

PLAC 5240: Collaborative Planning for Sustainability  
 School of Architecture  
 Dept. of Urban & Environmental Planning

Tuesdays, 3:30 p.m. – 6:00 p.m.  
 PLAC 5240-001 (10143) Fall 2015  
 Room 108, Campbell Hall

**Instructor: Frank Dukes, Ph. D.**

Director, Institute for Environmental Negotiation. Teaching assistant: Leah Brumfield  
 (924-2041; 434-996-6588 for last minute absences; ed7k@virginia.edu)

*Students will develop confidence in their ability to confront challenging issues, to assess the strengths and weaknesses of collaborative change processes, to use best practices for engaging stakeholders and publics, and to design and conduct authentic public meetings, transformative community dialogues, and powerful collaborative change processes.*

Planners, elected officials, leaders of community organizations and public policy professionals find themselves confronted by severe challenges to the very functions of government and to planning and policymaking.

The President’s Commission on Sustainable Development found that conflicts “increasingly are exceeding the capacity of institutions, processes, and mechanisms to resolve them. Adversarial administrative, legal, and political processes ... typically stress points of conflict, dividing communities and neighbors. What is usually missing from the process is a mechanism to enable the many stakeholders to work together to identify common goals, values, and areas of interest through vigorous and open public discussion.”

We are confronted as never before by challenges of justice and equity as enacted in systems such as health, environment, education, public safety, and community development. These issues are exacerbated by the current state of governance including civic disengagement, hyper partisanship, dysfunctional systems of electoral politics, and resultant power imbalances that maintain and exacerbate rather than lessen persistent disparities. Leaders from all sectors – public, private, and nonprofit – need an ability to bring parties together for collaborative change when faced with tough choices and conflicting interests. Knowledge and

*Advice from students from previous classes:*

**What ways did this class challenge you?**

- Taking responsibility for my own learning.
- ... to 'bring my best' each week and fully engage in each class period and discussion. ... to keep up with the readings and actively reflect on our ideas each week, a challenge which I appreciated, as many other professors do not hold us accountable.
- ... to take more control of my learning and take charge of projects that expanded beyond the classroom.
- The class forced one another to work with our group partners in a totally different way.
- I was challenged to lead and facilitate a group of students for our group project and to maintain and project a degree of professionalism in assuming that group work beyond what most university courses would require.
- ... to be interactive and allow others into my personal space.
- ... to express my ideas coherently in the weekly responses.
- This class challenged me to make the effort to seek out the opinions and values of others around me even if it is not the most efficient thing to do.
- ...to critically consider the ways I approach conflict and view decision-making structures. I think I now recognize that conflict is often a necessary catalyst rather than obstruction to initiating meaningful change, and that the possibility of generating such change or reaching consensus should never be ruled out, regardless of the strength of opposition among parties.

skills in collaborative change processes can help these leaders change the course of conflict from acrimony and expensive impasse to civil deliberation that explores new possibilities and addresses multiple needs.

*Advice from students from previous classes:*

**How did you take responsibility for your own learning?**

- I created a weekly plan for completing the remainder of the course readings.
- I have always been internally motivated and feel I handled my responsibility for readings and assignments well by staying on track, working ahead where needed, and holding myself and group members accountable on the project.
- At the graduate level, I think there should be an expectation from students that what they take from classes in large part depends on what they put into it.

"Collaborative Planning for Sustainability" proposes that communities can only be sustained ecologically, socially, and economically with informed, legitimated participation by citizens actively engaged in public life. Public decisions are generally better when developed by processes that are inclusive of diverse views, transparent and inviting to those such decisions affect, and responsive to participant needs. Such processes need to encourage behavior that builds relationships of integrity and trust and decisions that are equitable, creative,

effective and legitimate. People yearn for accessible forums and processes to engage one another productively and safely, to speak of their own concerns, needs and aspirations, and even to learn the real needs of their neighbors. Such caring can engender conflict, which may be harmful, but authentic collaborative change processes provide an opportunity to transform civic disarray into civic virtue.

Areas of focus for this year's course potentially include the following real world projects, in each of which the instructor currently is playing a significant role:

- Land use, housing, and other initiatives in Charlottesville, including addressing the legacy of racial segregation and discrimination that led to the destruction of Vinegar Hill and which continues to cast a shadow over contemporary planning.
- The Appalachian coalfields of Southwest Virginia, including efforts to integrate economic development, environmental protection and enhancement, and health with a focus on the Powell River watershed.
- The Chesapeake Bay watershed, which is undergoing a massive pollution reduction effort that affects state and local governments, agriculture, environmental advocates, fishing communities, and many others.

