party facilitators.

3.3.2 *Skills*

Collaborators are systems thinkers who have multifunctional skills. In a presentation on MIT Open Course Ware, Thomas Friedman discusses his thesis of the world being flat. His premise focuses on the digital platform that connects Bangalore, Boston and Beijing enabling users from any of these places to, “plug, play, compete, connect and collaborate.” Friedman believes that innovation will come from, “having two or more specialties,” from those people able to connect the dots and mash them together” (Friedman, 2007)

The skills required of collaborators are distinct. Collaborative participants should have skills such as lateral influencing, based on personal authority, the competence to build collaborative relationships, the ability to acknowledge and manage the uncertainties and ambiguities of roles, the capacity to share responsibility for direction setting and to work creatively with sameness and difference (Huffington et al., 2004; Page, M., 2003). Mankin, Cohen & Fitzgerald (2004) refer to these traits as lateral skills, competencies that enable people to build bridges with others. Nicholas Negroponte of MIT describes perspective as a key tenet. The ability to make big leaps of thought is a common denominator among the originators of breakthrough ideas, “usually this ability resides in people with very wide backgrounds, multidisciplinary minds, and a broad spectrum of experiences” (2003). Randy Nelson (2008), Dean of Pixar University, discusses the selection process at Pixar. The four critical factors Pixar uses in talent screening are:

1. Depth-The portfolio vs. the promise of the resume. Mastery in anything is a good predictor of depth.
2. Breadth- No one trick ponies or narrowness. Extremely broad. The predictor is someone who is more interested than interesting.
3. Communication- Willingness to work on the communication as a destination not as the source. A broad range of experience in the world is the thing that fuels that. For example as a programmer that has studied art, you are able to do the translation at the sending end. The emitter cannot say they are articulate. Translation at the sending end, vs. the emitter.
4. Collaboration- The most important of the four. An amplification of cooperation. (Nelson, 2008)

These skills can be portrayed as "T-shaped" skills: a rich depth of technical expertise in one area, coupled with an ability to *link* that work with other areas. In truly collaborative spaces, risk taking, experimentation, careful listening, intuition, building on others ideas and exploration are also critical skills to develop in the human element (O'Hara-Devereaux & Johansen, 1994). Gulati (2007) describes the capable employee as an individual with two kinds of generalist skills. The first is experience with more than one product or services, along with a deep knowledge of customer needs (multidomain skills) and the second is an ability to traverse internal boundaries (boundary spanning skills) ... Enhancing skill sets is only part of the challenge of capability building.

3.3.3 *Talent Selection*

Selecting the right individuals and further developing these critical lateral skills in those individuals is just as important to collaborative capacity as appropriate work environments and organizational designs. No amount of organizational redesign can result in organizational learning unless supported by solid personal relationships, built through lateral skills (Nemiro, J., Hanifah, S., & Wang, J., 2005). Liedtka, Haskins, & Rosenblum (1997) conducted research on three leading professional service firms who have found success in creating capabilities for collaboration and learning that leverage individual competencies into enhanced problem solving for clients. The recruiting processes at each of the three firms were distinguished by specific criteria to identify candidates. All three firms looked for *analytic* talent to do the technical work, human qualities to do the *relationship* work, and *entrepreneurial* instincts to do the organization-building work. They sought "multilingual" individuals capable of managing both content and process. They deemed all three criteria essential (Liedtka, Haskins & Rosenblum, 1997). Thus the selection process began with clear criteria that focused on qualities designed to make

collaboration work in the long term: capable, trustworthy colleagues, with high potential for personal growth, who were oriented toward working together and committed to thinking, at an organization wide level, about the firm's business.

3.3.4 Leadership Roles Necessary for Collaboration

Collaboration may not arise spontaneously and often requires key individuals with specific capabilities to initiate collaborative processes (Marot, Selsky, Hart & Reddy, 2005). When they pool their energies they can become important forces for change in their field (Trist, 1983). Acting as “institutional entrepreneurs” (Rao, Morrill, & Zald, 2000) they diffuse new practices in a field through industry and other networks (see Holm, 1995; Greenwood, Suddaby, & Hinings, 2002). These new professionals cannot be defined in traditional ways. They are inter-professional mediators who are able to cross over the boundaries of different disciplines of study to enlarge the borderlands of the aggregate of individuals in groups (Bettiol, 2005). They orchestrate a vision, follow through on a work plan, communicate regularly with key members, and schedule meetings to facilitate collaboration. In political arenas, such individuals have been called policy entrepreneurs. Ordinarily this individual is someone who holds an administrative position in one key organization, can command resources, build trust among participants, empower members, and has the professional or technical respect of the participants. This individual may or may not be the convener or chairperson (Agranoff, R. & McGuire, M., 2003). Proactive individuals locate and resonate with other individuals who are moving in the same direction. When they pool their energies they can become important forces for change in the field (Trist, 1983). Acting as “institutional entrepreneurs” (Rao, Morrill, & Zald, 2000) they diffuse new practices in fields through industry and other networks (Holm, 1995).

Daniel Pink (2005) proposes that people who hope to thrive in the conceptual age must understand the connections between diverse, and seemingly separate, disciplines. They must know how to link apparently unconnected elements to create something new. He describes this sort of person as a *boundary crosser*. A boundary crosser is a person who “can operate with equal aplomb in starkly different realms.... They develop expertise in multiple spheres, they speak different languages, and they find joy in the variety of human experience” (p. 136). These multifaceted people often solve problems that stump the experts.

The management of collaborative efforts has also been known to require a *hybrid managers*, who speak the languages of the various parties and are credible to each of them (Morris, 2002). Another critical function in IOC has proven to be the *relationship manager*. Although there is not a common term for this specialized role, we can identify common traits. The managing of relationships has become one of the most important matters. This has created a need for new professionals that cannot be defined in traditional ways. They are inter-professional mediators who are able to cross over the boundaries of different disciplines of study to enlarge the borderlands of the aggregate of individuals in groups. (Bettiol, 2005).

The *knowledge broker* is another important role to facilitating collaboration. Cullen quoted in Kirke (2002), “The knowledge exchange function is so important to our survival...that it needs professional attention...We employ knowledge brokers to do this task. People with a strong technical base and strong communication skills. They are the synthesizers and packagers of knowledge rather than creators of new knowledge. Intermediary, neutral people and organizations often are needed in the development and institutionalization of collaboration. Wenger (2000) comments that these intermediary people are also known as inter-professional

leaders, resource coordinators, linkage agents, and community developers in addition to boundary brokers.

Boundary brokers enable collaboration across disciplines that are enhanced by using senior personnel as cross-boundary knowledge brokers. As brokers between communities they can introduce elements of one practice into another. Certain individuals thrive on being brokers: they love to create connections and engage in ‘import-export’, and so would rather stay at the boundaries of many practices than move to the core of any one practice.

Brokering can take various forms, including:

- Boundary spanners: taking care of one specific boundary over time;
- Roamers: going from place to place, creating connections, moving knowledge;
- Outposts: bringing back news from the forefront, exploring new territories
- Pairs: often brokering is done through a personal relationship between two people from different communities and it is really the relationship that acts as a brokering device.

Brokering knowledge is delicate. It requires enough legitimacy to be listened to and enough distance to bring something really new.

Several titles exist for individuals actively managing collaborative initiatives. In the leadership role we often see an organizational sponsor, gatekeeper, partnership manager or partnership coordinator. As day-to-day support the titles most often found are partnership facilitator and project manager. The collaborative person combines intuition and inquiry and functions from an asset based perspective (rather than a focus on problems). An array of political, analytical and people skills enable them to mobilize key support for their visions. Lateral skills such as emotional intelligence, communication, maturity, patience under pressure

and empathy are among the most critical (Prins, 2006). From a psychodynamic perspective, the role of a collaborative facilitator in a change process is to be a ‘comforter’ and to – temporarily – contain the anxieties stirred up by the uncertainty and ambiguity of the process (Amado & Ambrose, 2001). This facilitator helps participants to adapt rational knowing and emotional feelings to the emergent situation (Vansina, 2004). Investing in building these skills within organizations and among collaborative participants ensures sustainability of particular initiatives. Difficulty with role transitions emerges as an obstacle to collaboration. Other cross functional, cross disciplinary and interorganizational processes are confronted by similar challenges. The skills, roles and specific talent selection strategies require thoughtful consideration at all stages of collaborative initiatives with an intent to build capacity.

3.3.5 Organizational Competencies

In this section we examine the organizational attributes that must be present if collaboratively oriented individuals are to be successful. These attributes include (a) the culture and unit subculture of the organization; (b) prevailing institutional and organization business practices; (c) willingness to transcend “silos” to share knowledge; (d) teamwork; and (e) performance management.

Collaboration acknowledges the basic fact that no one organization or class of organizations on its own has the resources, connections, expertise, or intellectual capital to solve intractable problems or seize emerging opportunities

3.3.5.1 Organizational Culture

Collaborative capital can only be fully invested within cultures that foster collaboration. Cultures define and reinforce how people act. People cannot and will not act collaboratively

when the culture encourages competitive, individual behavior. Establishing cultures of collaboration requires changing the way we understand ourselves in relationship with others and changing the language to be congruent with that understanding. Collaborative capital is built over time as organizational cultures are created that thrive on diversity and continuous learning. As people challenge existing assumptions and limiting beliefs, take personal and collective risks, disagree, and learn from both success and mistakes, trust and confidence is strengthened and the organization builds greater capacity to meet challenges and serve the greater good (Southern, 2005).

Gulati (2007) describes the culture of cooperation as a one in which people are rewarded for breaking through silos to deliver customer solutions. These customer-centric companies live by a set of values that put the customer front and center, and they reinforce those values through cultural elements, power structures, metrics, and incentives that reward customer-focused, solutions oriented behavior. Gulati goes on to claim that at least half the battle of promoting cross-silos customer focused cooperation lies in the “softer” aspects of culture, including values and the way the company communicates them through images, symbols, and stories.

Another admittedly soft but powerful cultural tool for aligning employees around customer needs is to treat your workers the way you want them to treat customers. The hope is that people will adopt a collaborative orientation and customer focus because they want to and not just because they’ll reap a financial reward. Beyerlein, Freedman, McGee and Moran (2003) describe a collaborative culture as one that includes: trust and respect in everyday interactions; egalitarian attitudes among members at all ranks; power based on expertise and accountability; shared leadership where all members take initiative; valuing of diverse perspectives; commitment to the success of other members as well as one’s own; valuing of truth and truth

telling; commitment to continuous improvement of the whole organization; active learning; and personal responsibility. The facets of culture determine both the nature and the style of the organizational routines that drive the effectiveness of communication, cooperation, and collaboration within an organization.

Nicholas Negroponte, cofounder of MIT's Media Lab, argues that the stronger and more homogenous the culture the less likely it is to harbor innovative thinking. "Common and deep seated beliefs, wide-spread norms, and behavior and performance standards are enemies of new ideas" (2003, p. 34). A heterogeneous culture, by contrast, breeds innovation by virtue of its people, who look at everything from different viewpoints. Jassawalla & Sashittal identify distinctive collaborative cultures within their study of fourteen high technology based industrial manufacturers (2006). Their focus is on the psychosocial environment that includes beliefs, values and assumptions in addition to physical artifacts such as observable rituals, physical symbols, mythologies, and vocabularies. Institutionalized cultural patterns act as a resource for solving problems while simultaneously constraining action and the ability of social actors to conceive of options as they act in everyday situations. Schein (1993) believes that the ability to perceive the limitations of one's own culture and to develop the culture adaptively is the ultimate challenge of leadership.

3.3.5.2 Unit Subculture

Researchers have found that subcultures or work environments may exist at the group level as well as the organizational level (Powell & Butterfield, 1978). Sackmann (1992) found that some aspects of an organization's environment were homogeneous throughout the organizations; other aspects differed considerably across subgroups within the organization. Gersick (1988) found that the success or failure of a work team depended heavily on the

environment of the group. Researchers of organizational climate distinguish between more holistic, omnibus measures of organizational climate, and those that attempt to study specific climates of interest.

3.3.5.3 Business Processes

Embracing the collaborative philosophy and integrating it within existing processes is critical to building collaborative capital throughout the organization. The creation of both structured and unstructured avenues for individuals to come together in the collaborative process is necessary (Koch, 2005). Collaboration is not a spontaneous process, conversations must be facilitated. Collaboration is not an organizational design or a structure.

3.3.5.4 Knowledge Sharing, Transcending Silos

Collaborative knowledge generation depends on collaborative learning, as well as collaborative creativity. The shared learning may be incremental, but can be profound, including changes in basic assumptions that lead to significant shifts in perspective (Liedtka, Haskins & Rosenblum, 1997). Knowledge and learning across many different types of industries and organizations will succeed to the extent that they can use superior knowledge and capabilities to create a continuous stream of innovative products and services. On the horizon of the twenty first century is the possibility to utilize a global knowledge base. Industries driven by knowledge are forced to face the challenges posed by global economic competition. Learning to quickly create and share knowledge will foster innovation. Successful business operations across a variety of industries will depend on abilities to collaborate vertically and horizontally both internally and across organizations. Organizations have been quick to experiment with

geographically dispersed work teams to take advantage of interorganizational and inter-national opportunities and maximize the use of scarce re-sources.

Building *collaborative capital* is presented as a transformative process requiring a shift in individual and collective beliefs and assumptions and new patterns of action and supporting structures that encourage communicative competence and risk taking. The field of transformative learning in adult education provides research and theory that informs our understanding of how to foster transformative learning and change at the personal level. Cramton (2001) describes frames of reference as ‘complex webs of assumptions, expectations, values, and beliefs that act as a filter or screen through which we view ourselves and our world’ The integration of these diverse perspectives creates an opportunity for knowledge sharing and creation. Knowledge is created by means of a dynamic that involves the interplay between the explicit and the tacit, that is, the knowledge conversion process (Nonaka & Teece, 2001). J. Douglas Brown in *The Human Nature of Organizations* (1974) argues that science and technology have not altered the persistent and controlling attribute of human organization- namely, whatever the organization’s size or form, it continues to be subject to the complex and unpredictable initiatives and responses of the individual human beings who make it up. This is the human nature of organizations. Organizations require hierarchy, specialization, and coordination. Creativity does not readily fit these requirements.

Ranjay Gulati in a May 2007 *Harvard Business Review* article entitled, “Silo Busting,” discusses the findings of a five-year study of the challenge of top and bottom-line growth in the face of commoditization. Two-thirds of the senior executives surveyed cited that they have trouble harnessing their resources across internal boundaries in a way that customers value and are willing to pay for. Gulati goes on to describe how companies in their initial attempts to offer

customer solutions are likely to create structures and processes that transcend rather than obliterate silos. These boundary spanning efforts may be highly informal- even as simple as hoping for or encouraging serendipity and impromptu conversations that lead to unplanned cross unit solutions. Gulati (2007) defines coordination as establishing structural mechanisms and processes that allow employees to improve their focus on the customer by harmonizing information and activities across units. In most companies, knowledge and expertise reside in distinct units- organized by product, service or geography. Companies need mechanisms that allow customer-related information sharing, division of labor, and decision making to occur easily across company boundaries. This entails using structures and processes that transcend existing boundaries. Organizations seeking to improve information sharing and knowledge generation need to develop a greater awareness of the processes and strategies of organizational learning. Organizational knowledge is distributed across functional groups and its generation and continual existence is dependent on the overall communication climate which is embedded in the organizational culture. Collaboration requires the ability to work effectively across multiple cultures, to respect and value the different perspectives that each brings and to know when to grant authority based on knowledge and experience. The integration of these diverse perspectives creates an opportunity for knowledge sharing and creation. Building collaborative capacity can only be fully realized within cultures that foster collaboration.

3.3.5.5 Teamwork

Traditionally teamwork has focused on reaching agreement rather than engaging in disagreement. Brown uses Barnett Pearce's (1989) cultural communication model to show how different cultural perspectives and practices of communication ignore or engage in disagreement as a resource for learning and change. Brown states that:

while the modernistic communicator may engage disagreement, it is generally in the form of us and them. The cosmopolitan communicator sees disagreement as an opportunity for learning different ways of constructing reality, and interprets disagreement as a resource as long as it does not completely block coordination. Disagreements about what should be done are seen as conflicts between different views and try to increase their knowledge to see which “right” might be more appropriate, or if there might be a third way of resolving the conflict. (p. 53)

Collaboration requires us to be cosmopolitan communicators, people who consider different points of view and bridge those differences to create new perspectives. Ability refers both to the capacity of team members to share knowledge and to the effectiveness of the organizational structural communication process that occurs between knowledge sharing partners.

