

## AEA/CDC Summer Evaluation Institute

### Offering 2: Evaluating Organizational Collaboration

**Description:** “Collaboration” is a misunderstood, under-empiricized and un-operationalized construct. Program and organizational stakeholders looking to do and be collaborative struggle to identify, practice and evaluate it with efficacy. This workshop aims to increase participants’ capacity to quantitatively and qualitatively examine the development of inter-organizational partnerships. Together, we will review, discuss, and try out specific tools for data collection, analysis and reporting, and we will identify ways to use the evaluation process to inform and improve collaborative ventures. You will practice using assessment techniques that are currently being used in the evaluation of PreK-16 educational reform initiatives and other grant-sponsored endeavors including the Safe School/Healthy Student initiative.

**Audience:** Attendees with a basic understanding of organizational change theory/systems theory and familiarity with mixed methodological designs

**Rebecca Gajda, Ph.D.** has been a facilitator of various workshops and courses for adult learners for more than 10 years. She was a top-10 workshop presenter at Evaluation 2007, lauded for her hands-on, accessible, and immediately useful content. As Director of Research and Evaluation for a large-scale, grant-funded school improvement initiative, she is currently working collaboratively with organizational stakeholders to examine the nature, characteristics and effects of collaborative school structures on student and teacher empowerment and performance. Dr. Gajda received her Ph.D. from Colorado State University and is currently an assistant professor at the University of Massachusetts Amherst.

**Offered (Two Rotations of the Same Content - Do not register for both):**

- Tuesday, June 24, 9:25 – 12:45 (20 minute break within)
- Wednesday, June 25, 9:25 – 12:45 (20 minute break within)

# *AEA-CDC Evaluating Organizational Collaboration June 2008*



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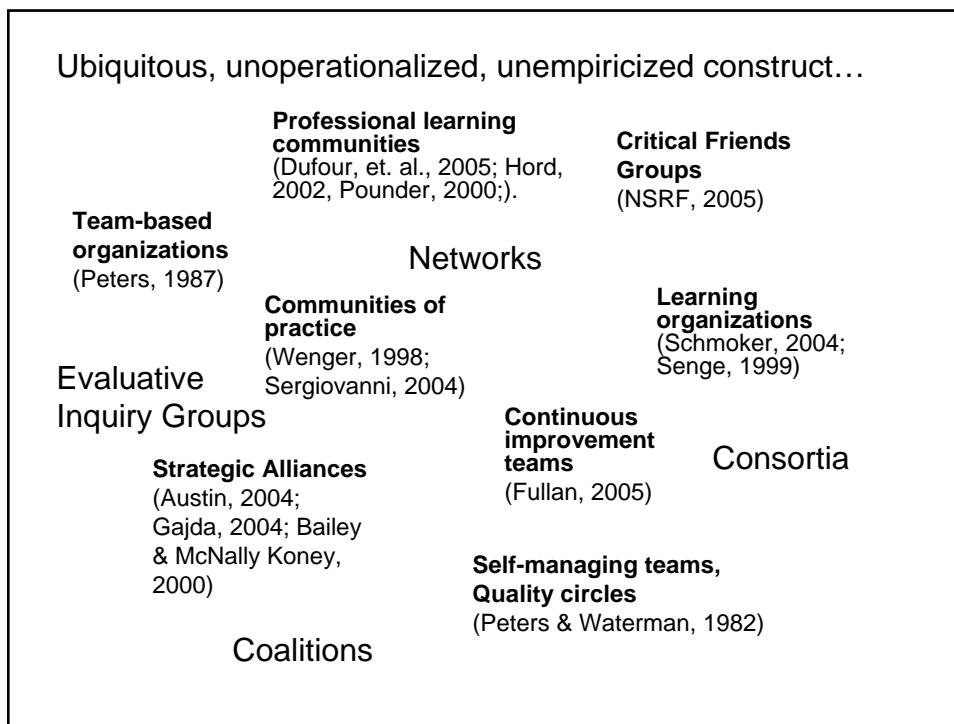
## Welcome

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What interests you about the evaluation of  
organizational collaboration?



What research/evaluation questions do you  
and your stakeholders seek to answer?



