Public Organization and Management
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Lecture – 54
Public Management through Collaboration - IV

Hello dear learners, let's continue our discussion. In the previous session, we were discussing about the mechanisms. What can work as mechanisms for ensuring accountability and ensuring coordination and communication. In this session, we will continue on the mechanisms and we'll talk about the role of formal and informal mechanisms. The formal and informal mechanisms are also classified as important collaborative mechanisms. First of all, we will talk about the formal mechanisms.

Mostly, the formal mechanisms to ensure the success of the collaboration, they are part of well-written agreements, contracts, documents by partners under collaborations. So, these contract documents, they serve as the important tools that set these standards of conduct and guide behavior of the partners involved. Everything is written. These contracts explicitly mention the norms, the activities allowed, rules, regulation, how to deal with the contingencies, decision-making powers, authority, control mechanisms etc.

Now, all these are required to ensure accountability, alignment of the values, so that the outcomes are not compromised and also they include the ways to control non-cooperative behaviors by partner or incentivize corporations so if there are partners who are trying to indulge into non-cooperative behaviors there will be sanctions for them and if there's a cooperation there is a incentive, so striking the balance between incentives for cooperative behavior and and sanctions for non-cooperative behavior. Informal mechanisms on the other hand focus on building trust and relationships. Now these form informal mechanisms can also guide collaborative relationships also in the literature they sometimes are also termed as relational contracting between the partners. Now, according to this literature, relational contracting, the factors include trust, reputation, shared values, and they can help build social capital amongst the partners. Now, we can look at an example of collaboration among various organizations while confronting challenges such as disasters.

Let's say disaster like floods or earthquakes. More than formal mechanisms, the trusting relationship among organizations can prove to be catalyst in enhancing the effectiveness and efficiencies of operations to manage and coordinate the activities and deal with complexity. We just talked about example of disasters. Because when the disaster happens, we don't look into the formal agreements that guide behavior. All the, you

know, the organizations from different sector, they collaborate with each other to address the situation at the end.

They have to deal with the problems which the public is encountered in terms of floods or earthquake. Or let's take an example of COVID-19 pandemic. These kind of situations require the effort from multi-organizations. You imagine how healthcare organizations, the science labs, the experimentation by the scientists, the role of the police officials, the government agencies, the civic associations, all they came together, not based on what formal agreements require them to do, but depending upon the relational capital that they have attained with the collaboration. So, it is important that these informal mechanisms are also given consideration when the mechanisms are discussed in terms of collaboration as a concept.

It is important that we talk about these both formal and informal mechanisms whenever we talk about the mechanisms for ensuring the success of collaboration. We discussed about the reasons, the factors for selecting the partners, the mechanisms for the collaboration. Now, we have come to an important discussion point which required the most attention. What is that? It is fine that we have looked into various aspects of collaboration and collaborative governance. Recall our discussion on why organizations collaborate.

There are certain issues or the causes that need a redressal and multiple organizations, they have come to solve those issues. Now, it is time to evaluate whether the collaboration has resulted into the performance outcomes or not. Can we actually measure the performance of the collaboration? And if yes, what are the indicators with the help of which we can measure the performance of a collaboration? Now here, we will focus on the aspects of performance in terms of measuring the success of collaboration. What are the parameters or indicators for performance success? Literature says that the success of collaboration depends upon various factors. And first among these factors depends upon partner's initial goals.

So when the organization, they begin to collaborate with each other, this relates to the idea why organizations in the first place decide to collaborate. What were their initial goals? The process of finding alignment in goals or creating shared goals can certainly influence the coordination among partners and then may lead to success. On the other hand, if the goals are incompatible, it can lead to compromised outcomes and conflict resulting in partnership dissolution and hence failure in the collaboration. This particular initial goals of the partners is also an indicator. The congress between the initial goals and the alignment between the initial goals is an indicator of the performance success in the collaboration.

Another important factor that relates to the collaboration success and performance is the role of managers because these are the people who will be taking care of the day-to-day activities in the network. And the literature highlight that their role is very, very crucial in managing participants in the network and directing them to perform the collaborative work. Now, the involvement of these managers in handling the complex situations, already they are working in their roles and they already have some experience of managing complex problem. So, their experience actually, it actually helped them more successful in dealing with the alliances which require greater contribution, knowledge sharing, management of the conflict in inter-organizational context. Because they are the one who will be taking care of the activities on the daily basis.