Highly coordinated and cooperative teams produce synergy, or results that are more effective than the sum of the individual team member contributions. Groups are an important mechanism to accomplish the work of organizations and higher education institutions. Teams have the advantage of bringing multiple perspectives to bear on issues and of promoting thinking that goes beyond the confines of a single department, unit, or discipline. As institutions strive to be more cross-functional and interdisciplinary, teamwork will be key. Rentsch and Hall (1994) provide a good rationale for the importance of team member characteristics in the context of the person-environment fit. High team performance requires that the team members have the specific knowledge, skills, and abilities that fit or match those needed to do the team’s work. Team performance can be expected to increase if the type of work being performed fits or

matches the values of the team members, not much can be accomplished if the team members do not possess the skills, abilities, and knowledge that are relevant to the team's objectives.

3.3.5.6 Performance Management

The reward system of the organization is particularly influential. If rewards are based on individual performance conflict is more likely to occur as team members struggle to make themselves look good, regardless of the effects on the team's overall performance (Johnson & Johnson, 1992). In the synthesis and prospectus of the *Political Psychology of Cooperation*, Sullivan, Snyder, Sullivan and Chapp (2008) emphasize that structural solutions are difficult to achieve for three reasons. First, rewards and punishments have a marginal effect on behavior. People gain various social rewards through interpersonal interaction that cannot be controlled by structuring the task or reward system. These social rewards may create individual incentives that are not aligned with group goals. Secondly, in an organizational setting, membership in a given group is unlikely to be an individual's only role, and people therefore have other personal and professional agenda and finally, people may not accurately perceive the structure of the tasks or the rewards. As partnerships convert from simple information sharing and coordination of tasks to more collaborative efforts the individual competencies of skills, talent selection, and specific organizational roles become more critical. The person in the organization allows for a transformation not necessarily of structure but rather of capacity. The organizational culture sanctions collaboration while subcultures either stifle or enable the development of collaboration. These preconditions are not limited, but rather are those supported by the literature and scholars.

Individual and organizational preconditions work together as existing processes are formed to enable collaboration. Individuals are enabled by an organizational process to incorporate risk taking, share learning and knowledge and incorporate creativity and innovation

more freely into their process to reach established organizational outcomes. The process that these preconditions travel through are discussed in the following section, where we establish the heart of collaborative capacity as deep dialogue.

3.4 Phase II Conversion Process through Dialogue

Building collaborative capital is a transformative process requiring a shift in individual and collective beliefs, or specific ‘habits of the mind.’ These new patterns of action are regenerative. The following process variables reflect the emotional and cognitive dynamic that characterize human interaction from a systems psychoanalytic perspective.

The initial invitation is the genesis that leads us to collaboration, and as the conversation continues we begin to turn together to each other and experience the unfolding that occurs when we respond. If the chosen path is to collaborate, the talk evolves to deliberation and suspension where listening without resistance or imposition and allowing for the suspension of assumptions, judgments and certainty (Isaacs, 1999) takes us deeper into the nexus of collaboration. At its heart we move in and experience dialogue. Collectively they enable the process of collaboration.

3.4.1 Invitation

We cannot speak of collaborative capital without acknowledging the importance of how we communicate and take action. Once we recognize the importance of diverse perspectives, disagreements, and a cultural environment that supports learning and knowledge sharing, we need to develop processes for engagement. Dialogue, as a way to engage in conversations that are contextual and meaningful, is an important strategic resource (Southern, 2005). Cardini (2006) details language and culture as organizational constraints to partnering. “Partnerships have to deal with organizational difference around professional languages and culture. Different

professional languages, and values associated with it, are an important source of misunderstandings within partnerships” (p. 401). Americans continue to become de-voiced as our culture evolves toward more individualism. We spend less time in conversation with others and more time at our computers, in our cars, and in front of the television, we become isolated and lose our ability to communicate. As more and more people are working from home, geographically dispersed and spanning disciplines and areas of expertise an emphasis must be placed on fostering relationships in organizations. Collaboration requires trust and communicative competence. J. Douglas Brown (1974) states that communication is organization in action. In human organization, leaders depend upon the communication of an understanding of mission, means, and method to effect response, both rational and emotional, in the human beings who form the organization. Since both the initiation and response in this process of communication are human-centered, the human nature of this aspect of organization is clear. The complex of technical devices which have come to facilitate the process of communication in larger organizations tends to divert attention from the essential truth that effective communication in larger organizations is more a matter of minds than of machines

3.4.2 Conversion, Turn Together

The human nature of communication within organizations enforces the human character of the whole. As the new business landscape continues to emerge, and new forms of organization take shape, our ability to lead will be dependent upon our ability to host and convene quality conversations. Southern (2005) refers to dialogue as a conversational process that engages a deep level of inquiry to explore new thinking and make new meaning. Dialogue assumes a respect for diverse perspectives which is demonstrated through listening with care and curiosity. Buber (1947/1955) describes “the basic movement of the life of dialogue is the turning toward

the other” (p.22) He sees the necessary relationship as one of “I-thou,” showing respect and honoring of the other. Dialogue is much more than an exchange of words. It is exchange of meaning from which new meaning is made collectively. Friere (1992; 1994) describes dialogue as a democratic relationship, as an opportunity available to open up to the thinking of others.

Dialogue engages us in a communicative relationship that has the power to transform how we live and work together. It is the necessary, core process from which other collaborative processes emerge. This form of communication is essential for successful collaboration. Effective collaborative communication requires participants to suspend preconceived meanings and beliefs. This allows dialogue and discussion to move in new directions. This in turn facilitates constructive debate, often leading to the emergence of new understandings, relationships and practices.

3.4.3 Deliberation, Weigh

Much has been written about the capacity of collaboration to generate new and better ways of thinking about complex problems. This capacity, which is reflected in partnership goals and plans, derives from the strengths that emerge when many “heads” or “voices” are brought together, particularly when the people involved contribute different kinds of knowledge and perspectives (Richardson & Allegrante, 2000). Gray (1989) notes that the development of domain level collaboration is complex and often dialectical in nature (Zeitz, 1980; Gricar & Brown, 1981). According to Heidegger, we live in language. As rational beings, we construct our world through language. Language is the fabric of cultures. Words are meaning laden and shape how we think about concepts. Establishing cultures of collaboration requires changing the way we understand ourselves in relationship with others and turning together so that our language can be congruent with that understanding.

3.4.5 *Suspension, Hang*

“The purpose of thinking is not to be right but to be effective...Being effective means being right only at the end” (De Bono, 1970, p. 10). Vertical thinking involves being right all along. Judgment is exercised at every step. In lateral thinking, judgment is suspended. In this regard judgment, evaluation and criticism are regarded as similar processes. Lateral thinking emphasizes challenging assumptions (De Bono, 1970). Bohm (2004) suggests that both within our own and the context of our dialogue we are able to suspend assumptions. Senge (1990) describes this process as neither repressing a reaction or following through on it, but rather fully attending to it (p.xxiv). The action of suspension allows for a natural unfolding, “observe these things, be aware of them, and of their connection” (Bohm, 2004, p.84). Insight affects the whole, “inferential understanding, the chemical level, the tacit level, the material process” (Bohm, 2004, p.94).

3.4.5: *Dialogue, flow of Meaning*

All communication beyond the simplest forms of face-to-face interaction involves symbols. Symbols, in turn, vary cross culturally. It is because symbols must be used in the communication of ideas, values, qualities, or judgments that misunderstandings are likely to result. The real test of cohesion and continued growth will be the ability of human beings to understand clearly the meaning of the messages they receive so that they can take action with intelligence and zeal. Isaacs (1999) describes dialogue as “a conversation in which people think together in a relationship” (p.19). Mezirow (2000), drawing on the work of Habermas, describes communicative learning as focused on understanding the context and meaning. “Communicative learning requires that we assess the meanings behind the words: the coherence, truth, and appropriateness of what is being communicated; the truthfulness and qualification of the speaker;

and the authenticity of expressions of feeling. We must become critically reflective of the assumptions of the person communicating” (p.9). When people with different perspectives and experiences come together with an orientation to learn and reach new understanding through conversation, sharing their thoughts, experiences, questions, and learning’s, they create the possibility for authentic relationships and collaborative action (Southern, 2005).

Argyris (1992) posits that everyone develops a theory of action, a set of rules that we use to design and implement our own behavior so as to understand the behaviors of others. “With the intention of making meaning together, we can learn to talk together in new ways that encourage reflection on beliefs and assumptions, and invite multiple perspectives” (Argyris, 1992, p.103). The challenge is that most people are not fully aware of the beliefs and assumptions behind their theories of action and thus unable to recognize the gap between their espoused theories and their theories in action (Argyris, 1991). Argyris (1974) describes a key factor in supporting individual and organizational learning as the ability to move from the more common *single loop learning*, correcting a problem and making appropriate changes to continue down the predetermined path, to *double loop learning*, questioning the underlying assumptions of the path and the thinking that created the path.

3.4.6 Discussion, Shake

Through dialogue and discussion, the flow of meaning is broadened and deepened and participants’ preconceived assumptions and beliefs become altered. One is “shaken” and required to reassess their prior beliefs.

Gadamer (1975; 1994) refers to authentic relationships and collaborative action as a fusion of horizons, an enlargement of our own horizon (my world) through understanding that which is different, giving us the ability to co-create our world. The communicative act of

dialogue is transformative on an individual level. It creates an opportunity for shared meaning and action.

Southern (2005), drawing on the work of Habermas, proposes a model that can be understood by placing communication within the world of language and action. Collaborative thinking, as mentioned earlier, can also be described as transformative. People and organizations change when they are exposed to partners with different assumptions and methods of working (Mayo, 1997). Transformative learning requires deep shifts in our frame of reference. Transformation implies:

- Knowledge and learning as social,
- a freedom from coercion and distorting self-deception,
- an openness to alternative points of view,
- empathy and concern about how others think and feel,
- the ability to weigh evidence and assess arguments objectively,
- a greater awareness of the context of ideas
- an equal opportunity to participate in the various roles of discourse,
- a willingness to seek understanding and agreement.

In addition, transformation implies accepting the results as a test of validity until new perspectives, evidence, or arguments are encountered and validated through discourse as yielding better judgment (Mezirow, 2000). These also involve what Bellah (1985) and others refer to as “democratic habits of the heart”: respect for others, self-respect, willingness to accept responsibility for the common good, willingness to welcome diversity and to approach others with openness. Deep dialogue includes an emphasis on active listening, domination is absent, reciprocity and cooperation are prominent, and judgment is withheld until one empathically

understands another's point of view. Empathy is a central feature in the development of connected procedures for knowing....attentive caring is important in understanding not only people but also the written word, ideas, even impersonal objects" (Belenky, 1986, pp. 143-146).

Communicative competence occurs when the principles of comprehensibility, shared values, truth, and trust are met in conversation (Southern, 2005). In any process of communication two translations occur. The sender must translate the conceptualization in his mind into a symbol. The receiver must translate that symbol into a conceptualization in his mind. The sender assumes all too readily that the sent and returned symbol will remain undisturbed. It might be argued that word meanings are more precise where communications deal with content that is specific and practical. This might be true if such content could be neatly separated from value judgments. To assure that the symbols used in a vital process of communication in the leadership of an organization come through clearly and accurately requires a sustained system of interaction between the sender and the receiver of the messages employing those symbols. The more complex the concepts symbolized, the more rigorous must be that interaction. The process is one of exposition and question, clarification and discussion, illustration and counter illustration, and the sharpening of the differentiation from other concepts, this is again an educational process. It is also communicating at its best, sometimes referred to as "deep dialogue."

Several conclusions can be drawn. First, if communication is to be an activating force in organizations, the leader must not only clearly understand the vast range of concepts with which he deals; he must also be educated in the precise and demanding art of translating these concepts into words, sentences, and paragraphs that accurately convey his meaning to his readers or listeners. Second, symbols and total exposition must serve to activate the responses being

sought. Response is the nub of the problem, and response is a very human thing. A written message is not exact if the word symbols it uses do not translate into identical concepts at both ends of the processes. Therefore, the facilitation of shared meaning-making through oral, face-to-face discussion is essential. The written message is thus reinforced and stands as a record of a mutually confirmed understanding. A third conclusion that can be drawn is that communication in a closed organization is seldom a single act, but is rather an evolving, reinforcing system encompassing far more than any discrete message. Past messages as well as past actions related to them become relevant to the interpretation of new messages. Past responses affect the content of new efforts to gain response. That is why seasoned organizations, like seasoned basketball teams, do better than newly formed organizations, even with better members. A fourth conclusion is that the values, purposes, standards, motivation and the personality of the sender all form part of the message. The best suggestion produced by years of observation is to build a system of interlocking links in the chain of communication down through and up through the total organization.

3.4.7 Debate

Making sense of the inevitable tensions and conflicts is at the heart of collaborative work (Cooper & Dartington, 2004). The emergent nature of collaborative work stirs up anxiety and mobilizes exactly the kind of defensive responses that hinder the process (Krantz, 1990; 1998). When negative feelings and tensions are not contained, defensive dynamics, such as premature formalizing of the process, are likely to occur. Stakeholders with different and sometimes conflicting interests are challenged to establish interdependent relationships. This requirement may provoke defensive responses. There is usually limited time for direct interaction and also limited psychic energy available to foster interdependent relationships (Cooper & Dartington,

2004). The essence of collaborative work is to make use of the diversity in the system, but it is precisely the presence of these differences that increases the potential for conflict. Stakeholders are faced with challenges to their identity and to their autonomy. Representatives are faced with the paradox of entertaining a relationship based on equality with partners who differ in power, size, access to resources, social status, etc. The challenge in new forms of organizing, characterized by fluidity, emergence and interdependence, is to develop new containing practices that enable anxiety and conflicts to be contained and worked through (Huffington et al., 2004).

Other cross functional, cross-disciplinary and interorganizational processes are confronted by similar challenges. Gray (1989) cautions against the traditional bargaining processes as they lock parties into incompatible positions, preventing them from exploring common interests underlying these positions. Collaboration starts where there is a common interest or universal belief. These familiarities or universal concepts lead collaborators to solutions that incorporate dual interests. The acceptance of commonality leads to an enabled participant that welcome's new insights. Gray describes that process as follows:

Collaboration enables the parties to identify these underlying interests and to reframe the problem and search for a solution that addresses as many of these interests as possible. The potential afforded by using a collaborative process is that the parties will search for a common definition of the problem and then generate a wide enough set of possible solutions to find one that incorporates at least some of the interests of each of the stakeholders (p. 239).

Webber & Camerer (2003) claim that our capacity for change lies in “the circle of the unexpressed,” in the capacity we have to be “in language” with each other and, in language to develop new themes, new narratives, and new stories.

Managing in the new economy requires not just change in programs but a changed mindset.... Conversations are the way workers discover what they know, share it with their colleagues, and in the process create new knowledge for the organization. In the new economy, conversations are the most important form of work (p. 400).

Collaboration is distinctive from negotiation. In a negotiation participants make concessions and compromise. Collaboration is a true *win-win* process. Realities are explored and presumptions reflected on so that a third belief system is generated that both parties can be in agreement with. Utilizing Habermas' (1981/1985, 1981/1987) theory of *communicative competence* is helpful when conflicts arise. The principles of comprehensibility, shared values, truth, and trust must be met in conversation in order to enable collaboration. His principles are paraphrased as follows:

Mutual comprehension requires us to bridge the differences in language, the cultural beliefs, and assumptions that influence how we think and what we say. Shared values are the common threads that bring us together toward a shared purpose. The element of truth in communicative competence acknowledges that we discover truth in the communicative relationship and trust requires each of us to be open to learning from the other, trusting that we have something to offer and something to accept.