## PRINCIPLES of ORGANIZATIONAL COLLABORATION

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1. An Imperative
2. Complex Context
3. Stages of Development
4. Levels of Integration and Quality
5. A Human Endeavor
6. Cycle of Inquiry

### 1. AN IMPERATIVE

*We live in a time when no organization can succeed on its own...As we look around us in a new century, we realize that businesses and non-profits in today's interconnected world will neither thrive nor survive with visions confined within the walls of their own organizations. They need to look beyond the walls and find partners who can help achieve greater results and build the vital communities to meet challenges ahead.*

- Drucker & Whitehead, Harvard Business School, 2000)

## From the Industrial Era to the Knowledge Era

<b>Industrial Era</b>	<b>Knowledge Era</b>
Hierarchical chain of command	Self-governing teams
Control	Commitment
Managers control, maintain stability	Managers coach and lead
Few performance info systems	Proliferation of performance info systems
Risk averse	Risk tolerant
Interest in short-term gains	Interest in continuous improvement
Information held by a few	Information widely available

Adaptation of Exhibit 1.1 in Preskill & Torres (1999)

## The Imperative of Collaboration

- Public Health - Prevention & Intervention
- Emergency Management
- Community-Based Social Services
- Inter-disciplinary Research and Development Centers (e.g. EPSCoR; HBCU)
- Intra-Governmental Agency Alliances
- Facility Planning and Development
- School Improvement
- Corporate Foundations

## **2. Complex Context**

Inter-Organizational Collaboration  
*Strategic Alliances*

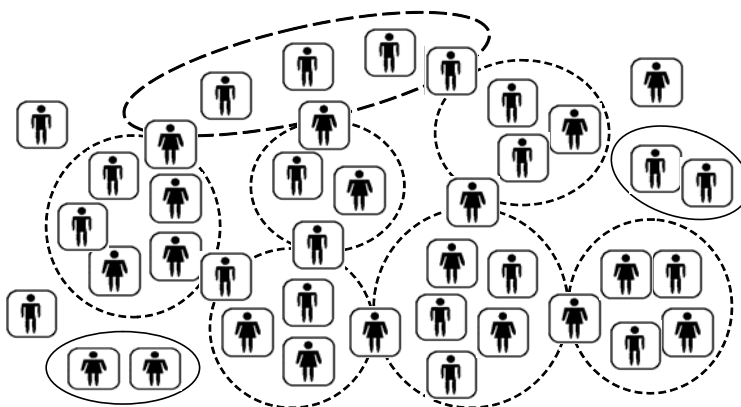


Intra-Organizational Collaboration  
*Communities of Practice (teams)*



Inter-Personal Collaboration  
*Community of Practice (team)*

Organizations are  
“Constellations of CoPs”



### 3. STAGES OF DEVELOPMENT

Assemble and Form  
Storm and Order  
Norm and Perform  
Transform and Adjour

Tuckman, 1965; Tuckman & Jensen, 1977;  
Bailey & Koney, 2000

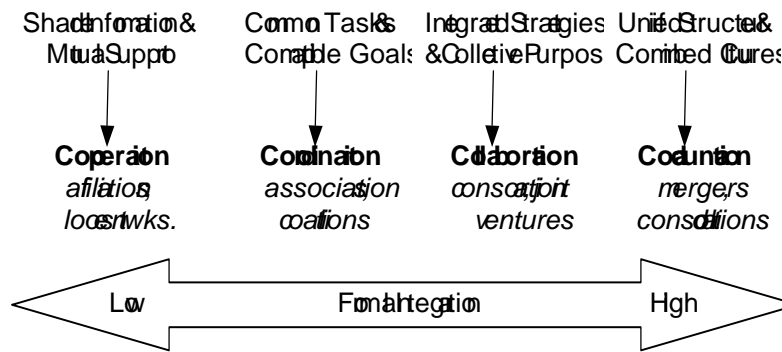
### Monitor Strategic Alliance Development

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*A series of questions may be posed to both  
strengthen each of the developmental  
phases and facilitate the transition of the  
alliance from one phase to the next.*

Bailey and McNally Koney (2000)

## 4. LEVELS of INTEGRATION



Defining Strategic Alliances and Networks  
Adaptation of Figure 13 in Bulechek & Nally (2000)

### Cross-Sector Collaboration Continuum (Austin, 2001)

Relationship stage	One Philanthropic	Two Transactional	Three Integrative
Level of engagement	Low	→	High
Importance to mission	Peripheral	→	Strategic
Magnitude of resources	Small	→	Big
Scope of activities	Narrow	→	Broad
Interaction level	Infrequent	→	Intensive
Managerial complexity	Simple	→	Complex
Strategic value	Modest	→	Major