So they are the one who will know that what is required in terms of coordination and communication to ensure accountability. So they are better placed and positioned to look into this. Now Bryson, Crosby and Stone in their research study highlight the role of relationships with the key political and professional constituencies that the another important indicator for measuring the success of the collaboration. They highlighted that if the collaboration you know they are built on the relationships based on the relationship with the key political and professional constituency they are important factors for the success of cross sector collaboration because you have the authority and you are partnering with somebody with the having lot of influence which can actually impact or influence the collaboration success. Another research highlighted the role of partners rivalries.

The competition, different sector coming together to solve the problems. This particular study highlighted and concluded that the success of collaboration depend upon maintaining the balance between cooperation and competition over a time. It's not that you have to compete all the time when you are partnering with other organization to solve the other problems. If there is a better balance between the cooperation and competition, it can be another indicator which can ensure the collaboration success. Next, the idea of institutional logic has been discussed as the important indicator that can ensure the performance goals.

Now, first of all, we need to understand what is the meaning of institutional logic and how it is related to the conflict and how they can actually make the work coordination more challenging. Literature argued that the different organizations, they have different institutional logic. What is the meaning of this institutional logic? So these are, these logics are based on the certain set of values, beliefs, assumptions, practices followed by the organization that they decide to organize their activities on day-to-day basis. And these logics will also provide them meaning for their purpose and existence, different set of norms, values and beliefs for which they stand for. And these values, norms and attitudes, they guide their conduct of the behavior in their organizations, how they have to conduct the day-to-day activities.

Since different organizations stand for different values and norms and beliefs, it can lead to potential conflict among the organization and can prove to be challenging for work coordination. So, these logics which the organization stands for in terms of norms, values and behaviors or attitudes, this can lead to the potential conflict between the two which complicates the various aspects of the collaboration. So, this is another performance indicator if the institutional logics of the different organizations are not taken into consideration, it can also lead to the potential conflict between the parties. Finally, the role of broker organizations in facilitating collaboration is highlighted in literature as important factor for the success of partnership. But literature also highlight the mixed findings with respect to the role of broker organizations.

In some of the studies, it is highlighted that actually brokers weakened the collaborations. They are the one who actually has weakened rather than strengthening the collaboration. But there are other studies which say that careful analysis of using broker organizations as mechanisms. Who are brokers? The mediator parties who are actually bringing two parties together for the collaborations. A lot of consultancies can work as the broker between the two organizations.

So if the careful analysis has been done for using these broker as mechanisms, they can actually facilitate the collaboration and collaborative effort and can also ensure the success in the collaboration. Now, so far, the discussion has been on the importance of collaboration among the organization in the network to solve and to take care of the problems, issues and challenges that cannot be taken care of by the individual organizations. Now, in doing so, in the discussion so far, I have highlighted the various reasons behind why organizations collaborate, the important factors behind selection of the partner. We discussed about the collaboration mechanisms and issues and problems related to measuring the success, meaning performance of the organization's collaboration. This part of the session will discuss about the cross-sector collaborations or partnership.

Now, here the discussion will include description of the framework proposed by Bryson, Crosby and Stone in an article entitled Designing and Implementing Cross-Sector Collaboration Needed and Challenging published in Public Administration Review. Very interesting article to understand the cross-sector collaborations in terms of the design and implementation. So, we will discuss about this particular framework proposed by the authors Bryson and colleagues. Originally, if you notice that this article has been published in 2006, the article which is published in 2015 and which I will now focus on includes the details of empirical work done on the originally proposed proposition in 2006 article. So, in this article, the authors have tried to again, refined some of the propositions that they have earlier originally published in 2006.

In 2015 article, they rely on the empirical evidence of the research conducted by various other authors in the paper. I strongly suggest the learners to read this and refer this paper. Very interesting study to know about cross-sector collaboration. Now, before going into the framework, we will discuss about some very important considerations that one need to take into consideration when we talk about cross-sector collaboration. According to authors Bryson and colleagues, collaboration should be focused by organization in the network only if such collaboration provide clear advantage to the organizations which are collaborating.