Anzaldua (1987), an anthropologist, has defined "*borderlands*" as the place where there is communication, and where it is possible to exchange experiences. Imagine that someone has their own field of experience and that this overlaps other fields in a limited way. Communication can occur only in this zone (borderlands) where there are shared interpretations of words and

action and the same symbols are used. Generally, when two people give a different meaning to the same word, they are not able to recognize this situation immediately. For this reason, the discussion could easily arrive at a point of conflict. A third person, facilitating the collaboration, might understand the situation better and help the individuals arrive at a convergence of the two meanings. The role of this collaborator is to enlarge the boundary areas. A synthesized reality or dual understanding is collaboration.

Collaboration is essentially an emergent process rather than a prescribed state of organization (see Fig. 2). The ambiguous starting conditions, the challenging role and unspoken differences in assumptions leads to anxieties being stirred up in the process. Therefore, there is a need to establish shared tasks and common ground through a conversation by developing shared norms. The following case study demonstrates that in the unfolding process of collaborative work, both participants and consultants needed to learn to ‘live with the mess’ produced in the process of emergence. The challenge in new forms of organizing, characterized by fluidity, emergence and interdependence, is to develop new practices that enable anxiety and conflicts to be contained and worked through (Huffington et al., 2004).

These preliminary taxonomies of practice reflect an interpersonal model of collaborative capacity for interorganizational and intra-organizational collaborative efforts. They emphasize participants working together, reflecting, and making room for new perspectives through dialogue. Whole system change is possible through deep dialogue. Conversations and discourse are central to organizational change (Barrett, Thomas, & Hocevar, 1995; Czarniawska & Sevón, 1996). The model emerges from a synthesis of research on dialectic inquiry and the early efforts to design whole system change processes based on the work of Trist, Rice and others in the Tavistock Institute.

3.4.8 *Knowledge Transfer*

“Each individual’s tacit knowledge is unique, for each one of us experiences, assimilates, and learns information from the environment in a different way and at a different pace. Each experience reflexively triggers different ideas within each one of us. We draw different lessons from the same experience. We develop diverse solutions to the same problems. Everyone sees different possibilities for the same venture. Personal or tacit knowledge is at the core of the unique perspective that every person possesses. More than ever, organizations are thirsting for new ideas and new possibilities. It is especially important for leaders and managers to create a context in which tacit knowledge can be expressed and built on. However, only certain contexts trigger the emergence of new perspectives. This process makes it possible for fragments of ideas held by different individuals that appear unrelated to gradually cohere and create new possibilities” (p. 71). According to Mowery, Oxley, & Silverman (1996) knowledge is often tacit and difficult to price. Further support for the assertion that interorganizational relationships provide an ideal platform for learning is found in the literature on biotechnology and interorganizational networks. In a seminal piece on networks and learning, Powell, Koput, and Smith-Doerr (1996) wrote, “Knowledge creation occurs in the context of a community, one that is fluid and evolving rather than tightly bound or static. The canonical formal organization with its bureaucratic rigidities is a poor vehicle for learning. Sources of innovation do not reside exclusively inside firms; instead they are commonly found in the interstices between firms, universities, research laboratories, suppliers and customers” (p. 118). In addition, a firm’s ability to learn is based on prior preparation, which is in turn linked to such things as the quality of a firm’s employees, its knowledge base, the quality of its management information systems, its organizational culture, and the presence of learning incentives. Firms vary on these dimensions.

As a result, some firms have a greater capacity to learn than others do. Shared knowledge and knowledge related determinations also implicate another essential component of collaboration- a shared language, or *discourse* system. Discourses are recurrent, codified language systems that reflect and promote their users' knowledge, power, preference, and values. As collaboration's discourse develops, it reflects, reinforces, and promotes shared knowledge and skill (Lawson, 2004).

Phase II details the stages of the collaboration process, where disagreements and defenses must be suspended to allow for the emergence of shared understanding and new insights. People "speaking at one another" will not foster the mutual understanding, shared aspirations, and networks of collaboration action needed (Bohm, 2004, p.viii). As new insights are developed both the individual and the organization should then concern themselves with knowledge transfer, so that as new paradigms are developed they are encouraged to flow through systems and processes and further generate new knowledge among the players outside of the immediate activity.

3.5 *Phase III Outcomes*

3.5.1 *First-Order Outcomes*

The outcome of collaboration is a weaving together of multiple and diverse viewpoints into a mosaic full of new insights for action agreed on by all stakeholders. Mattesich (1992) poses several benefits to collaboration including (a) complexity and scale of issues make collaboration the most effective approach; (b) economic realities-increased efficiency, (c) lower costs; and (d) better service to clients. Creativity is one expression of the improved thinking that can result from collaboration. Working together, through a process that encourages the

exploration of differences, people involved in partnerships have the potential to break new ground, challenge accepted wisdom, and discover innovative solutions to problems (Fried & Rundall 1994; Gray, 1989; Mattesich & Monsey, 1992; Richardson and Allegrante 2000).

Collaboration can also foster comprehensive thinking. Individuals generally only see one aspect of a problem. Collaboration allows groups to construct a more holistic view- one that enhances the quality of solutions by identifying where multiple issues intersect and by promoting broader analysis of problems and opportunities (Gray, 1989; Mattesich & Monsey, 1992).

Evidence of increased collaboration is a long term outcome. Collaboration is both a vehicle, and a long term outcome in and of itself. Halpert (1982) describes two types of variables that provide incentives for organizations to work together: *interpretive* and *contextual*. Interpretive variables involve the attitudes, values, and perceptions of the participating actors. Contextual variables consider such factors as size, technology, centrality, complexity, standardization, economy, demographics, and resources.

In addition to knowledge sharing, collaborative capital is also manifested in outcomes such as increased commitment and involvement, flexibility and adaptability, and enhanced learning. Competitive advantage is also a benefit of collaboration.

....the source of competitive advantage can no longer be knowledge that it known; rather, it must be knowledge that it not yet known, because this is the only knowledge that is novel. This new knowledge could be vital for the survival and success of organizations of every type. Thus, knowing how to create a context in which new knowledge can be assessed may make possible undreamed advances in the information era (Kikoski & Kikoski, 2004 p.64).

3.5.2 *Second-Order Outcomes*

Phillips, Lawrence, and Hardy (2000) claim that IOC can have important ‘second order’ effects that go beyond the innovations and direct connections established within the collaborative relationship. As organizations and teams interact, and become more experienced in collaborative relationships with a wide variety of partners and contexts, each organization and team builds its skills and capabilities in collaborating across boundaries. Collaborative capability is not only a resource of a single organization in its competitive operations, but is also a collective resource of a field of organizations. Collective collaborative capacity is increased when information is absorbed, adapted and applied by means of appropriate learning by many members of a field (Loveridge, 2000).

3.6 *Conclusion*

Dialogue allows for a convergence of building collaborative capacity within institutions and among collaborative participants. Scholars agree that the development of domain level collaboration is complex and often dialectical in nature (Zeitz, 1980; Gricar & Brown, 1981; Gray, 1989). The act of mutual adjustment moves us through a process of perspective building giving us new collaborative approaches to meta problems. Interactive discussions level to level train the art of exposition and permit the clarification of meaning at many checkpoints, repetition builds up a systematic flow of two way communication in which receiver becomes sender. It makes each sender a part of the message. Communication through the use of discussion, or dialogue, remains an art. Developing communicative competence enables collaborative capacity building.

This phased collaboration model, derived from the literature, centers itself around people and organizations. As a multidisciplinary frame it establishes the foundation for the examination

of interorganizational collaborative capacity building. It will be used in the forthcoming case analysis.

Chapter 4: Research Design and Methodology

Chapter One introduced the concept of collaboration and demonstrated a compelling need for collaborative approaches to solving many of society's complex issues. Chapter Two reviewed relevant literature and proposed the need for a new approach toward collaboration theory and research. Chapter Three suggested a new theory of collaboration. This was accomplished by first reviewing the literature concerning the systems psychodynamic perspective, and second by describing a collaboration model establishing deep dialogue as the core of the collaboration process. This chapter will describe the methodology to be used in applying the newly developed theoretical approach to analysis of a six year collaboration between the military and Fortune 500 companies. The results of that analysis will be presented in Chapter Five: Case Analysis.

4.1 Introduction

This study was undertaken to establish a better understanding of the emergence of collaboration and also to provide insight into collaboration while refining the proposed theoretical explanation. The specific types of data include recordings of meetings, media interviews and articles. The data will then be analyzed following conventional analytic techniques as well as anecdotal analysis. Content analysis and communication components will be the primary methods of analysis. This provides diverse yet overlapping approaches. This inquiry attempts a theoretical integration across disciplines in an effort for a more unified multidisciplinary approach to increasing both individual and organizational capacity. By adopting a holistic, multi-disciplinary approach, individuals and organizations may be able to synthesize the findings of specialists across fields and find and apply new solutions to problems.

4.2 *Research Questions*

The overarching purpose of this study has been to develop and “test” an interpersonal model that can be used to increase collaborative capacity among individuals and build collaborative capital within institutions as they engage in IOC. It will use the systems psychoanalytic theory to expand on prior conceptual frameworks presented in the literature, thus providing explanations guided by a more aggregate model. This study explores the collaborative capacity building process in individuals and organizations across multiple disciplines, analyzes the critical factors and core competencies required to build collaborative capacity, and identifies key factors that underpin the evolution of collaboration throughout the spectrum of cooperative activity.

The goals of this study include an examination of both the individual and organizational aspects of interorganizational collaborative capacity building. The objectives deriving from those goals are:

1. Establish a basis for understanding the current and future aspects of collaborative capacity building.
2. Explore the concept of increasing collaborative capacity across disciplinary boundaries and institutional fields.
3. Examine the process and competencies of collaboration at both the individual and organizational level.
4. An evaluation of the talent competencies required to facilitate IOC.
5. An evaluation of the preconditions and common pathways found across the spectrum of cooperative activity related to interorganizational partnering.

The research questions arising from the above objectives are as follows:

1. What are the key processes for increasing collaborative capacity at the individual and organizational level?
2. What are the key competencies required to support collaboration at the individual and organizational level?

4.3 Case Study Methodology

Prominent methodologies in past research on collaboration have been literature reviews and case study analysis. These approaches have proven particularly useful for generating theoretical and practical insights (Gray & Wood, 1991). The case study is the most appropriate methodological approach for this inquiry due to its classic characteristic of striving towards a holistic understanding of cultural systems in action (Feagin, Orum, & Sjoberg, 1991). Cultural systems of action refer to sets of interrelated activities engaged in by participants [actors] in a social situation.

Case studies are typically utilized to accomplish various aims: to provide description, test theory, or generate theory (e.g., Gersick, 1988). The case study gives special attention to completeness in observation, reconstruction, and analysis of the case under study (Zonabend, 1992). Case studies are multi-perspectives analyses. The researcher considers the actors, relevant groups and the interaction between them.

An empirical investigation of a contemporary phenomenon within its real-life context is one situation in which case study methodology is applicable. The current study is therefore undertaken to establish a better understanding of the emergence of collaboration and also to provide insight into collaboration while refining the proposed theoretical explanation. Stake (1995) points out that since researchers often have multiple interests, there is no solid line drawn

between intrinsic and instrumental case studies, the “zone of combined purpose separate them” (Stake, 1995, p. 237).

Research on collaboration which utilizes a process approach has almost exclusively consisted of interpretive case analysis (Gricor & Brown, 1981; Mattessich & Monsay, 1992). Gray (1985) also calls for more longitudinal, process-focused, action-oriented research to capture the complexities of successful collaborations in different settings.

4.4 *Validity and Reliability*

Case studies are not amenable to the simple pooling of quantifiable data; a mixed methodology combining quantitative and qualitative data leads to a better understanding of the variables under study (Yin, 1984; Otley & Berry, 1994). In addition, qualitative data can be used to capture dimensions for which standardized measuring instruments have yet to be developed. Closely related to the previous challenge is the importance of designing studies in which “rich data” are used. There is a considerable need to study the dynamics of fit; that is to consider strategy and control in regard to context and process.

A frequent criticism of case study methodology is the dependence on a single case, rendering it incapable of generalizable conclusions. Yin (1984) in particular has refuted that criticism by presenting a well constructed explanation of the difference between analytic generalization and statistical generalization. He describes analytical generalizations as a previously developed theory. When generalizing in a single case study that theory is used when comparing empirical results. Inappropriate generalization assumes that a sample of cases has been drawn from a larger universal set of cases. Yin (1984) affirms that general applicability results from the set of methodological qualities of the case and the rigor with which the case is constructed. Yin (2009) suggests that the utility of generalizations of the findings resulting from

the single case study derives from the analytical, not the statistical. generalization. Yin (1994) also points out that generalization of results, from either single or multiple designs, is made to theory and not to populations. He goes on to state that, "...the goal is to practice sound research while capturing both the phenomenon (the real life event) and its context (the natural settings)" (Yin, 2009, p.xii)

4.5 *Data Collection Strategies*

Participant observation and the analysis of documents and records in written, audio and video format will be utilized in this case analysis. According to Khator and Brunson (2001), participant observation is a straightforward technique: by immersing him- or herself in the subject being studied, usually over a long period of time, the researcher is presumed to gain understanding, perhaps more deeply than could be obtained, for example, by questionnaire items. Arguments in favor of this method include reliance on first-hand information, high face validity of data, and reliance on relatively simple and inexpensive methods. The downside of participant observation as a data-gathering technique is increased threat to the objectivity of the researcher, unsystematic gathering of data, reliance on subjective measurement, and possible observer effects (observation may distort the observed behavior). Potential threats to validity in this study are mitigated through triangulation of data and by using other participants to read and comment on drafts of the report.

Participant observation is particularly appropriate to studies of interpersonal group processes. The empirical approach to participant observation emphasizes participation as an opportunity for in-depth systematic study of a particular group or activity. A key distinguishing feature of this method is that the observer's own experience is considered an important and

legitimate source of data. Data analysis in this situation involves a dialectical procedure known as ‘sequential analysis’ or ‘analytical induction.’

Using sequential analysis, data are dissembled into elements and components; these materials are examined for patterns and relationships, sometimes in connection to ideas derived from literature, existing theories, of hunches that have emerged during fieldwork or perhaps commonsense suspicions. With an idea in hand, the data are reassembled, providing an interpretation or explanation of a question or particular problem. This synthesis is then evaluated and critically examined; it may be accepted or rejected entirely or with modifications. Not uncommonly, this process then is repeated to test further the emergent theoretical conception, expand its generality, or otherwise examine its usefulness. (Jorgensen, 1989)

Another data collection method used in this study involved reviewing meeting minutes, press releases, newspaper articles, meeting agendas and handouts, grant proposals, videotapes of presentations, and annual reports. Information gleaned from these documents was used to identify key participants, to develop a timeline of events, and to gain an understanding of the main issues under consideration. In addition, the websites of each of the corporate partners and the participating government organizations were reviewed to gather information regarding each organization’s goals and values and available documents relating them to existing culture and environment context.

4.6 *Data Analysis Procedures*

The data analysis consisted of seven stages:

1. Organizing the raw data
2. Coding the data
3. Logging field notes

4. Organizing the coded data searches
5. Determining categories or themes
6. Writing the report.
7. Member check.

The reviewed documents and notes were treated exhaustively through a careful coding and collating process to preserve multiple perspectives and assure that all information was accounted for and accurately represented. Written documents and other materials were carefully reviewed to determine categories or themes to help establish a timeline.

Collaborative capacity building in individuals and organizations is an iterative investment. The span of time analyzed allows for a theoretically sound application of the model in the emergence of a national IOC beginning in December of 2002 and extending through October 2008.

Within participant observation the decision to withdraw from the field rests on a combination of factors, including the fact that theoretical saturation (the point at which no major new insights are being gained) has occurred (Glaser & Strauss, 1967). Field work began with the invitation to participate as a Tiger Team [subject matter expert] member in June of 2002, before invitations were extended to partners, and continued through the institutionalization of the ASEP as a program within the menu of Army services provided to families and standardization across a national network of program managers providing employment and education assistance to Army families in the Fall of 2008.

This examination applies the model to a collaborative initiative that is longitudinal in nature. In addition, it should increase our understanding of the collaboration process and other variables significant to partnership development.

In regard to methodological problems, testing and further developing of the model entails many challenges. First, it is important that the variables included in the model be given an operational definition. Converging data, for example, provides a more reliable classification of strategy than when only one data source and one type of meaning instrument is used.