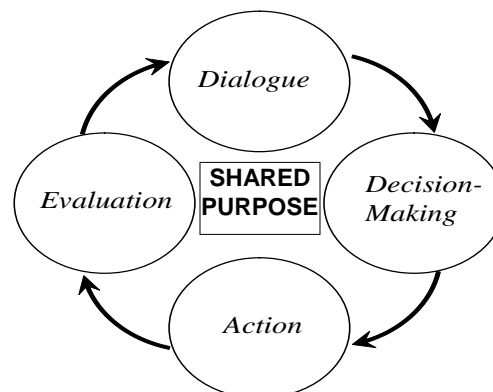
## 5. A HUMAN ENDEAVOR

Ultimately, it is people  
who collaborate not organizations.



## 6. COMMUNITIES of PRACTICE (Teams) ENGAGE IN A CYCLE OF INQUIRY (DDAE)

*They must do much more than meet!*



## KEY COLLABORATION EVALUATION STRATEGIES

1. Operationalize the concept of collaboration (facilitate an increase in collaboration literacy)
2. Inventory and map strategic alliances/communities of practice
3. Assess status and progress of strategic alliance development
4. Repeated assessment of pre-existing and projected levels of integration (SAFAR) & quality (CoPCAR)
5. Facilitate stakeholder meaning making and use of data

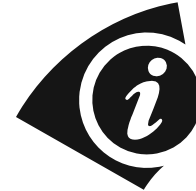
## A new order of things...

"It ought to be remembered that there is nothing more difficult to take in hand, more perilous to conduct, or more uncertain in its success, than to take the lead in the introduction of a new order of things. Because the innovator has for enemies all those who have done well under old conditions, and lukewarm defenders in those who may do well under the new. This coolness arises partly from fear of the opponents, who have the laws on their side, and partly from the incredulity of men, who do not readily believe in new things until they have had a long experience of them."

~ Machiavelli, *The Prince*

## Operationalize Collaboration - *Facilitate an Increase in Collaboration Literacy*

- Semantically - clarify terminology, difference between a SA, PLC, CoP, team, work group, etc.
- Conceptually - From chains of command to communities of practice
- Principles of collaboration - An imperative, quality of process IS important, need to move through stages, cycle of inquiry



## Evaluation Strategy: Identify and Inventory Communities of Practice

**COMMUNITY OF PRACTICE INVENTORY FORM**

Organization: \_\_\_\_\_  
 Department: \_\_\_\_\_  
 Date: \_\_\_\_\_

Name of Faculty/Staff Member	CoP Name	Purpose of the CoP	Length of Time CoP has Existed	Is CoP Formally Recognized?	Frequency of Face-to-Face Meetings
1)					
2)					
3)					
4)					
5)					
Continued...					

**\*Sterling High School - CoP Identification Snapshot**

	Academic Integrity	Math Assessment	Parent, Student, Teacher	Attendance	Community service	NHS Faculty Council	Teacher Leadership	Writing assessment	CIA	Follow-up	Climate	SIC	EST	
1				X		X		X		X				4
2					X					X		X	X	4
3			X			X				X		X		4
4					X				X				X	3
5				X	X		X							3
6	X								X				X	3
7							X	X				X		3
8		X							X	X				3
9		X	X									X		3
10									X				X	2
11											X	X	X	2
12											X	X	X	2
13											X	X	X	2
14						X						X		2
15										X			X	2
16							X			X				2
17									X				X	2
18				X				X						2
19											X		X	2
20											X			1
21												X		1
22											X			1
23									X					1
	1	2	2	3	3	3	3	3	5	5	6	8	9	
TOTAL FACULTY IN EACH COMMUNITY OF PRACTICE														

# Assess Inter-Organizational Collaboration

## SAFAR

Strategic Alliance Formative Assessment Rubric

Gajda, R. (2004). Utilizing collaboration theory to evaluate strategic alliances. *American Journal of Evaluation*. 25, 1, 65-77.