By this they mean that there should be gains achieved by collaborations which otherwise cannot be achieved if organizations work alone. So it is important that collaboration is only taken when there is a clear advantage involved in the collaboration and collaborating effort. Another important point is collaborations are complicated and challenging but without them organization will not be able to tackle complex issues and problems. So the consideration by the author it says that that the organizations who want to collaborate they should consider and view collaborations as dynamic complex and multi-level system. So, this understanding should be there beforehand that this collaboration is going to be complex and challenging.

They are going to be dynamic. They are going to be complex and they are going to be multi-level system. This understanding should be there. If it is not there, it can pose difficulties for the collaborators to see for the first of all recognition of these issues in reported then going ahead with the collaboration itself. So, you recognize that these differences can be there, it could be challenging but this recognition itself is the first step taken towards the success of the collaboration. Further, the author suggested the organizations who are willing to collaborate and they are to collaborate, they should focus on the design approach.

Because it helps in achieving the desired outcomes and can also ensure the accountability. Now, let us first of all understand what authors meant by design approach. Now, the authors describe that while initiating collaborations, the collaborating parties should give much more focus on possible ends in the mind. The clarity of ends can help organization gain clear competitive advantage. Like when you are starting the collaborations in the beginning, you can very, you know, in the beginning only, be very clear about what ends you are looking at, what ends you are targeting.

And, you know, if you recall, some part of this we have discussed while understanding various collaboration mechanisms. Now, what is that you are looking at in the end? If you are very clear about this thing, So various interaction among them are important to achieve the desired outcomes because these ends, processes and structures which you are going to use, it's very very important. So first of all focus on ends and then focus on means in terms of design processes and structures because and of course the interactions

between them. It is going to lead to the achievable outcomes and ensuring the accountability one is that we are ensuring to achieve the ends which we are clarifying and to achieve these ends some means are to be adopted and then means are nothing but design processes and design structures and the interactions between the between them to achieve the desired outcomes. Another important aspect of design approach is learning in the design.

It's very, very important. Learning about goals and how performance should be evaluated can help the organizations while measuring the success of collaboration and collaborating effort. So it is emergent. While you converse with the partners in the collaboration, you have daily conversations with them, you communicate, you do some kind of exchanges, there's a learning involved. I'll talk about that kind of aspect when I talk about the various factors proposed by the authors. Now, further to achieve the desired outcome and to ensure accountability, the authors further emphasized on the role of leadership throughout the life cycle of the collaboration.

Now, by this author meant that the involvement of sponsors and champions should be there and facilitators should be there because they help in sustain the collaboration. I will go into the details of this particular role when I talk about the concept of leadership as the intersection between design processes and the structures. Finally, author suggested adopting the flexible governance structure. It means that flexible governance structure which can adjust depending upon the requirement throughout the entire life cycle.

So, things can change. We cannot anticipate something which is going to happen in the future. So, depending upon what is going to be their situation in times to come after the collaboration has started they are starting implementing their plans what kind of changes are going to be there or some kind of contingencies they will confront, so they need to adopt the flexible governance structure and it can happen at the any stage of the life cycle of the collaboration so it is very very important that organizations they have that mindset to be flexible in terms of their governance structure. Now, let us discuss the framework proposed by authors Bryson, Crosby and Stone 2015 to design and implement cross-sector collaborations. The figure that you see here, I have redrawn this particular figure from the paper.

Please refer to this paper. The aim behind this proposed framework is to help public managers from different sectors to design and sustain effective cross-sector collaborations to solve complex issues and to create public value. Now, this framework that I have mentioned earlier has been proposed by the authors as I have cited on this slide here, was published in Public Administration Review. The complete reference is mentioned on this slide. Again, I am suggesting learners to go to this particular article and get more clarity about this particular framework and the kind of propositions which

are proposed by the authors. Here I will only provide very brief summary of the major components in the framework and let us discuss these components one by one.

So we will first discuss the important component as authors proposed is the general antecedent conditions for cross-sector collaborations. Based on the extent literature, please see the details of other references mentioned in the article. I may not be able to review all the empirical studies which have been referred in the article, but their contributions are well acknowledged in the article and I am also acknowledging the work done by other authors. The authors of this framework, they state that the institutional environment is of the utmost importance for the cross-sector collaborations on solving public problems or forming public policies. Now, institutional environment of different organizations across jurisdictional areas impact structures, processes, and outcomes of collaborations directly.