To ensure accuracy, multiple sources of data are used. These include documents, archival records, direct observation, participant observation and physical artifacts as reflected in the research of both Yin (1994) and Stake (1995). Triangulation made possible by multiple data collection methods provides stronger substantiation of constructs and presuppositions.

In an effort to increase validity the researcher has employed remedies to counteract criticisms of potential investigator subjectivity. Yin (1994) proposes using multiple sources of evidence, establishing a chain of evidence, and having a draft case study report reviewed by key informants. These methods, along with “pattern matching,” have been used. Pattern matching is used to link data to propositions. Campbell (1975) asserts that pattern matching is a situation where several pieces of information from the same case may be related to some theoretical proposition

4.7 Summary

The case study is a reliable methodology. The literature, while not extensive, contains specific guidelines for researchers to follow in carrying them out. Yin (1994) and Stake (1995) have designed protocols for conducting the case study, which enhance reliability and validity of the investigation. Yin (1994) also proposed five components of the case study:

1. A study’s questions,
2. Its propositions, if any,
3. Its unit(s) of analysis,

4. The logic linking the data to the propositions, and
5. The criteria for interpreting the findings (Yin, 1994, p.20).

The analysis follows conventional analytic techniques as well as anecdotal analysis. Given that the researcher employed diverse yet overlapping approaches, a standard set of analytic activities was carried out.

The goals and objectives of the study were presented as an examination of the (a) individual and (b) organizational aspects of interorganizational collaborative capacity building in addition to establishing a basis of understanding, and examining the process and competencies of collaboration. This chapter also presented the choice of methodology as the case study and addressed the methodological criticisms most commonly found in the literature.

The conclusions the case study of the emerging collaborative initiative between the Army and corporate America are relevant to collaboration theory and the propositions of collaborative knowledge. Insights can be drawn on several levels of analysis. The development of collaboration over a period of over five years fills a void in the literature. In addition the researchers experience and participation in the initiative allow for insights into the process of collaboration that cannot currently be found in the existing literature base.

Chapter 5: Case Study and Data Analysis

Even though DC was experiencing a snowstorm at the time, a small group of companies came together in 2002 as then Army Chief of Staff General Shinseki started a conversation about supporting those who support army soldiers. The Army Spouse Employment Partnership (ASEP) is seen as the pillar upholding and implementing the guidance of the National Defense Authorization Act of 2002 (a mandate to increase military spouse employability) as well as House Resolution 2586, which directs the Secretary of Defense to “seek to develop partnerships..[Which] enhance employment opportunities for spouses of members of the armed services” (Carrasco, 2006, p.1).

Over the next several years, ASEP partners worked together to construct a single strategic focus on hiring Army spouses. Their combined efforts have resulted in overarching, interrelated strategies that represent each partner’s unique corporate structure while demonstrating their commitment to the common goal of better opportunities for military spouses.

This analysis attempts to explain how IOC emerged and evolved within this initiative and to distill lessons from that case for developing our understanding of collaborative capacity. The study is based on data gathered over a six-year period, by diverse methods, and from many sources. This chapter reviews research findings gathered from audio and video recordings of meetings, memoranda, meeting minutes, and other archival documents to determine the key processes and competencies required to support collaboration and increase collaborative capacity in interorganizational domains at the individual and organizational levels. This chapter also describes the context and setting for this study, and provides an overview of the partnership to include the mission, vision and goals of the initiative. Significant to the case study is a timeline

of the development of the partnership from initial invitation in December 2002 through to program implementation in the fall of 2008 provided in Figure 6 (p.103).

5.1 Background Context and Setting of the Study

The Army Spouse Employment Partnership (ASEP) is a self-sustaining and expanding partnership that is mutually beneficial to the Army and corporate America. The partnership provides solutions to both the Army and their corporate partners. From the Army's perspective, it provides spouses the opportunity to attain financial security and achieve employment goals through career mobility and enhanced employment options. This in turn promotes the retention and readiness of the soldiers. Corporate Partners gain access to a readily available, diverse and talented pool of employees (Carrasco, 2006).

The partnership goals were established in a collaborative fashion at the first meeting of ASEP on 12 May 2003. The initial goals for 2002-2006 are as follows:

- Goal 1. Increase employment opportunities for Army spouses and resources for Corporate America,
- Goal 2. Develop and implement a communication plan,
- Goal 3. Achieve and sustain leadership commitment,
- Goal 4. Share Best practices, leverage information and resources,
- Goal 5. Integrate ASEP into all employment processes and programs.

The establishment of the partnership began with an invitation to America's corporations to partner with the Army during a period of transformation. Retention of personnel was a critical matter to America's all volunteer Army. Research has established that decisions to remain in the Army were heavily influenced by soldier spouses. The majority of whom were women seeking viable employment. Since frequent transitions and loss of tenure and benefits were a career

Timeline

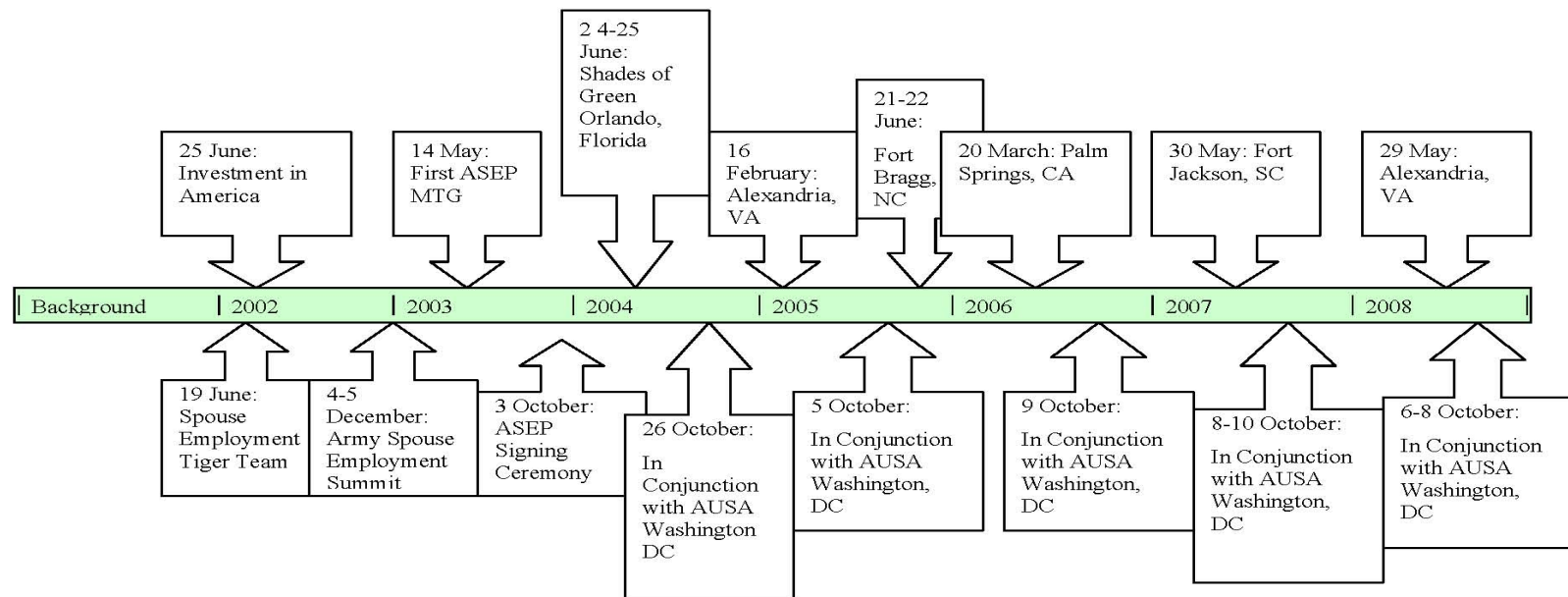


Figure 6: Timeline.

obstacle, the Army determined that partnering with business would be good for both parties. Partner Corporations have reported that ASEP provides a good source of diverse hires, lower recruiting and training costs and that control metrics show equal or increased performance. Corporations also reported that ‘emotional’ benefits were factored into decisions to support the initiative including supporting America’s troops.

5.1.1 Background

On 25 June 2002, the Chief of Staff of the Army (CSA) participated in the Investment in America Conference at West Point, NY where he highlighted Army Spouse employment and laid the groundwork for follow-up meetings. At the request of the CSA, the *United State Army Community Family Support Center* (CFSC) convened a Spouse Employment Tiger Team on 19 June 2002 to develop a plan of action for an Army Spouse Employment Summit. The CFSC was renamed The *Family and Morale, Welfare and Recreation Command* (FMWRC) by the U.S. Department of the Army on 24 October 2006. Throughout this report, we will refer to the FMWRC.

5.2. The Partnership Process: The Development of Shared Norms

The partnerships birth can be traced to the Army Spouse Employment Summit conducted on December 4-5, 2002 in Arlington Virginia (see Figure 6 for a timeline of events). General Eric K. Shinseki, then Chief of Staff of the Army hosted a reception and dinner for seventy-two guests from Corporate America and the Army Staff. BG Robert L. Decker, Commanding General, FMWRC, and the event sponsor hosted a Working Session on December 5 with senior executives from sixteen Fortune 500 Companies and Army leadership. The working session concluded with general agreements to four partnership focus areas, goals, key action items,

barriers to implementation and a commitment to reconvene in Feb 2003 (Carrasco, 2003, personal field notes).

The first Spouse Employment Partnership meeting was not held until 12 May 2003 in Arlington, VA. It served as a follow-up to the December Summit. Representatives from twelve corporations, in addition to Army representatives from the *Civilian Personnel* (CPO) and the *Army Career and Alumni Program* (ACAP) were among those who attended the meeting. The Honorable John P. McLaurin III, then Assistant Secretary of the Army (Human Resources) chaired the meeting and opened with his personal pledge to support the success of the ASEP. The outcomes of that session included the definition of the partnership mission, vision, and goals. The session also established the structure, workgroups, and frequency of meetings. Finally, they agreed to unveil the ASEP via a signing ceremony during the Association of the United States Army Conference, October 2003.

In October 2003, the Army formally signed a Statement of Support with thirteen Fortune 500 companies and 2 military agencies who pledged their best effort to increase employment and career opportunities for Army spouses. This high visibility event featured a formal signing ceremony and induction of new partners by the Assistant Secretary of the Army for Manpower and Reserve Affairs. The partnership continued to induct new partners on an annual basis. The partnership also met quarterly from May 2003 through March 2006.

5.2.2 *Conversion, Developing Shared Norms*

Early in 2005, the focus shifted from the internal executive group and immediate communication channels to a joint effort on strengthening relationships at the local level. The participants understood that a strong local level partnership would be the major element of long standing success of ASEP. In March of 2006, the partners laid the groundwork for increasing

locally based relationships by allowing the *Employment Readiness Program Managers* (ERPMS) to see the results of their passion and commitment to the Army Spouse and their employment and career continuity first hand at a joint working session. The ERPMS provide employment and referral services to military spouses at installations around the world. The partners presented their initiatives directly to the local ERPMS and encouraged them to increase their outreach to locally based recruiters. Because of that session, the local ERPMS developed tailored Installation Action Plans specific to their installation on how they would connect spouses with the ASEP partners, and what types of local relationships and outreach were most successful. These action plans were gathered at the national level and used to disseminate best practices. The partners reported that because of that local focus there was an increase in the pipeline of talent to their respective companies and a greater awareness of the partnership with the Army through ASEP.

The partnership then determined that it would meet on a bi-annual basis at alternating locations, with a fall induction and signing ceremony to be held in conjunction with the annual Association of the United States Army (AUSA) conference.

In October of 2007, the partnership again shifted its focus, launching the ASEP Account Manager Strategy and Chairman's visits. Account managers served as primary points of contact for corporate partners, coordinating efforts that benefit both the Army and partner corporations. The Account Managers also functioned as consultants. The goal was to strengthen both local and national relationships and increase levels of commitment between the Army and corporate field staff. They employed tactics that included assisting ASEP partners in developing strategies and mapping out their decision-making processes in accordance with ASEP goals. Account managers also worked closely with partners in their initiatives to hire military spouses and assist them in uncovering, managing and resolving obstacles to processes for tracking and hiring

military spouses. They utilized the following processes:

- New partner and new representative orientations, education, and training. This includes the discussion of ideas; establishing goals and identify metrics.
- Integration into ASEP processes, this includes conducting outreach to strengthen relationships with ERPMs and assisting with developing annual goals.
- An invitation to innovation, prompted by the question, “What would you like to do?” This allows for a focus on special projects and tracking partner progress.
- The optimization of opportunities at AUSA, where the partners report to senior Army leadership on their progress with spouse emphasis (number of hires, referrals, transfers, etc.).
- Leveraging individual partner metrics through integrated key messages for media & public relations campaign.
- Partner recognition and induction of new Partners (personal field notes).

In August of 2008, the partnership transitioned from an Army initiative to an institutionalized Army family program. An ASEP Program Manager was hired, serving at the side of the Headquarters Army employment readiness program manager in Alexandria, VA.

5.2.3 The Partnership

Participants at the first working session committed themselves to a partnership based on the following principles:

- cooperation, communication & dialogue,
- attainable outcomes,
- a bias towards solutions,
- simplicity of organization and implementation,

- starting small, achieving success, and then expanding.

The partners also asked that the partnership not have too many meetings, and that adequate staff and funding be provided (Carrasco, 2003, personal field notes).

5.2.4 *Statement of Support (SOS)*

The partnership is based on a common commitment from each organization to a formal signed statement of support that pledges each organizations best effort. Best efforts were significant in such a diverse group so that the partnership does not attempt to force any organization into a cookie cutter model. Instead, the internally established partnership and account manager metrics provide a framework and model for new organizations and new representatives to utilize as a guide to previous accomplishments and patterns. A senior executive from each corporate member and a senior army leader sign the statement of support.

The Statement was fashioned after the Employer Support of the Guard and Reserve (ESGR) and approved by Army on 12 August 2003 (Carrasco, 2003, personal field notes). The complete SOS is provided in Figure 7.

5.2.5 *Processes*

The partners agreed on the work group structure and meeting frequency at their initial meeting in May of 2003. They emphasized that the partnership work groups would guide the ASEP initiative. They established four work groups to include:

- Best Practices- to gather lessons learned and incorporate best practices into the partnership
- Strategic Communications- to create awareness of the partnership and promote it
- Website development- to design a web based process that facilitates the partnership



STATEMENT OF SUPPORT BETWEEN CORPORATE PARTNERS AND THE UNITED STATES ARMY

We recognize that Army spouses are a diverse and talented candidate pool.

In the highest American tradition, the spouses of patriotic men and women of the Army serve voluntarily and provide support to the Army and its Soldiers, enhancing the well-being of the Army Family.

Whereas the Army commits to facilitate a focused and expanding partnership where Army spouses and Corporate America benefit from their mutual involvement. This partnership will afford Army spouses the opportunity to better meet employment goals, career sustainment and mobility and increased family financial security.

Therefore, we join with the Army and other employers in pledging:

- 1.** our best efforts to increase employment opportunities for Army spouses and resources for Corporate America.
- 2.** to facilitate the employment of Army spouses to the mutual benefit of the Army and Corporate America.
- 3.** to make this Statement of support known throughout the Army and our Corporation.

Figure 7: Statement of Support

Account Manager Metrics





	Phase One: Imagine	Provide orientation to ASEP infrastructure, metrics, resources	Promote awareness and understanding of Army culture (spouse demographics)	Provide tools to facilitate communication (rosters, guides to websites)	Assist with Internal Communication (facilitate training of HR staff)	Provide one to one, onsite consults to create customized Action Plan
	Phase Two: Build	Facilitate external communication; assist with distribution of co-branded marketing materials	Help to extend company reach at local level (ERPM and recruiter contacts)	Assist with Identification and development of targeted audiences and initiatives	Provide support for Partnership Alley and recruiting events at targeted locations	Continue onsite consults as needed to implement Action Plan and map processes
	Phase Three: Solve	Leverage relationships to strengthen and expand company initiatives	Help build intra-ASEP partnerships (referrals, co-sponsor events)	Act as liaison with DoD leadership and staff to promote Partner efforts	Identify new areas of growth/potential: conduit of information	
	Phase Four: Lead	Identify and facilitate cross-referrals and spouse job transfers between Partners		Identify potential for new markets for spouses, esp. overseas		

Figure 9: Account Manager Metrics

- ASEP Partnership Alley- to promote the partnership at job fairs in order to increase spouse hires among partnership corporations.