### Strategic Alliance Formative Assessment Rubric

Level of Integration	Purpose	Strategies and Tasks	Leadership and Decision-Making	Interpersonal and Communication
1 Networking	<p>Create a web of communication</p> <p>Identify and create a base of support</p> <p>Explore interests</p>	<p>Loose or no structure</p> <p>Flexible, roles not defined</p> <p>Few if any defined tasks</p>	<p>Non-hierarchical</p> <p>Flexible</p> <p>Minimal or no group decision making</p>	<p>Very little interpersonal conflict</p> <p>Communication among all members infrequent or absent</p>
2 Cooperating	<p>Work together to ensure tasks are done</p> <p>Leverage or raise money</p> <p>Identify mutual needs, but maintain separate identities</p>	<p>Member links are advisory</p> <p>Minimal structure</p> <p>Some strategies and tasks identified</p>	<p>Non-hierarchical, decisions tend to be low stakes</p> <p>Facilitative leaders, usually voluntary</p> <p>Several people form "go-to" hub</p>	<p>Some degree of personal commitment and investment</p> <p>Minimal interpersonal conflict</p> <p>Communication among members clear, but may be informal</p>
3 Partnering	<p>Share resources to address common issues</p> <p>Organizations remain autonomous but support something new</p> <p>Teach mutual goals together</p>	<p>Strategies and tasks are developed and maintained</p> <p>Central body of people have specific tasks</p>	<p>Autonomous leadership</p> <p>Alliance members share equally in the decision making</p> <p>Decision making mechanisms are in place</p>	<p>Some interpersonal conflict</p> <p>Communication system and formal information channels developed</p> <p>Evidence of problem solving and productivity</p>
4 Merging	<p>Merge resources to create or support something new</p> <p>Extract money from existing systems/members</p> <p>Commitment for a long period of time to achieve short and long-term outcomes</p>	<p>Formal structure to support strategies and tasks is apparent</p> <p>Specific and complex strategies and tasks identified</p> <p>Committees and sub-committees formed</p>	<p>Strong, visible leadership</p> <p>Sharing and delegation of roles and responsibilities</p> <p>Leadership capitalizes upon diversity and organizational strengths</p>	<p>High degree of commitment and investment</p> <p>Possibility of interpersonal conflict high</p> <p>Communication is clear, frequent and prioritized</p> <p>High degree of problem solving and productivity</p>
5 Unifying	<p>Unification or acquisition to form a single structure</p> <p>Relinquishment of autonomy to support surviving organization</p>	<p>Highly formal, legally complex</p> <p>Permanent re-organization of strategies and tasks</p>	<p>Central, typically hierarchical leadership</p> <p>Leadership capitalizes upon diversity and organizational strengths</p>	<p>Possibility of interpersonal conflict very high</p> <p>Communication is clear, frequent, prioritized, formal and informal</p>

## Safe School Healthy Students Initiative (SS/HSI)

- Effective school violence prevention, intervention and response can only occur through a community-wide infrastructure
- Departments of Education, Health and Human Services, and Justice, 1999
- Project LINK (CO); Project PASS (VT)
- Collaboration a required/desired outcome and delivery method (vehicle and a destination)

## SS/HSI Evaluation Stakeholder Questions

*How do we determine if partnerships have become increasingly seamless or if new linkages have been formed?*

*How do we describe a “community-wide infrastructure” and how can we measure and/or characterize its development over time?*

*What level or breadth of collaboration is needed to achieve particular outcomes?*

*What is the point at which efforts to increase collaboration are a waste of resources, without increasing desired outcomes?*

Figure 4. Strategic Alliance Formative Assessment Rubric Recording Spreadsheet

CURRENT/BASELINE and PROJECTED/DESIRED LEVELS OF INTEGRATION	School District Drug/Alcohol Prevention Team	School Resource Officer Team	Community Mental Health Agency	City Police Department	Community Resource Center	University Social Work Department	Visiting Nurse Association
Date:							
School District Drug/Alcohol Prevention Team							
School Resource Officer Team							
Community Mental Health Agency							
City Police Department							
Community Resource Center							
University Social Work Department							
Visiting Nurse Association							
AVERAGE CURRENT/BASELINE AND AVERAGE PROJECTED/DESIRED LEVEL OF INTEGRATION BY GROUP/AGENCY							
AVERAGE CURRENT/BASELINE LEVEL OF INTEGRATION ACROSS THE ALLIANCE	AVERAGE PROJECTED/DESIRED LEVEL OF INTEGRATION ACROSS THE ALLIANCE						