Now, different institutions, organizations, they have different kind of environment of working. This will largely impact how the various structures and processes will be designed. So, for example, if you look at the public organizations, they have a different institutional environment. Private have different environments. So, depending upon from which environment they come from, their way of working, you know, in terms of how they will design the structure and how they will design the processes and how outcomes are to be evaluated, they will be different and it will impact the collaborations directly.

Within this institutional environment, mandates by the organization can influence or direct public officials to collaborate with other organizations to achieve outcomes such as design policy, implement policy, and gaining resources such as funds, technical knowledge, or expertise. Now here what we are looking at is why organizations collaborate in the cross sector and in this institutional environment in terms of mandate they influence public officials to go for the collaborations to gain access to resources. Now, what these mandates include? What are these mandates? These mandates actually often include as per the authors, officials with the decision making powers, membership in collaboration, deciding performance indicators, collaborative mechanisms such as accountability, tools for coordination and communication or administrative controls. That's what we have also discussed in terms of the mechanisms. So, these are the antecedent conditions for cross-sector collaborations to happen.

Now, next general antecedent condition relates to the changes in the political environment which can strongly impact the formation of cross sector collaboration. You know these particular environment they are vulnerable to policy and political change. So as far as the change happens there will be an impact and influence on the cross sector collaborations also. So this is a condition for the cross sector collaboration. Another related and very interesting aspect that the authors highlighted is the window for collaborative opportunity.

And I will highlight this particular and explain this particular concept with the help of an example from the education sector. Now, what is this window for collaborative opportunity? According to the authors, the public managers recognize opportunity window while analyzing problems and their possible solutions. They say that the problems and the possible solutions when it is being identified and recognized by the public officials, they try to identify the opportunity to collaborate, that is what they call it as window for collaborative opportunity and once this window of collaborative opportunity has been identified the collaborating public managers then mobilizes resources and partners around that identified opportunity. I will take an example from the education sector. This basically is based on an interview which was given by Mr.

Anil Swarup to IDR online in 2017. Mr. Swarup was then education secretary of MHRD, Ministry of Human Resource Development, now Ministry of Education. In this particular interview, Mr. Swarup highlighted what role civil society and government play in bringing changes in education. The entire interview is available on the second source which is mentioned on this slide here. The learners are requested to go to this particular interview and find out what the major points have been discussed by Mr.

Swarup. I will briefly discuss them here. Now, according to the excerpts from the interview, I will relate this to the concept of window for collaborative opportunity. In the words of Mr. Swarup, they say that solution to the problems faced in the education sector have to be found in the own country context rather than looking for solutions to the other country context for example if we really want to bring reforms in the Indian education system it should not be based on what is applicable in the other country context for example something good is happening in Finland, or for that matter England or any other country context doesn't mean that same can be applicable to the Indian education context also. So, according to him the solution which are applicable in other country context will have limited value in own country context.

Now, what Mr. Swarup has done when he was continuing with the role of the Secretary of MHRD, to understand the problem in education sector, he himself travelled to various places to discover ground level problems and to his surprise, there exists solution to tackle those problems. He has discussed with various stakeholders and have observed that the non-government organizations, they are actively playing a very active role in bringing changes in the education sector. Though Mr. Swarup highlighted various aspects related to problems in the education sector and their possible solution, I will only focus on his idea of creating a platform that facilitate collaboration among civil society and the government.

So, what happened is, here Mr. Swarup emphasized on the work done by NGOs in the education sector and what kind of support they need from the government both at state and central level. Now, he has observed that these non-government organizations, they

have actually provided various solutions which have worked in the various contexts you know, in terms of solutions provided to the educational problems, the NGOs were asked to draft memorandum of understanding to generate the interest within the state governments to apply the solution as far as feasibility. So, looking into when we try to understand the problems and the possible solutions, the public manager here, in this case Mr. Swarup, have identified a collaborative opportunity between NGOs and the state and national level government to look into the various ways which were actually successful in terms of bringing some kind of changes in the education sector. So here it is demonstrated that how from this stream of problems and the stream of solution a public manager recognize a window for collaborative opportunity to solve and addresses the problems.