Early measures of success were the implementation of a broad spectrum of partnerships, increased levels of spouse employment, and increased levels of investment by potential partners. As the partnerships evolved there were a number of practices that were identified and that eventually led to the Account Manager Metrics (Figure 8) and Partner Metrics (Figure 9).

5.3 The Partnership Structure and Key Participants

Structures of collaborative efforts vary widely. The details of the ASEP structure are shown in Figure 12. The chairman of the partnership provides strategic direction, approves goals, initiative and programs and evaluated performance for goal attainment. The Executive Secretary of the partnership is the Commanding General of the FMWRC, who then identified the FMWRC Family Programs Director to manage the partnership.

To facilitate the strategic FMWRC leadership the Army contracted an outside consulting company to manage the day-to-day, planning and operation of the partnership. This management team generally consisted of a project manager and analyst. During short intervals and peak work cycles, the management effort was support by an administrative assistance or event planning staff.

Within the partner corporations, there was general participation at three levels. Senior or executive leadership, as the statement of support was required to be signed by an executive. A managing director within the corporation was usually assigned responsibility to maintain ongoing participation and reported directly to senior management. Finally a representative was often assigned to serve in an operational capacity (developing action plans, directly participating in partnership meetings and reporting progress and obstacles internally within their corporation).

Partner Metrics

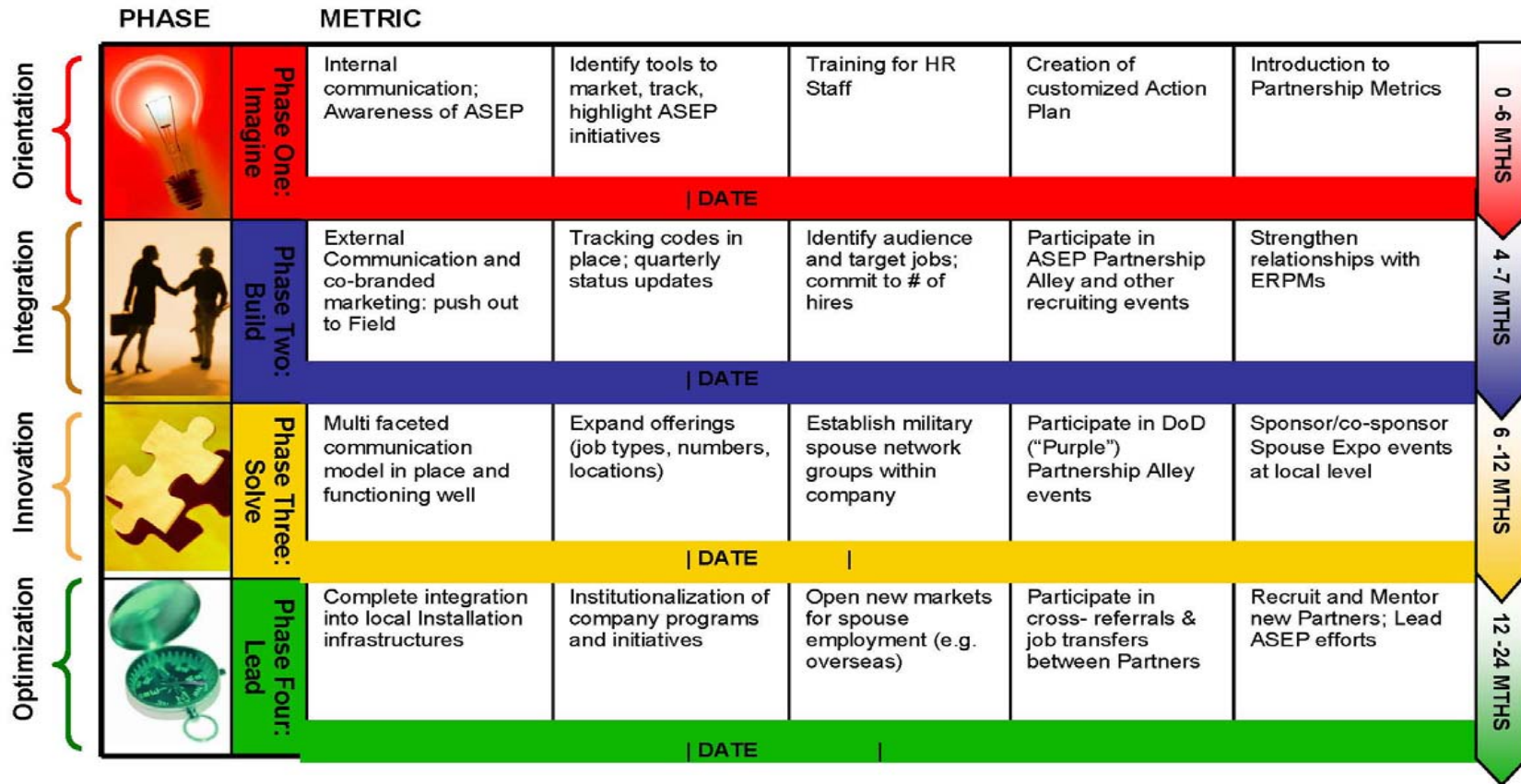


Figure 9: Partner Metrics

After several years, the individual efforts of the partners began to sift and stick. This was beneficial for new representatives and new organizations, as they were no longer required to reinvent the wheel, the partnerships best practices were captured and used as a framework. That framework is described in the next section.

5.4 *How the Partnership Works*

The four facets of the ASEP strategic focus are best illustrated by the partner initiatives. (See Figure 10)

Imagine Innovative partnerships. This is where corporate partners create new jobs for Army spouses. These positions address some of the employment challenges military spouses face, such as limited availability of childcare and transportation by allowing them to work from home.

The Build Mechanism for Targeted Recruiting. This is where most ASEP partners have found success. The majority of corporations have websites featuring dedicated landing pages and specialized tracking mechanisms focused on military spouses. These recruiting web pages outline their commitment to hiring military spouses and promote co-branded marketing materials to aid them in their recruiting efforts.

Solve Recruiting, Hiring and Portability Issues. Local Employment Assistance Representatives on Army Installations assist in strengthening their relationships with corporate recruiters through focused communication and individualized action plans. Partners are also strategically placed in “ASEP Partnership Alley” at participating Installation job fairs, building on their brand and name recognition. The partners implement adaptive processes utilizing the phased tracking metrics.

Leadership by Example. Many partners tailor their human resource related strategies by creating employment continuity programs and career portability with no loss in tenure or benefits. Across



How the Partnership Works

IMAGINE. BUILD. SOLVE. LEAD.

Over the last several years ASEP partners have worked together to craft a single strategic focus hiring Army spouses-made up of four facets or perspectives: Imagine, Build, Solve and Lead.

Their combined efforts have resulted in overarching, interrelated strategies that represent each partner's unique corporate structure while demonstrating their commitment to the common goal of better opportunities for military spouses.

These four facets of the ASEP strategic focus are best illustrated by the partner initiatives.

Imagine Innovative Partnerships

Partner corporations are actually creating new jobs for Army spouses. These positions address some of the employment challenges military spouses face, such as limited availability of child care and transportation by allowing them to work from home.

Build Mechanism for Targeted Recruiting

Most ASEP partner corporations have websites featuring dedicated landing pages and specialized tracking mechanisms focused on military spouses.

These recruiting web pages outline their commitment to hiring military spouses and also promote co branded marketing materials to aid them in their recruiting efforts

Solve Recruiting, Hiring and Portability Issues

Local Employment Assistance representatives on Army Installations are strengthening their relationships with corporate recruiters through focused communication and individualized

action plans. Partners are strategically placed in "ASEP Partnership Alley" at participating Installation job fairs, building on their brand and name recognition.

The partners are implementing adaptive processes utilizing a phased tracking metrics model.

Leadership by Example for Corporations

Partners are tailoring human resource related strategies by creating employment continuity programs and career portability with no loss in tenure or benefits. Across the nation and overseas, the local and national relationships between Employment Readiness Program Managers and Partner corporations are the bridge to increasing employment opportunities for Army spouses.

Together the Army and America's corporations are making a difference not only for spouses serving side by side with our Soldiers, but for future generations of spouses.

www.MilitarySpouseJobSearch.org
www.MyArmyLifeToo.com/WorkandCareers

Figure 10: How the Partnership Works

the nation and overseas, the local and national relationships between Employment Readiness Program Managers (ERPMS) and Partner corporations served as the bridge to increasing employment opportunities for Army spouses. Specific strategies employed by the partners are detailed in Appendix A.

5.5 *The Action Plan*

The partnership action plan was based on five major tenets:

The *general functions* of the partnership include the semi annual in-process reviews, or partnership meetings, the annual partner induction ceremony, local recognition for small business partners and the account managers.

The second major tenet of the partnership includes all of the strategic *communication* efforts. The promotion of the ASEP branding included efforts led by the Army and individual efforts to promote the ASEP brand by partners and third party agencies. The partners review and refine the communication tools used within the partnership on an annual basis to be distributed for use each spring. The web development and ongoing enhancement of the web capabilities of the partnership were also a strategic focus.

Training served as the third major tenant for the Army and the partners annually updated training modules for corporations, local level recruiters and Army ERPMS in addition to regular training webinars were offered as training options.

The *Partnership Alley* concept was developed based on Atlanta based partners previous co-branding at locally based events called Peach Street. Several corporations with established headquarters on Peach Street in Atlanta, Georgia had begun to attend events where they would be co-located, and although independent entities, they would leverage their branding to promote themselves as a group to increase recognition. Partnership Alley within ASEP developed into a

locally functioning component of most job fairs advertised to the military spouse community. Historically they included efforts led by ERPMs and local Army Career and Alumni programs. Other service branches and local workforce development programs had begun to utilize the concept to draw attention to the partnership.

Finally, Partnership Alley served to promote the *branding of ASEP* to military spouses and showcases the partnership of the Army and Corporate America to the local community. It grouped together ASEP Partners the day of the event to form a literal partnership “alley” with accompanying signage and promotional items. The ERPMs and partners would utilize ASEP partnership alley banners and signage. These five tenants grouped all of the functions of the partnership.

5.6 Partnership Growth

The partnership intensified its efforts and extended invitations to other services, components and organizations through two methods, the invitation of new partners and the development of a joint services network to incorporate other services. These two processes will be discussed in the following section.

Expansion through New Partners

After the initial induction of the founding thirteen corporations and government agencies, the partnership members then worked collaboratively with Army leadership to establish an acceptable process for the screening and inductions of new partners. The nomination process consisted of four stages. The initial stage consisted of the inquiry. Companies expressed interest in participating in the partnership via partner referral, the military spouse job search website, www.myarmylifetoo website, or direct contact with the Army or partnership contact. Each

potential partner should meet the established criteria set forth by the original partners and Army leadership. The criteria include the size of the corporation, primarily Fortune 500 corporations. The sector and locations of the corporations were also significant so that populations could be matched with existing Army installation locations and general skills and occupations chosen by military spouses. If the initial screening criteria are met, a formal application is completed that highlights past efforts at corporate diversity or outreach to the military community and an essay that requests, “Why you think this partnership would be valuable to your corporate goals (ASEP Partner application, 2004-2008). This initial inquiry into coinciding values establishing the “conversation” or turning together with a common baseline. Following the application an initial meeting would be scheduled with the primary intention of joining in a conversation on how participating in the partnership could meet both parties’ needs establishing a win-win scenario on all outcomes. The final criterion was significant to all of the initial participants, establishing and maintaining leadership support. The application requested an identified representative from a Vice President level and a national representative that normally would function as the primary contact.

Expansion to Joint Services

The ASEP network was an initiative to expand the partnership from the Army to the joint services. In January of 2007 the phased approach to achieve joint status was initiated. Within phase one the partnership leveraged existing Department of Defense (DOD) infrastructure to expand communication, crosslink spouse employment efforts and strengthen inter-Service relationships. In phase two the Army extended invitations to the Service Employment Program Directors. This began at the May 2007 Army Spouse Employment Conference and ASEP Events at the Association of the US Army (AUSA) Annual Conference in October 2007. The final phase

was the expansion of ASEP and DoD collaboration to achieve complete integration with all Services. Figure 11 details the function of the expanded network as compared to the previously functioning ASEP model.

5.7 Central Themes of Collaboration

The researcher began fieldwork in June of 2002 as a Tiger Team (subject matter expert) member, before invitations were extended to partners, and continued until the institutionalization of the ASEP as an Army family program. Between 2002 and 2008, the researcher served in various roles to include a Tiger Team member, senior analyst and project manager. Within participant observation the decision to withdraw from the field rests on a combination of factors, to include the fact that theoretical saturation (the point at which no major new insights are being gained) has occurred (Glaser & Strauss, 1967). The decision to withdraw from the field in October 2008 was based on reaching theoretical saturation and completion of the original task, chiefly institutionalization of ASEP. From the hiring of the program manager in August 2008 through the researchers departure from the fieldwork in October 2008, there was a focus on transferring tacit knowledge.

The following section of the chapter summarizes key research findings derived from core processes and concepts of the proposed collaboration model. In the proposed model, collaborative capacity is dependent on deep dialogue. Dialogue generally unfolds as those engaged begin to develop shared norms.

To anticipate the findings from the case analysis, an unexpected outcome was discovery that there were not one, but two types of conversations taking place. One is essentially retrograde, and occurs with relative frequency. It is the shadow of “rational organization” captured by the traditions of competitive economic relations and the pursuit of individual glory.

The ASEP Network

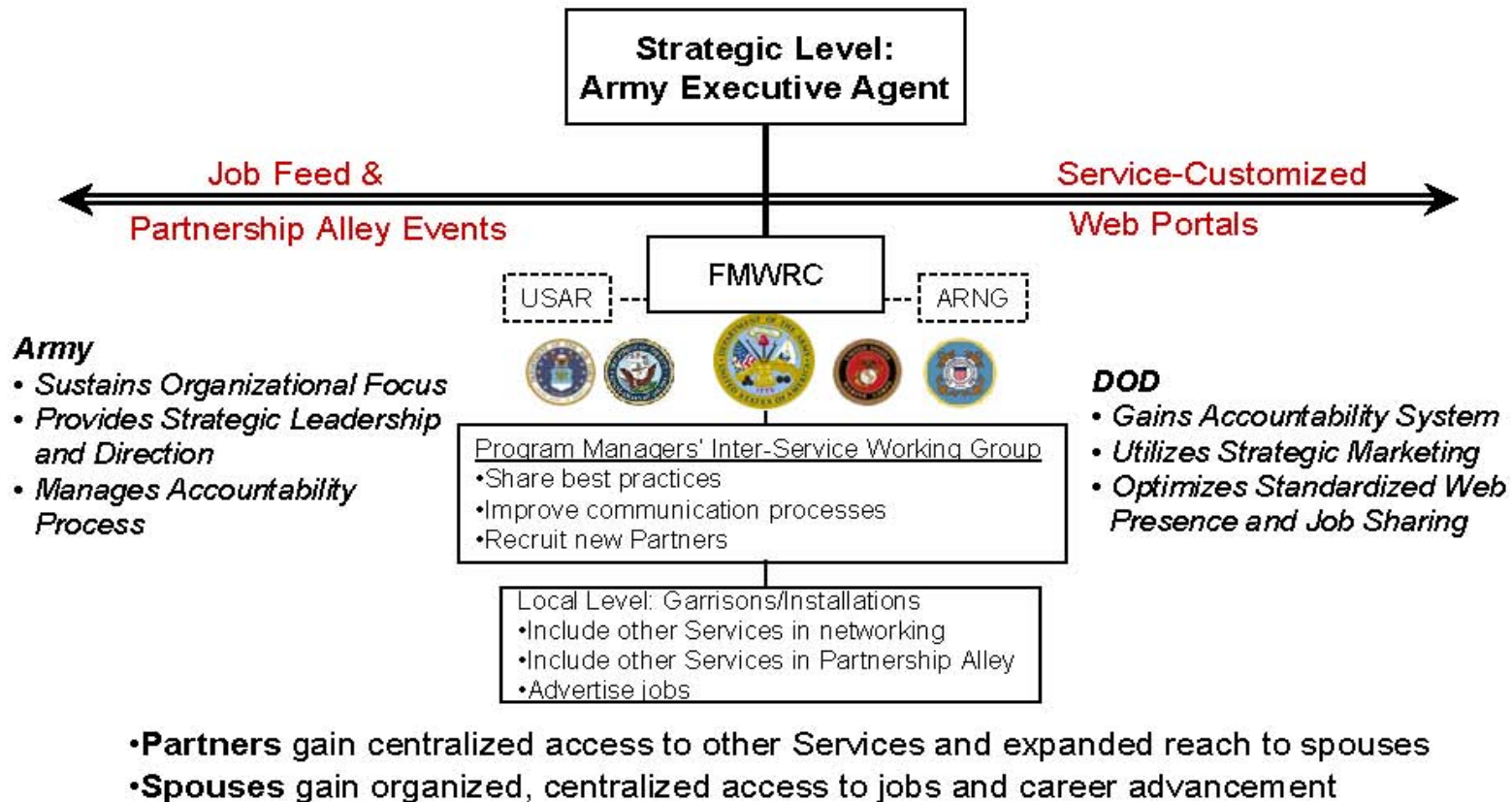


Figure 11: The ASEP Network

Rational management is grounded in principles of argument, debate, and hierarchical control. It was easy and comfortable for participants to revert to these familiar forms of discourse. But the outcome was counter-productive to the emergence of authentic collaboration. The other conversational form showed promise.