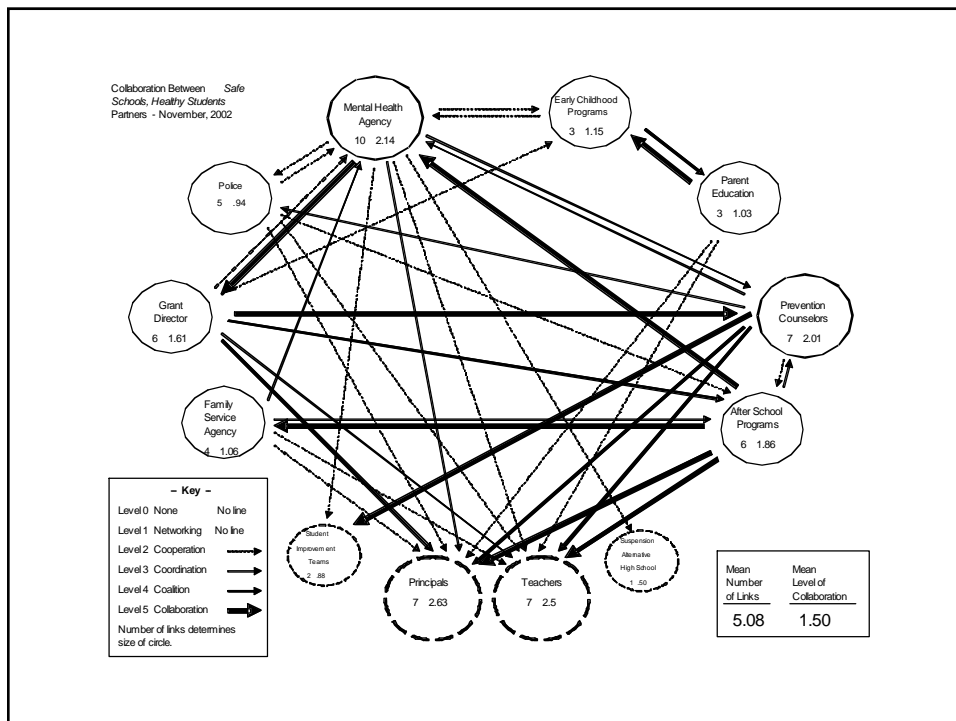
# AEA CDC 2008 Evaluating Organizational Collaboration

## Levels of Collaboration Survey

This form is designed for those who work in one of the organizations or programs that are partners in the *Safe Schools, Healthy Students* initiative. Please review these descriptions of different levels of collaboration.

- On the response section at the bottom of the page, please circle the name of the organization or group with which you are associated.
- Using the scale provided, please indicate the extent to which you currently interact with each other partner. (Skip your own row.)

Five Levels of Collaboration and Their Characteristics						
Relationship Characteristics	Networking 1	Cooperation 2	Coordination 3	Coalition 4	Collaboration 5	
	-Aware of organization -Loosely defined roles -Little communication -All decisions are made independently	-Provide information to each other -Somewhat defined roles -Formal communication -All decisions are made independently	-Share information and resources -Defined roles -Frequent communication -Some shared decision making	-Share ideas -Share resources -Frequent and prioritized communication -All members have a vote in decision making	-Members belong to one system -Frequent communication is characterized by mutual trust -Consensus is reached on all decisions	
<i>Safe Schools, Healthy Students</i> Partners	No Interaction at All	Networking	Cooperation	Coordination	Coalition	Collaboration
Mental Health Agency	0	1	2	3	4	5
Early Childhood Programs	0	1	2	3	4	5
Parent Education Program	0	1	2	3	4	5
School District Prevention Counselors	0	1	2	3	4	5
After School Programs Director	0	1	2	3	4	5
Student Improvement Teams	0	1	2	3	4	5
Principals	0	1	2	3	4	5
Teachers	0	1	2	3	4	5
Police Department	0	1	2	3	4	5



**Assess Inter-Personal  
Collaboration Within a Primary  
Work System**  
  
**CoPCAR**  
  
**Community of Practice Collaboration  
Assessment Rubric**

Gajda, R. & Koliba, C. (2007). Evaluating the imperative of inter-personal collaboration: A school improvement perspective. *American Journal of Evaluation*. (28), 1, 26-44.