Now of course technology has played a bigger role in helping in addressing these you know issues which are highlighted here. Finally, addressing public issues such as health, education, employment, poverty, one sector will never have all these resources. So for instance, government may not be able to address these issues alone. So we need to address public issues.

So in that case, one sector cannot do it. If they try to do it, there could be some kind of sector failure. If you recall the examples of alliance between Tata Trust and Indian government to tackle the issues related to healthcare, education, etc. We talked about this. If these problems are to be handled by one organization, it can actually possibly relate to the sector failure. So, in that case, resources from other non-governmental partner you know, are to be taken into consideration to solve the issues in the hand.

So, these resources from the business, non-profit organization should be sought through collaborations to solve the problems jointly. So, it is very, very crucial. So, this is the very first aspect of the framework proposed by Bryson and colleagues. Further, based on the review of several empirical studies, the authors Bryson et al. proposed initial conditions, drivers, and linking mechanisms as important components of the framework.

For designing and implementing cross-sector collaborations. It will be difficult to discuss and mention all the relevant studies here. However, the studies reviewed and mentioned in the article are mentioned in the article and I strongly suggest the learners to read these empirical studies as required. I will just very briefly define these conditions, driver and linking mechanisms. As per authors, once the institutional environment favors collaboration, it is crucial to have specific drivers that further smoothen the process of collaboration. Here, the authors highlight the role of leadership throughout the lifecycle of collaborative partnership. Authors suggested having committed leaders with collaborative mindset. Now, authors termed these leaders as sponsors and champions who take the full responsibility and are committed to achieve the success in collaborations. We'll talk about these sponsors and what kind of roles these sponsors,

champions and facilitators play. Then they talked about the formal agreements as another initial conditions for collaborations. Formal agreement support following purposes, agreement on problem definition, interdependence among partners to address the problem and to support accountability. In this context they talked about something which is very important authoritative text or formal agreements because these are the agreements which help the partners in the collaboration to perform willingly by consent.

Now, what is included in these texts? These texts includes norms of operations, mission statements, decision making authority, this is well written in terms of the formal agreements, memorandum of understanding, how they will handle contingencies, these all formal agreement will talk about this and of course roles and responsibilities of steering committees. These authoritative texts act as the initial conditions and drivers. Another important thing that they have highlighted in this particular framework under initial conditions and drivers is the prior relationship or existing network as initial drivers for effective collaboration as they include trustworthiness of the partners and legitimacy of the key stakeholders. Legitimacy, their competency is already been demonstrated and there is a level of trust. Their actions and what kind of work they are doing, it is already well proven.

And the parties and the collaboration, they have already seen each other's working. Another important aspect dimension is consequential incentives of the collaboration is another important factor as the initial driver for collaboration. Here, the goals achievement and the expectation from the collaboration can act as catalyst for effective collaboration among partners. See, what are the incentives we are looking for in the collaboration? We are looking for the specific outcomes that the organization cannot achieve alone. These outcomes acting as the incentive because if you collaborate these are the outcomes which can be there.

So it is important. Achievement of the goals in terms of this thing. I am talking about outcomes. So it act as the catalyst for effective collaboration among the partners. Incentive in terms of the goal achievement and the outcomes attainment. Another important initial condition driver and linking mechanism is nature of task, which the authors have highlighted.

It is expected to have impact on structure, membership and processes. Now, if you look at an example of addressing and responding to COVID-19 pandemic, you see the nature of the task complexity, it impacted the inter-organizational network with so many stakeholders involved and have significant impact on the collaboration outcomes. Finally, the authors have also highlighted the role of request for proposals, project and plans in facilitating collaboration efforts. If you look at an example from the Indian context, Department of Science and Technology, SCRB, they continue to call for the proposals which influence the organizations to collaborate with each other. Especially the academic

institutions, they are encouraged to collaborate with the government agencies, private agencies, science labs or the other organizations such as NGOs to look for the possible innovative solutions to take care of the social issues and the problems. So these collaborations can happen between various organizations from public, private and non-profit organizations. So these are some of the initial conditions, drivers and linking mechanisms which are highlighted by the authors as important for cross-sector collaborations which can influence the partners to go for partnership.