Authentic collaborative dialogue was grounded on respectful receipt of others opinions and non-strident expressions of one's own. Under these occasions, participants were able to move from preconceived positions, exchange ideas, and in a dialectical fashion were able to generate new perspectives. The collaboration model proposed in this study did not anticipate this finding. Consequently, the proposed model will be revised to better reflect actual practices. The conversion of individual and organizational capabilities into collaborative capacity will be at the center of the revised model.

Evolution of Collaborative Dialogue at Different Levels

Initially participants approached the partnership with the idea that they could use traditional perspectives to achieve success. The literature base established the foundation of environment and culture in addition to other significant preconditions to initiate collaboration. Isaacs (1999) reflects on his experience facilitating a series of dialogue sessions with an objective to create a seamless system of health care. He introduces the experience by sharing that dialogue as a process not only, "raises the level of shared thinking, it impacts how people act, and in particular how they act together (Isaacs, 1999, p.22).

The ASEP initiative is in this respect common to his experience. He goes on to share that over the course of a year and a half the voice of the collective had shifted from one of, "polite competitors to willing collaborators." Most participants agreed that this could not have even been conceived prior to the dialogue sessions, when asked what had changed as a result of the

dialogue, they answered, “everything- a sea of change in the ways people saw one another and worked together” (Isaacs, 1999, p.23).

In the same respect, over a period of several years, it was possible to identify and measure common stages and efforts experienced by the partners. Led by partner members, the initiative developed a phased metric approach to solutions. This matrix honored the uniqueness and respected each partners individual efforts at pledging their, “best efforts to increase employment opportunities for Army spouses and resources for Corporate America” (ASEP Statement of Support). The partnership incorporated an Account Management Process intended to offer a “Menu of Services” to Partners to help them advance to successively higher Phases. Account Managers also looked to Partners in Phases Three and Four for best practices (processes, programs, initiatives) that could be packaged as a model for other Partners to utilize. This effort and many of the identified best practices of the partnership could be directly related to the initial goals developed in the first working session in 2002, several years later. This also has relevance to Isaacs (1999) musings on our relationship with conversation.

Most people living today do not recall how to create meaningful conversations.

We do not easily recall traditions of speaking together- ones that might enable us to talk as naturally and authentically...Instead, we have inherited a patchwork understanding. Sometimes we know things click when people talk, but more often we know only when they don't (p. 26).

This initiative helps us to develop insight beyond those pre-conditions and begin to look more deeply into the collaborative process. We begin just beyond the initial invitation to the first conversations allowing us to look deeply into the conversion stage just prior to the outcomes of collaboration. The key themes from the research lead us to a review of the dialect found at each

of the three levels of participation. These levels occur at the executive, director/manager and operational level. They are the genesis of the conversion of conversation to deep dialogue. Following the key themes, the major findings are presented in the form of a metaphor. The Spindling Process is discussed as an image for the unfolding of Collaborative Capacity. Finally, a set of propositions is proposed followed by a conclusion.

Conversion, Turn Together

The turning together of participants took place at all three levels of the partnership including local representative/operational level, regional/mid-level and senior/executive level participation and support. The process of turning together was distinct for each level. The following description of these levels detail occurrences of distinct dialogue and collaborative capacity development.

CEO and Executive Participation

At the senior executive level, the case study provided few examples of true collaborative dialogue. The majority of the participants at the senior level used dialogue that sanctioned existing or ongoing efforts in addition to expressing gratitude for participation and the opportunity to contribute. The opportunity to participate in a small group of change agents, allows for those corporations and participants to develop inside knowledge and drive change in a direction that is key to their business and altruistic interests. An example of that climate is the chair's intent. At the October 2007 meeting this is expressed by the Chair's opening remarks,

I often talk about that it is a partnership; every partner needs to get something out of the relationship not just the spouse, but the companies as well. I think that you do. You are now part of the fabric of the all-volunteer army. You are now

ASEP Structure

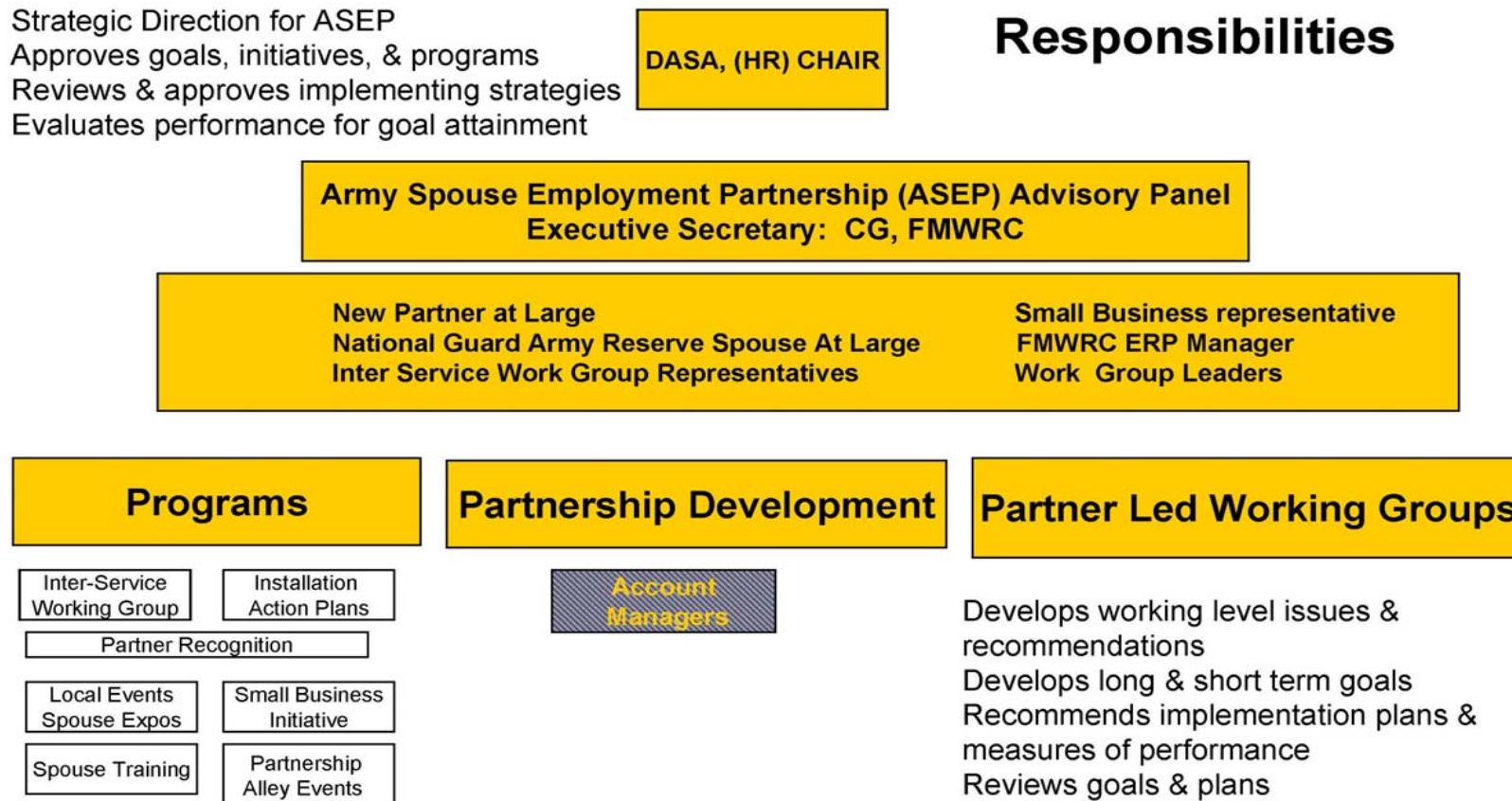


Figure 12: ASEP Structure

part of that enterprise that helps recruit and retain the all-volunteer force. I thought it was important to let you know. I think that sometimes in the business of running your companies you lose sight of the fact that you are doing something wonderful not just for the company but also for the country and I thank you very much for that.

Another example of the sanctioning and generating continued commitment can be found in the following example where the Secretary of the Army Francis J. Harvey (Army Television, Pentagon MG652) via a pre taped video statement engaged with the Army leadership and the corporate participants at the partnerships Biannual meeting in Palm Springs, CA held 20 March 2006.

..The Army Spouse Employment Partnership forged in 2003, the result of your vision and imagination underscores my commitment to the well-being of soldiers and their families. Last October I had the privilege to attend the signing ceremony for new partners at AUSA and I had the opportunity to talk to you about the success we've achieved so far...in closing I would like to thank Mr. John McLaurin for taking the time to chair this initiative...and to you who make this program possible. Thanks again for all that you do for our soldiers, their families and the Army (Harvey, F. J., 2006).

His words emphasize the Army's continued support and express his heartfelt thanks to those spearheading the partnership and the partners. Leadership, establishing a climate and encouraging continued motivation and full participation can also be seen within the first few minutes of the initial meeting of the initiative.

The emphasis on the importance of the language, key messages or for some branding guidelines can be illustrated by the following remarks.

..We're trying to stay a little away from talking about programs because in a bureaucrats mind that generally connotes a lot of infrastructure and much more of a bureaucracy and I think we're trying to move away from that. We are trying to get people to think outside their boxes, and so we are trying not to use that old language. (Carrasco, 2003, personal field notes)

Cost savings were primarily cited as the key motivator, pushing forward entire organizations in addition to soft or emotional items and issues related to diversity and talent pools. However, for many in this group it could be significant that they were former members of the Army and therefore understood many of the obstacles that generally faced these types of initiatives. In addition to those key Army alumni, the depth of experience found at the senior and executive levels produced reflective long-term thinking. It was apparent in the meetings that an immediate solution was not an expectation; a key to their opportunity to participate was in building the framework to meet the needs of all key parties. Significant to all players was the intent to develop a sustainable effort, where differentiation of outcomes could be measured and attributed to the ASEP. Participation was also encouraged because, "it's the right thing to do." However, it was generally not connected to outcomes associated with win-lose politics and hierarchical authority. The Chair from initiation to October 2007 in his final opening remarks publicly recognized the group for establishing that climate together.

We are a partnership of many things. One of the things we are is a partnership of competitors. When you think about it we are all competing out there in the

business world...even though out there we are competitors in this partnership no longer are we competitors we are colleagues. How that works, why it works, I think that it gets back to people. We are all about to taking care of people....We work well as partners we share best practices we do those things that are good for everyone...(Carrasco, 2007, personal field notes)

Over the course of the partnership, many partners expressed that, in addition to moving forward on a corporate goal, they had a passion for serving the country and knowing that a greater good was possible beyond the hiring of individuals for their work-established processes that would then be mirrored in smaller corporations and small communities. The broad and long lasting impact of such a broad and divergent initiative was clear in the mind of the leading partners.

The Fortune 500 model allowed the community to observe and replicate successful strategies. The founding thirteen corporate partners, army agencies, and the new partners that followed over the years participated for a myriad of reasons many that did not follow the logic of pure economics. Deeper into the corporate hierarchy we find mid level participants engaged in the development of the partnership.

Regional and Mid-management Level

At the mid level participants consisted primarily of directors and managers with varying titles and scope's of responsibility. These representatives were generally responsible for senior level participation in the partnership and delivering updates and reports to internal senior leadership.

At this level, the data shows heavy strategic planning but also the establishment of collaborative dialogue. It is evident immediately in the development of the partnership. The initial meeting of the partnership was a working session where the framing of the partnership

began to unfold. Those participants expressed passion and commitment to joint solutions resulting in positive outcomes for all. That baseline of communication and synergy is seen in the following example.

I think the workgroups have to look at our chemistry and how do we feel about ourselves and do we have the right talent pool for what we've been asked to do and we will come back and as our report we'll say that we can agree to disagree but that we have a shared vision of what you've asked us to do and we'll make it happen. (Carrasco, 2003, personal field notes)

This level of participants also empowered local relationships by sanctioning efforts, allocating resources and disseminating training and educational venues. They also established collaborative dialogue from initial introductions.

The following excerpt from an internal memorandum developed by a mid level representative and distributed to their national local level contacts provides an example of this empowerment. It described the partnership as a recruitment and marketing opportunity. It also offered a short background, critical facts and specific actions that could augment their efforts to produce solutions. Providing relevant and specific details on how the partnership benefits the recruiter seemed critical when implementation and formal institutionalization of the partnership was the primary goal. Mid and operational level participants modeled a turning together by establishing the win-win and translating the language from one sector to another so that a shared definition is utilized in text. This was most often accomplished through interagency memo's and incorporated into regularly published media and print outlets.

Operational Level

At the operational level, participation is expanded to encompass those with direct responsibilities for hiring spouses or serving spouses within the armed forces. The types of roles and participants most commonly found were local program managers and locally based recruiters in addition to the end user, the military spouse. This increases the frequency of dialogue. In addition to an increase in frequency, the sharing of ideas and establishing new and innovative paths to solutions begin to emerge.

The facilitation of this type of dialogue was primarily enabled via collaborative technology, locally based events, local corporate locations, and employment offices. Collaborative technology included intranets, public web based forums and blogs. The internet and the web based corporate pages also facilitated connections. Locally based events were primarily job fairs and engagement at the local offices.

The dialogue and inquiries directly from these local level populations at times provided the operational group with ideas in much the same way that focus groups and formal surveys provide feedback. An example of this is illustrated in the following statement, where the engagement then spurs a ripple of new conversations. “It’s the conversations that we have after you leave that allow us to plan approach in terms of how we can make this a little bit better” (Carrasco, 2007, personal field notes).

This level mirrors collaborative activity previously noted in Figure 2. We see an integration of effort between the users, strategic contacts and third party collaborators. The integration of members from the various levels allows for the different voice’s to emerge and facilitate the establishment of relationships between participants.

Interagency dialogue occurred in addition to the interorganizational and interpersonal effort. The Chair recognized that ongoing effort outside of the major strategic players in the following statement.

We have meetings twice a year, I want you to know that we understand that this committee cannot work effectively at two meetings a year. It takes 365 days a year 24 seven. We're committed to that, and I know you're committed to that.

(Carrasco, 2006, personal field notes)

Also at that meeting a partner commented on the impact of that local ongoing effort, "the real work is done at the local level, not in Washington or where our corporate offices are."

Advocacy and the availability to promote and education personnel is critical. The operational level was critical in this task. However, an established timeframe for infrastructure development and agreed upon messaging varied depending on the specific organization. Those organizations that dedicated resources, such as personnel or budgets moved along the continuum faster than those that burdened existing personnel with additional duties. A distinct advantage of a dedicated full time employee is that person then became the facilitator both within and outside of the organization. The following excerpts from the May 2007 meeting illustrate that.