COMMUNITY of PRACTICE - COLLABORATION ASSESSMENT RUBRIC				
	Dialogue	Decision-Making	Action	Evaluation
6	Agenda for group dialogue is pre-planned, prioritized, and documented. All group members regularly meet face-to-face. Group dialogue is structured and focused on the examination and analysis of evidence related to practice and performance. Disagreements and controversy exist, are addressed and resolved "now" or as close to now as possible. Group members regularly invoke and reaffirm shared purpose and essential outcomes.	All decisions are informed by group dialogue; process for making decisions is transparent and adhered to; group leaders/facilitators are purposefully selected and visible. Group consistently makes decisions about what individual and collective actions they will initiate, maintain, develop, and/or cease. Decisions are directly related to the central practice and purpose of the group	Each member consistently takes specific action as a result of group decision-making; Member actions are coordinated and interdependent, complex/challenging, and directly related to the central practice and purpose of the group.	Each member systematically collects and analyzes quantitative and/or qualitative information about her/his practice and the effects of her/his practice on essential outcomes; evaluation findings are shared publicly and inform group dialogue and decision-making.
5	Agenda for group dialogue exists. Most group members regularly meet face-to-face; Process for dialogue tends to be improvisational, but the focus is usually related to making meaning of information about practice and performance; Group will occasionally invoke or reaffirm a shared purpose. Professional tension tends to be unrecognized or unresolved. Group will occasionally invoke or reaffirm a shared purpose and essential outcomes.	Decisions are usually informed by group dialogue; decision-making process may be unstructured and/or lack transparency; group leaders exist, but may not be purposefully selected or visible; Group periodically makes decisions about what practices they will initiate, maintain, develop, and/or cease; Decisions are generally related to the central practice and purpose of the group.	Each member takes action but not necessarily as a result of group decision-making; Group actions are somewhat coordinated and interdependent; actions may lack complexity or challenge, but are generally related to a the central practice and purpose of the group.	Most members consider information about the effects of their practice and performance on essential outcomes, but minimal data is systematically collected, analyzed, or publicly shared. Group may rely on "hearsay," "anecdotes," or "recollections" as data to inform dialogue and decision-making.
4				
3				
2	Full attendance at meetings is rare or the group meets face-to-face sporadically. Agenda for group dialogue is not planned, process for dialogue is entirely improvisational. Disagreements do not exist or are unrecognized. Some or most group members are not interested and/or hold disparate conception as to the purpose of the group. Team members may air disagreements privately after the meetings.	A process for making decisions is not transparent or does not exist. Decisions are minimally informed by group dialogue. Group leaders are not purposefully chosen or are not visible. Most decisions are unrelated to the central practice and purpose of the group.	Individuals take minimal action; group actions tend to be uncoordinated or involve very little challenge and/or complexity. Actions are typically unrelated to a shared purpose or essential outcomes.	Group members do not regularly collect or share information about their practice and effects of practice on essential outcomes.
1				

**\*Sterling High School - English Department**

**CoPCAR Raw Data**

CoPCAR Scores: English Department

Rater	Dialogue	Decision-Making	Action	Evaluation
Teacher 1	5	3	5	2
Teacher 2	5	3	4	2
Teacher 3	4	3	3	1
Teacher 4	4	2	3	1
Teacher 5	5	3	5	2
Teacher 6	5	4	5	1
Team Leader	5	4	5	2
<b>Average Ratings</b>	<b>4.7</b>	<b>3.1</b>	<b>4.3</b>	<b>1.6</b>
Principal's Rating	5	3	4	2