It took us a while to figure out that we are all big, you can't just go from headquarters to the local level just like that....Companies need time to develop their internal infrastructure. Then the next level moves us to develop ways to move information back and forth from the partners and the Army.

In a lot of ways our processes are very similar in terms of how you move information through large organizations.

As companies have built the infrastructure, done the marketing, put everyone on the same sheet of music then how is everything working. What else can we do?
(Carrasco, 2007, personal field notes)

Generally, once the partner was inducted it was common to see an entire fiscal cycle evolve before specific efforts outside of education could be seen as outcomes. Published external communications and participation at events were the most common effort requiring funding.

5.8 *Outcomes*

In the final segment, we can see where the actions of the various participants' at all three levels combined with varying degrees of time to deliver results. These results relate primarily to the state of mind or culture of the participant and organization, significant decision points and the nature of communication.

The decision points within the partnership are not at any fixed time, other than the invitation to participate or request to consider for partnership. Decision points are however enfolded throughout the partnership. Collaborative ventures are in constant flux with representatives and viable stakeholders moving in and out of dialogue.

Beyond the stage of invitation and throughout the tenure of the partnership, it was uncommon but not without precedence for a corporation to withdraw from participating and/or to request that a partner reevaluates their participation. The primary explanation for that decision was a change in senior leadership structure or a regression back to win-lose politics where decisions were founded on analytic processes that focused on cost transaction, most often resulting in personnel changes. An example of a case where a partner was asked to withdraw follows:

As a founding Partner of the Army Spouse Employment Partnership, NAME assisted in the development of the Partnership's vision, mission and goals. We thank you for your efforts in helping to build the framework of the Partnership. While we appreciate your support, we understand that recent changes in your corporate structure have impacted NAME's ability to devote the resources needed for active participation within the Partnership. We have decided that NAME would be better served by a local approach wherein each NAME office would connect directly with installation Employment Readiness Program Managers to bring awareness to military spouses about available jobs. Again, we are grateful for the past contributions NAME has made to the Army Spouse Employment Partnership. We look forward to future updates on your efforts to employ military spouses. (Carrasco, 2008, personal field notes)

The significance to this form of written communication is that it establishes the contributions of the corporation and also strongly expresses the opportunity to reengage. A reinvitation is overtly expresses in hopes that the corporation will reestablish its status as a partner.

The following is a speech prepared for Army leadership by the researcher, delivered at the October 10, 2007 partnership meeting.

... The Army knows and understands the challenges faced by our career spouses. The Army Spouse Employment Partnership is leveraging the strength of our Employment Readiness field personnel's knowledge of local resources. Training opportunities they offer to spouses, along with a proven toolbox of assessments, can help spouses build career ladders throughout the range of opportunities offered by our corporate partners. This is one way ASEP seeks to provide Army

spouses with opportunities to attain jobs. Even more significant is the growing number of opportunities spouses now have to advance to positions requiring greater skills, greater responsibilities and, accordingly, higher pay (Carrasco, 2007, personal field notes).

Components of this speech are reflective of a different perspective of the outcomes although the same, having a different origination. It offers an additional example of the conversion process. Past research has suggested that collaborative initiatives should have common definitions of problems. This case analysis presents an argument for looking at common outcomes to differently defined problems. This joint solution vs. joint problem approach lends itself to multiple stakeholder participation.

5.9 Significant Findings

The Spindling Process as a Metaphor for Collaboration

As a partnership converts from simple information sharing and perhaps coordination to more cooperative and collaborative relationships, the need for skills also shifts- from planning, organizing, and leading to mediating, guiding, and influencing. The “T” factor traits of breadth and depth of experience underscored by communication skills such as relationship management and influencing ability are enhanced as they converge. I use the metaphor of the spindle to illustrate the spinning of a single yarn around the wheel and down the shaft, where the hook serves as the collaborator that keeps the process moving smoothly.

“The success of this partnership is not only through individual company initiatives but also examples of collaboration, where good ideas have become reality and made a difference to

those we are here to serve.” John P. McLaurin Former Deputy Assistance Secretary of the Army (Human Resources and ASEP Chairman 2003-2008 (Carrasco, 2006, p.6)

When visualizing this process imagine the top-whorl spindle. The stick is called the spindle, the disk on top called the whorl and the hook. The whorl relates to senior leadership sanctioning efforts, the spindle represents the levels below that deepen dialogue and the hook is the collaborator that serves as a third party participant, primarily facilitating between actors.

When individual and organizational capabilities are present actors turn towards each other in deep dialogue and through reflection they convert those preconditions. The spindling process that flows from conversation evolves as single intentions are converted. They then deliberate and participate in reflective and generative dialogue. Those actions spur the conversation that allows first and second order outcomes.

Key Collaborator Roles

Key collaborators served as a lead thread guided by ‘the hook.’ The hook represents the third party facilitator, but not solely in the usual role associated with facilitators. Whereas a facilitator was generally engaged with assisting in managing a process and not the content of the discussion key collaborators are internal expert resources who manage information exchanges, while serving as the *expert*. This distinguishes collaborative capacity, due to the internal investment in developing internal individual’s skills and organizational capacity.

A major finding in this case study, also significantly supported in the literature base, is the importance of key collaborators. This partnership was afforded the distinct advantage of a third party that assisted in the facilitation of dialogue, and held primary responsibility for

translating specialized languages between groups. Also key to this role was the direct experience in the cultures and realities of the significant stakeholders. As an Army spouse for almost two decades and seasoned professional in the private sector and also, as an employment readiness program manager, the researcher brought direct insight and deep experience to the initiative. A collaborator is involved in the experience day to day. A collaborator must understand and have experience in the language spoken by the key participants. The partnership operated every day, efforts culminated, and “spindled” together at the semiannual meetings. Collaborative capacity and deep dialogue are not the same outcome that is generally experienced when an off site meeting is planned and carried out for strategic planning purposes. The climate is forged and the timeline is limited. Once the off site is over, the excitement and motivation experienced slowly falls away, and outcomes generally not monitored or managed.

The researcher served as the primary representative from late 2003 up through the transition from a project model to the institutionalization of an Army program. As a habit, in the initial development of relationships with both Army and Corporate representatives I explained my job as that of the translator between the languages and broader directives to help establish a common understanding and dual solution. Isaacs (1999) refers to this technique as joining each person differently. He cautions that each person within a dialogue is different, “each one has a different story and way to make meaning. Listening carefully to each person and speaking uniquely to him or her matters” (p.293).

However, he incorporates a condition that this is significant in the initial setting for dialogue, in the case of this initiative, unique talk, was necessary throughout the collaborative process. I would propose that unique talk is a basic contextual requirement to facilitate deep dialogue.

Derived directly from the participants at the first working session, the partnership was based on cooperation, communication & dialogue, (Carrasco, 2003, personal field notes). The primary theme of communication was facilitated with its own guiding principle. The establishment of several foundational operating principles have shown to be a critical factor in the success of this particular initiative. The former Project manager and researcher operated from the standpoint of maintaining several *Core Values* in order to continue a collaborative and participative ethic. They included (a) Full Participation, (b) Mutual Understanding, (c) Inclusive solutions/actions and (d) a shared responsibility for implementation.

To summarize, the argument developed in the body of this study can be summarized in the following propositions. In ordinary talk, we presuppose a great deal. We take things for granted, assuming that the other conversational participants share our knowledge. In IOC, we must presuppose the following:

- (a) Establishing collaboration as a win-win. Although Schein (2009) proposes the two most common principles as a common problem and dialogue, the case study implies a common solution despite the problem definition (p. 266).
- (b) Collaboration is a weaving together of multiple and diverse viewpoints into a mosaic, unfolding with new insights.
- (c) All people are communicative by nature, but the development of communicative competence is significant for engaging in deep dialogue. Communicative competence is the intention of communication to reach new understanding for informing individual and collective action.

- (d) Collaboration is emergent. Collaboration is not the prescribed state of an organization or individual, rather it is an investment in each other and experience in the domain.
- (e) Relational practices are necessary for whole system change. One needs to create relational practices among the various levels and members of the organization; such practices require real dialogue if joint action is to become a reality (Schein, 1993; Isaacs, 1999).

5.10 Conclusion

The location of language is not just central to collaboration studies but indivisibly enfolded in the conception of organization and the process of interorganizational collaborative theorizing. The case of the Army Spouse Employment Partnership illustrates collaboration evolving when there is an absence of debate, discussion as defined by the organization as dialogue model.

This chapter has utilized a triangulation of research methods—in-depth participant observer analysis and review of written materials, including meeting agendas, minutes, reports, and press releases—to identify the preconditions and processes that facilitating the building of collaborative capacity. Findings from this research will contribute to a growing body of knowledge regarding the key processes that occur in order to facilitate deep dialogue in interorganizational and intra organizational collaboration.

The following chapter reviews the implications of this research and outlines recommendations for future research in addition to presenting the collaborative dialogue model that resulted from the analysis of this case study.

Chapter 6: The Revised Collaboration Model, Implications and Suggestions for Further Research

In the introductory chapter, we established the significance of collaboration as a topic of inquiry. We have explored the collaborative capacity building process and analyzed the critical factors and core competencies required to build collaborative capacity. The literature review illuminates that popular interest and increased research activity has been a mixed blessing. Varying definitions, research methods, and practical efforts to deliver collaborative outcomes have created as much confusion as it has brought insights. We have explored the evolution of collaboration from a technical rational to humanistic organization (Figure 1, p. 10) and advanced a cross-sector collaborative framework. We also mapped the continuum of related concepts and illustrated their distinction in a spectrum of Interorganizational Collaborative Activity (Figure 2, p. 40). In addition, we proposed a definition of interorganizational collaboration (IOC) and noted the significant motivations to collaborate resulting in a synthesis of knowledge from diverse fields on interorganizational relationships.

The theoretical framework was identified within a Systems Psychodynamic Perspective, underpinned by the research of the Tavistock Institute and integrating insights from the social sciences and psychoanalysis. Examining collaboration from a systems perspective allowed the development of a framework that is aggregative in nature. The theoretical model links between the trust that individuals have in others, the investment others make in trustworthy reputations, and the probability that participants will use reciprocity norms in a mutually reinforcing core affected by structural variables as well as the experiences of participants. It also addresses the three critical and overarching issues of collaboration, specifically: the preconditions that make collaboration possible and motivate stakeholders to participate, the process through which

collaboration occurs, and the outcomes of the collaboration. These theoretical concepts and preconditions frame the thesis, where conversation serves as the nexus within IOC. Muddling through a problem domain with multiple stakeholders underpins collaboratives and establishes talk as the work.

6.1 Major Findings

The core question we have explored throughout this investigation is the relationship between individual collaborative capacity competencies and organizational processes. Collaborative capacity includes the development of ways to build and strengthen relationships, an analysis of the way we communicate with one another, and cultural characteristics that support collaboration. This dual analysis of the relationship between individuals at the senior, strategic and operational levels and the relationships between organizations reveal the key tenets required to increase collaborative capacity. Individual collaborative capacity can be defined as the knowledge, skills, and attitude required to achieve collaborative outcomes. Organizational collaborative capacity is concentrated in the (sub)culture and processes required to support collaboration. Understanding the importance of interdependence, constructive human interaction and collaborative dialogue have emerged as the genesis of collaboration.

The previous chapter utilized a case study, building on a rich history of its use as a methodological tradition and one used successfully in past collaborative research. The longitudinal characteristic of the case study, extending from June 2002 through October 2008, provides strong substantiation of the resulting constructs and presuppositions. The distinct experience of the researcher allowed for insights into the process not currently found in the existing literature base.

Several major findings resulted from the analysis. These include the significant role of knowledge and the necessity of engaging in constructive conflict using a dialectic collaboration model.

6.2 Level of Knowledge

In the case study we described a central theme of collaboration as the identification of varying levels of collaborative talk across the three levels of participation found in the ASEP initiative. The levels include the executive, director/manager and operational level. We described distinctive dialectical traits at each of the three levels and how they influence the development of collaborative capacity. The level of dialectic collaborative capacity seems to be associated with role expectations, organizational structure and the level of knowledge associated with the participant's structural location. A review of the case study findings shows that at the CEO and executive level, collaborative dialogue across firms emerged when critical decisions were necessary to sanction existing or ongoing efforts. Once strategic decisions relative to the ASEP project had been reached, however, the necessity for ongoing collaboration between CEOs was minimal. It is perhaps more accurate to describe CEO level dialogue as cooperative rather than collaborative. At the regional and mid-management level the case analysis demonstrated ongoing strategic planning, and a more active role in the establishment of collaborative dialogue. The most extensive use of collaboration occurred at the operational level. Two reasons are offered to explain this. One is the variety of different participants. These include local program managers, locally based recruiters and military spouses. Each of these groups represented diverse perspectives and interests. Collaboration was necessary to reach a working consensus regarding desired outcomes. Second, the nature of the work required ongoing dialogue and collaboration in order to reach objectives. Such ongoing collaboration gave rise to new perspectives that guided

participants at the operational level and were shared upward in the organization from operational to middle management levels.

Deep knowledge is important for collaborative capacity building. Role expectations associated with organizational structure can serve as blinders, inhibiting collaboration. The 21st century has seen the beginning of a cultural shift restructuring the organization to include all levels of knowledge workers. This shift brings with it ambiguity and frustration, however the unlocking of knowledge from its established social silos is a necessary condition for building collaborative capacity within individuals and organizations.

Noting the significance of knowledge is not new. Four decades ago Drucker (1969\1992) proposed that, “Economic theory needs to be restructured on a brand-new postulate: knowledge creates productivity” (p. 150). Corporations have begun to move from a command and control orientation to one embracing collaboration and teamwork. An example of the new generation of corporations is Cisco. During his presentation at MIT, “Building the Next Generation Company: Innovation, Talent, Excellence,” the CEO of Cisco, John Chambers (2009) discussed the utilization of working groups, pilot programs, councils and other forms of collaborative interaction. He described his future vision of enterprise-wide collaboration. He also stressed the importance of the breaking down of functional lines and rewards based on cross-functional success. The application of business models that bring people together can be seen in many of the most innovative corporations.

Compartmentalized knowledge is an archaic model. The sharing of information across a variety of platforms and boundaries will distinguish the collaborative organizations of the future. Shared dialogue is facilitated by an array of technologies. Talk will work with and through

various interfaces such as WebEx, Twitter, Wikis, Blogs, Discussion Forums, YouTube, TelePresence and Facebook to bring more participants together.

As we consider the organizational structure of knowledge sharing in the future, we could imagine a double helix where the knowledge and the logic matrices are, “coexisting in a dynamic balance within the same organization” (Drucker, 1969/1992, p.196). Underlining the idea that logic and knowledge matrices need to co-exist are the precautionary words of Scharmer (2007). He introduces his book on the social technology of *presencing* [*readers note: a deeper source of knowing*] with, “the crisis of our time isn’t just a crisis of a single leader, organization, country, or conflict. The crisis of our time reveals the dying of an old social structure and way of thinking, an old way of institutionalization and enacting collective social forms” (Scharmer, 2007, p.2) The new world order then can be seen coming into focus as compartmentalized knowledge decays and disintegrates. In its place, we have already begun to rebuild the new platform where knowledge moves from the tacit to the explicit, where we invest in the development of processes that allow that sharing of knowledge across levels, units, departments, and geographic boundaries.

The management of knowledge over time will shape our institutions, firms and corporations. It will change how we allocate resources, set budgets, distribute power and reward people. Learning throughout the organization is necessary and transferring that knowledge is critical to continuing on the path of innovation and productivity that our young country has grown accustomed to.

6.3 Constructive Conflict

The double helix structure previously mentioned where knowledge and logic coexist within our institutions will generate conflict. Knowledge is limited by organizational routines,

individual experience and biased interpretation of the potential value of new possibilities. That structure is also an institution's primary method of maintaining command and control, so that variables are minimized. We stated previously that a key challenge in collaboration is the defensive dynamics that are inevitable in an emergent process. Strife and dissent, however, can be discussed and, in turn, may allow perspectives to change.

In the 1930s, Mary Parker Follett noted that the key to any successful organization was building and maintaining a process that sustained human relationships and dealt effectively with conflict without compromise. From the earliest days of management and organizational theory to the present, dealing with conflict has generally been addressed by avoidance and win-lose politics. Recently, in his introduction of the President of Iran, Mahmoud Ahmadinejad, the President of Columbia University shared the following precautionary words,

We need to understand the world we live in, neither neglecting its glories nor shrinking from its threats and dangers. It is inconsistent with the idea that one should know thine enemy—I'm sorry—it is consistent with the idea that one should know thine enemies, to have the intellectual and emotional courage to confront the mind of evil, and to prepare ourselves to act with the right temperament. In the moment, the argument for free speech will never seem to match the power of the arguments against, but often counterproductive impulses that lead us to retreat from engagement with ideas we dislike and fear. In this lies the genius of the American idea of free speech (2009).

The constructive approach to conflict is not to vehemently defend your chosen position, but rather to see the conflict as an opportunity to be reflective about your own established realities and move forward with healthy doubt. The collaborative way is to meet conflict in the middle

and come out with a third viewpoint, a new realization that neither compromises your position nor offers concessions but rather is generative in nature. Schumacher (1978) poignantly lays out this perspective by reminding us that, “Divergent problems offend the logical mind which wishes to remove tension by coming down on one side or the other; but they provoke, stimulate and sharpen the higher human faculties without which man is nothing but a clever animal” (p.147).

6.4 *Dialectic Collaboration Model: Talk is the Work*

The dialectic collaboration process model previously presented provided us with a framework of the necessary ingredients for increasing collaborative capacity within individuals and organizations. While it was firmly based in the literature, once it was folded over the longitudinal case analysis it required adjustment. The revised model is a result of that analysis.

The *Organization as Dialogue* model addressed the three overarching issues of collaboration, (a) the preconditions that make collaboration possible and motivate stakeholders to participate, (b) the process through which collaboration occurs, and the (c) outcomes of the collaboration. The preconditions and ensuing outcomes remain valid. The model, however, has been adjusted to reflect the insights derived from the collaborative process and the pathway necessary to achieve collaborative outcomes.

Talk as the Work is based on dialectic logic providing insights for interorganizational collaborative capacity building. The model incorporates collective inquiry by conducting an analysis of the knowledge base and the process brought to light in the case analysis. A continued practice of using collective *inquiry* [the joint pursuit of answers to questions of mutual interest through dialogue, experimentation, the review of knowledge, or other means (Pasmore, Stymne, Shani, Mohrman & Adler, 2008, p.12)] by practitioners and scholars across multiple disciplines will strengthen relationships and add to our knowledge base.

The conversion of individual and organizational capabilities into collaborative capacity is at the center of the revised model. This improved model is reflected in Figure 13. The case analysis brought to light a distinction between the two general paths we follow as we engage in conversation. This mirrors the dialectic and logic concept previously discussed to assist in the dissemination of knowledge throughout the organization. The logic and transaction model shown at the center of the model in a closed loop engages us in debate and discussion. Collaboration, however, requires the choosing to move away from arguments, negotiation and influence through debate and critical analysis toward reflective and generative dialogue. Deep dialogue forms from our mindful suspension of judgment and a healthy doubt of our self-assurances.

Again, it is significant to draw on the strengths of this model as its focus is on process over structure – organizing as a process conception. In traditional organizational structures, analytical logic and transaction cost analysis overshadow collaborative efforts. Collaboration requires a distinct socialization different from the command and control climate. Conversation is also intended to be multi dimensional. Established with face-to-face interactions and complimented with blogs twitter, texting and other modes of text dialogue. The dominant value, rather than *transaction cost analysis*, becomes *joint construction*. The model shows the pathway from conversation to the first and second order outcomes, moving through deliberation and reflection. Deliberation and reflection require the suspension of judgment. This distinguishes the logic from the dialectic pathway.

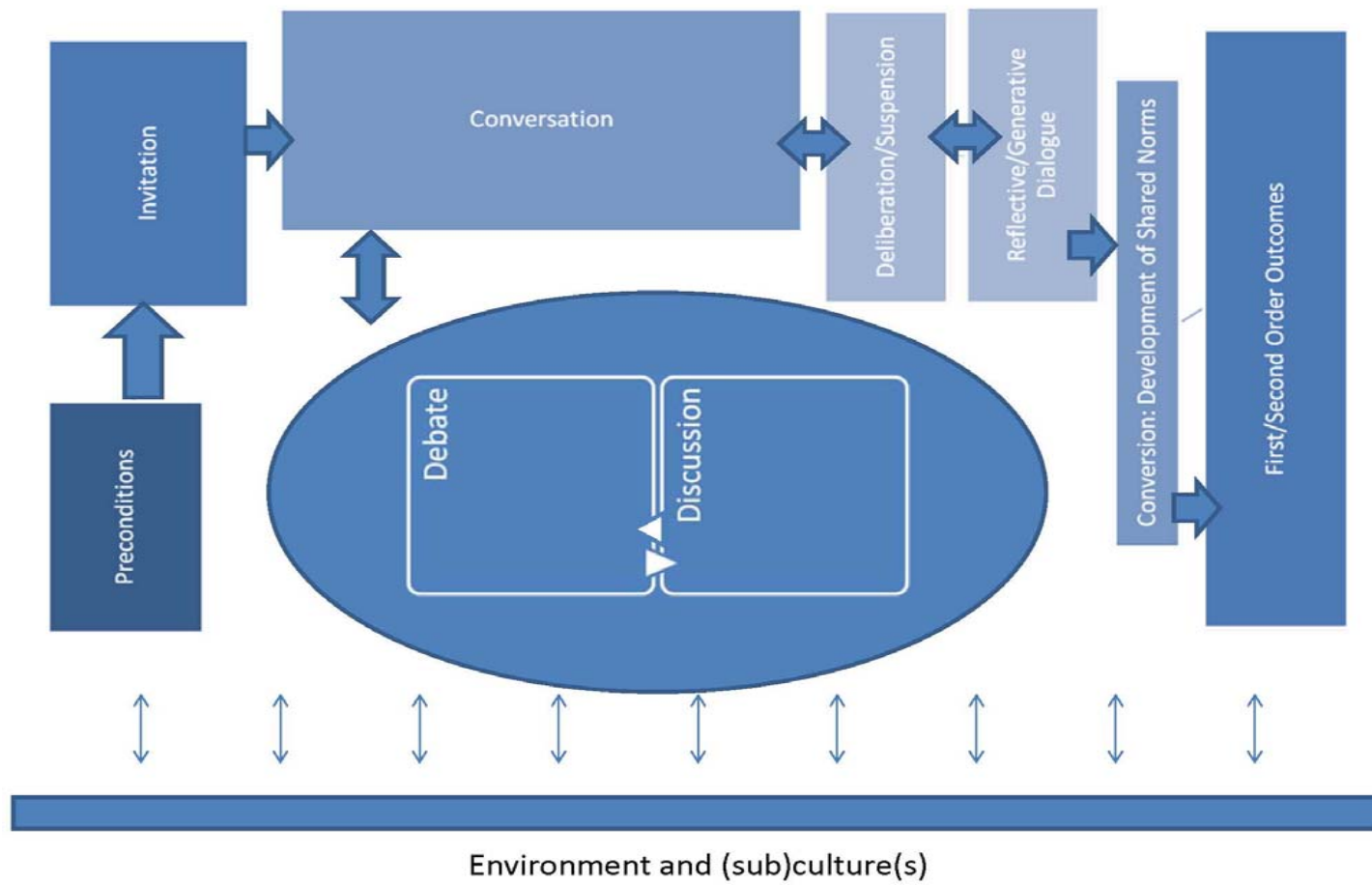


Figure 13: Collaboration Process as a Dialectic Model

The prevailing view of the organization is that it serves to, “keep in check the transaction costs arising from the self-interested motivations of individuals” (Kogut, B., and Zander, U., 1992, p. 383). The value of IOC is proportional to the square of shared knowledge. Shifting the prevailing view from transactions and content to the exchange of deep dialogue (resulting in knowledge) is necessary to bring to light the value of scale achieved through collaborative efforts.

6.5 *IMPLICATIONS FOR RESEARCH AND PRACTICE*

This study has important implications for practitioners concerned with improving IOC processes among a variety of participants. The framework provided in the model allows practitioners to identify the crux of collaborative outcomes. A culture that promotes cross-fertilization of knowledge and sharing among all knowledge workers, implements pilot groups, councils and other forms of collaborative teamwork will be able to listen closely at the quality of conversations occurring as they may have important implications for effective IOC.

The role of collaboration among institutions that choose to bring innovation to scale more quickly will make deep dialogue and the process detailed in the *Talk as Work* model a core function rather than a competence.

The implications for academic and business partnerships are noteworthy. Academia could stand to win more industry contracts. The division of labor in academia and industry on research is shifting towards academics doing more applied research.

The impact will be evident in public-private partnerships between corporations, governments, not-for-profit organizations, and communities engaged in IOC, therefore potentially increasing collaborative capacity within all sectors of society. Talk is the work and it permeates all boundaries, industries and nations - there can be nothing more fundamental than

one-to-one engagement. The uncertain factor is how the talk will move from dialect to the various forms of communication that engage us from a variety of platforms.

6.6 Suggestions for Future Research

The assessment and evaluation of IOC efforts would lead to a more systematic investigation of partnerships, collaborative initiatives and program effectiveness. Measuring the value of collaboration would also make it easier to answer questions like: What are the critical factors in setting up a measurement program? What measures should be reported, analyzed and used to evaluate operational results and relate them to business purposes and strategic objectives? What are the rules of thumb for improvement? The Frederick Winslow Taylor of the 21st century, however, must look for the right measuring stick. Understanding the question is the genius, identifying the right measurements for collaboration will require a different colored box.

6.7 Conclusions

As collaborative management and collaborative research become common practice within our society's organizations, the utilization of deep dialogue will serve as an enabling tool to help bring win-win solutions to fruition. The Honorable John P. McLaurin III, then Assistant Secretary of the Army (Human Resources) & Chair of the Army Spouse Employment Partnership, on October 9, 2006, eloquently points out our relationship with dialogue. "Communication is an art form. You can communicate in many different ways but, generally, one or two ways are most effective, whereas they all communicate" (Carrasco, 2006, personal field notes).

Brown and Isaacs (2008) pose the question, "Are we as human beings so immersed in conversation that, like fish in water, conversation is our medium for survival and we just can't

see it?” (p.17). According to the Pioneers of Change Associates, in a project commissioned by the German Technical Co-operation (GTZ), they contend that,

Many of us seem to have forgotten how to engage in, and be present to, such conversations. In these times of busyness, information overload, electronic communications, scientific rationality, and organizational complexity, we are forgetting how to talk to each other. Fortunately, as a response to this trend, a number of methods for facilitating dialogue have been emerging globally, in particular over the past 20 years.

(Bojer, Knuth, & Magner, 2006, p.5)

America will forge a new future as old paradigms and symbols of success fall. From the debris, the future of organizations, the *collaborative*, will emerge. It will be “the most fundamental change in businesses and government on a global basis that you have ever seen, moving from command and control to true collaboration and teamwork” (Chambers, 2009).

As we engage in deep dialogue, we begin to see conversation open new perspectives within individuals and new frontiers in collaboration. As the art of talk begins to develop, new business models will be enabled by collaboration, and increased productivity will be driven by it as well.

The dialectic model presented here offers leaders a useful tool in the development of the process of deep dialogue. In addition, a synthesized definition of collaboration and a framework for the identification of the different types of cooperative efforts offer a shared understanding of a complex process. This research has contributed to the literature by exploring collaborative capacity building through the theoretical framework of systems psychodynamics. It has demonstrated the possibility of increasing our understanding of collaborative dialogue, in this

particular instance, through a longitudinal case study using qualitative methods. Talk is presented as the work necessary to build collaborative capacity.

Appendix

List of Documents Reviewed

1. ASEP archival documents from 2002-2008
2. The Army Family White Paper 1983, Chief of Staff of the Army
3. The Army Family, A White Paper 2003, Chief of Staff of the Army
4. Statement of Support for each of the Corporations inducted
5. Press and Media Releases related to the Partnership and Individual Partner Corporations, organizations and Government Agencies from 2002-2008
6. ASEP Strategic Plan 2004-2008
7. ASEP Web based landing pages, and documents available for download
8. Partner Orientation Scripts, Slides and Handouts
9. Employment Readiness Training Modules 2004-2008
10. ASEP Media Kit 2007 & 2008
11. ASEP marketing items
12. Account Manager Concept, Metrics and Strategic Planning
13. Partner Portfolio's – ASEP Activity
14. Partner Phased Metrics
15. After Action Reports
16. Executive Summaries
17. Recorded audio of each of the ASEP Partnership Meetings from 2003- May 2008
18. Meeting Minutes from 2003-2008
19. Partnership Meeting Presentations, Partners & Army updates

20. Strategic communications
21. ASEP Partner Work Group Meeting Minutes 2003-2008
22. Potential ASEP Partner Application Packets
23. ASEP Application
24. ASEP Nomination Process
25. Written Speech's from senior Army leaders related to the ASEP Partnership from 2002-2008
26. Video Productions on the ASEP from 2003-2008
27. In Process Reviews for Senior Army Leadership 2003-2008 including supporting material
28. In Process Reviews for ASEP Partners, 2003-2008, including supporting material
29. Employer Support of the Guard and Reserve Resource Documents (available to the public via the WWW)
30. DoD Directive 1400.25, establishing the Employment of Spouses of Active Duty Military Program
31. DoD Instruction 1404.12, "Employment of Spouses of Active Duty Military Members Stationed Worldwide," January 12, 1989 (hereby canceled)
32. DoD Directive 5124.02, "Under Secretary of Defense for Personnel and Readiness (USD(P&R))." October 17, 2006
33. Title 10, United States Code, Chapter 88, Subchapter I, Military Family Programs, Section 1784, "Employment Opportunities for Military Spouses"
34. Executive Order 12721, "Eligibility of Overseas Employees for Noncompetitive Appointments," July 30, 1990.

35. DoD Priority Placement Program (PPP) Operations Manual, July 1998
36. Deputy Under Secretary of Defense (Civilian Personnel Policy) Memorandum,
“Employment of Military Spouses,” October 7, 2004 (hereby cancelled)
37. Title 5, United States Code, Section 2108, “Veteran; disabled veteran; preference
eligible,” as amended
38. Public Law 99-145, Department of Defense Authorization Act, 1986, Section 806,
“Employment Opportunities for Military Spouses,” November 8, 1985, as amended

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Vita

A Texas native, Mrs. Carrasco earned her Bachelor of Science degree in Psychology from the University of Maryland. She earned her Master's Degree in Human Relations from the University of Oklahoma in 1997.

Mrs. Carrasco most recently served as the project manager and senior analyst for the Army Spouse Employment Partnership (ASEP) from 2002 through 2008. A national initiative between corporate partners and the United States Army the partnership facilitates the employment of Army spouses to the mutual benefit of the Army and corporate America. It marks a significant milestone for Army spouses and the promise by the Army to facilitate corporate efforts to access, develop, recruit and hire from a talented, diverse labor pool: Army spouses.

Mrs. Carrasco previously served as the Manager of Business and Industry Partnerships for WORKFORCE ONE, bringing with her experience in recruiting, marketing, training and educational and vocational guidance. In this position, she managed all of the activities of the Industry Action Groups (IAG) within WORKFORCE ONE, which included Construction and Trades, Technology, Manufacturing and Health care. The primary purpose of the IAGs are to provide employers within the Greater Richmond a forum in which to communicate workforce education and training needs, with the ultimate goal of providing the Richmond area a viable pool of employees with the appropriate level of skill and training.

Mrs. Carrasco has headed her own career-consulting firm. In a previous position, she was the program manager for the Employment Readiness Program, under the Department of the Army, where she provided career services for trailing spouses coming to Ft. Lee, Virginia.

Mrs. Carrasco is a past president of the Virginia Career Development Association (VCDA) and former founding board member of the Virginia Hispanic Chamber of Commerce.

During her career, Mrs. Carrasco has made a number of presentations at local and state conferences. Her articles have appeared in local publications, magazines and the Career Interactive Edition of the Wall Street Journal.

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