**Formatively Assess  
Communities of Practice**

**Individual Community of Practice : Collaboration Assessment Protocol**

Date: \_\_\_\_\_  
CoP Name: \_\_\_\_\_  
Participant s: \_\_\_\_\_

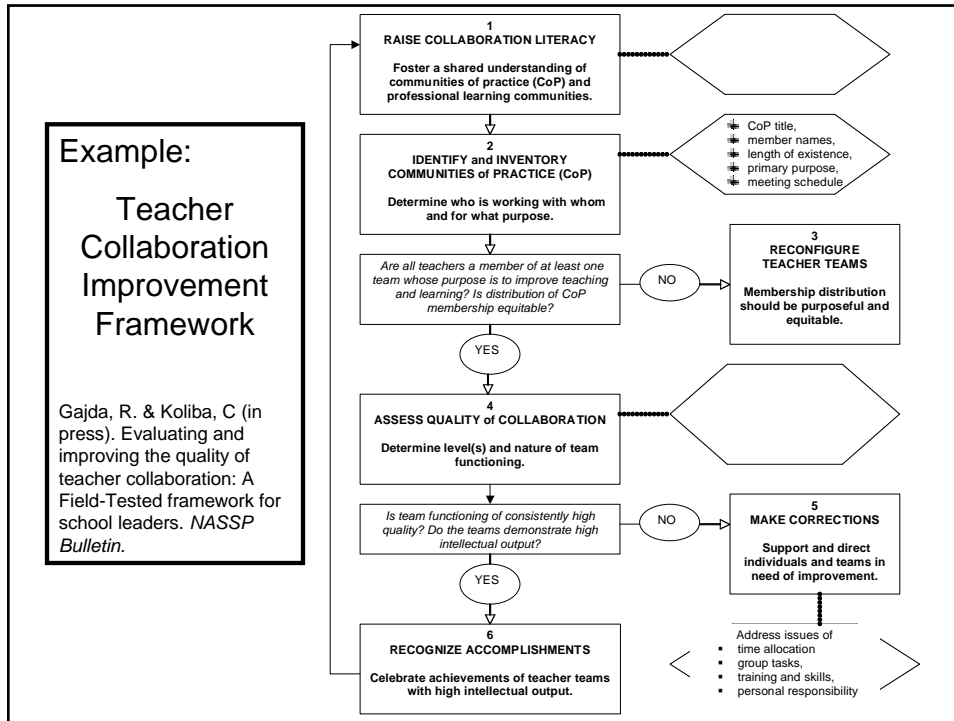
**PART I § COMMUNITY OF PRACTICE -COLLABORATION ASSESSMENT RUBRIC (CoP-CAR)**

Please review the CoP-CAR and assess, on a scale of 1 -6, the degree to which this particular CoP exhibits the characteristics of collaboration .

CoP-CAR Scores	Dialogue	Decision-Making	Action	Evaluation
1)	1 2 3 4 5 6	1 2 3 4 5 6	1 2 3 4 5 6	1 2 3 4 5 6
2)	1 2 3 4 5 6	1 2 3 4 5 6	1 2 3 4 5 6	1 2 3 4 5 6
3)	1 2 3 4 5 6	1 2 3 4 5 6	1 2 3 4 5 6	1 2 3 4 5 6
4)	1 2 3 4 5 6	1 2 3 4 5 6	1 2 3 4 5 6	1 2 3 4 5 6
ContinuedÉ	1 2 3 4 5 6	1 2 3 4 5 6	1 2 3 4 5 6	1 2 3 4 5 6

**PART II § INTERVIEW PROTOCOL**

- Introductory**
- How did your CoP come into being ?
  - What are the common practices that the members of this CoP share?
  - What is the purpose of this CoP?
- Dialogue**
- Describe the content of your typical discussions ; what do you talk about?
  - What is the process of your dialogue? How do you talk with one another?
  - Who decides what to talk about?
  - To what extent and in what ways is data used to inform your dialogue?
  - How formalized are the agendas for each meeting?
- Decision-making**
- Identify a recent decision made during a meeting of this CoP.
  - Who typically makes decisions in this CoP ?
  - To what extent do your decisions relate to your practice and essential CoP outcomes?
  - Who are the CoP leaders and how do they lead?
- Action**
- What actions or activities result from your meetings?
  - To what extent and in what ways are individual actions coordinated and interdependent?
  - To what extent and in what ways are CoP actions complex and challenging?
  - To what extent and in what ways are CoP actions related to your practice and affecting essential CoP outcomes?
- Evaluation**
- What kind of data is being collected to inform the work of this CoP ?
  - How is this data being collected and analyzed?
  - Who is doing the collection and analysis ?
  - To what extent and in what ways is data being used to inform CoP dialogue and decision-making?
- Closing**
- To what extent and in what ways do you celebrate CoP accomplishments?
  - What could be done to strengthen this CoP ?



## Outcomes Associated with Collaboration & Evaluative Inquiry

**Individuals & Teams**

More likely to take risks, ask for assistance, listen, use information to act, develop creative solutions, develop greater sense of personal responsibility for the organization's outcomes, enhance personal self-esteem, build self-efficacy...

**Organization**

Better services for clients, new products, increase in productivity, higher morale - better work climate, less turnover, less waste/sabotage/error, improved financial performance, less redundancy-more efficient, □able to adapt, effective use of limited resources...