*Advice from students from previous classes:*

**What learning will stay with you after this class has ended?**

- My ability to effect change in my life.
- ... my ability connect with others, engage them, express my ideas, critique the ideas of others constructively, and to deal with interpersonal conflict...
- The ability to listen and understand someone's else point of view.
- ...how to probe deeper into the issues and assumptions to understand what lies beneath the surface issues.
- ... the idea that any collaboration is not necessarily about the measurable end result but is much more about various forms of social and intellectual capital created in the process that lives on for some time to come

- Climate and culture at the University of Virginia, including issues of race, gender, and community relations.

*Advice from students from previous classes:*

**What advice would you give to prospective students?**

- Take your group covenant seriously and use it.
- Keep up with the readings and remain active in class. Ask questions when you don't understand and push yourself out of your comfort zone. You will get out of the class what you put into it.
- Be prepared to participate fully in class and group discussions and be prepared- the more effort you put in, the more you will benefit from the class.
- Focus on the class projects early and to set realistic goals for what could be accomplished.
- Read as many of your peers reflections and post class afterthoughts as possible.
- Be open minded and don't be afraid to actively engage your peers.
- Be prepared to contribute to class each class. The discussion is the most important part of the course and is where I felt I learned the most.

Based upon student interest, groups will be formed to study these topics and to offer recommendations for developing a collaborative change process to address selective issues. Learning to work effectively in groups and to plan and conduct effective collaborative projects will be important parts of the class.

**How You Will Learn:**

This is a graduate level course that assumes that adult students have primary responsibility for their own learning. We will conduct this class with you as partners in learning. I invite you to consider knowledge a shared resource, and like other common resources one that can be nurtured with common cause or abused when responsibility is disregarded. We will devote in-class time to building shared expectations and norms to meet your own and your classmates' highest aspirations for learning with one another.

This class integrates theory and practice from the first session. The primary learning tools will be readings, class discussions, simulations, and interaction with classmates and other invited guests. Your primary requirements to take advantage of these opportunities are attention, initiative, risk and hard work! You can expect<sup>1</sup>:

**Lots of:**

Applying knowledge  
 Problem solving  
 Dialogue  
 Facilitating  
 Critical thinking  
 Simulation  
 Teams  
 Hands on Individualized learning  
 Self-directed learning

**Very little:**

Regurgitating facts  
 Rote learning  
 Lecture  
 Telling  
 Memorizing  
 Observation  
 Sole practitioners  
 Passive listening  
 One-size-fits-all  
 Top-down learning

<sup>1</sup> \*adapted from Maura Singleton, [http://uvamagazine.org/features/article/adjusting\\_the\\_prescription/](http://uvamagazine.org/features/article/adjusting_the_prescription/)

## Learning Outcomes

Upon successful completion of this course, students will be able to:

- Describe the problems with common public engagement and decision processes;
- Conduct formal and informal situation assessments to understand the sources, dynamics and potential outcomes of group conflict;
- Determine whether or not a situation is suitable for a collaborative change process;
- Describe the key components of collaborative change process design;
- Design, conduct and evaluate authentic public meetings;
- Design, conduct and evaluate transformative community dialogues;
- Design, conduct and evaluate powerful collaborative change processes;
- Describe what constitutes success in each of these processes.

**Special note about learning and e-devices:** Use of electronic devices in Planning classes has become an increasing distraction. Therefore the Department of Urban and Environmental Planning is instituting a new policy beginning this fall (2015). The use of electronic devices including laptops, tablets, and cell phones will not be permitted in Planning classes. Instructors may permit their use when they are needed for class exercises or in-class work. Otherwise, such devices should not be in use during class time. Recording devices are exempt from this policy. At the end of the 2015-2016 academic year the Department will review how these policy has been working and make whatever adjustments seem appropriate.

## Texts

Judith E Innes, David E Booher. *Planning with Complexity: An Introduction to Collaborative Rationality for Public Policy*. 2010.

Forester, John. *Planning in the Face of Conflict: The Surprising Possibilities of Facilitative Leadership*. 2013.

Dukes et al., *Community-Based Collaboration: Bridging Socio-Ecological Research and Practice*. University of Virginia Press, 2011.

Two texts will require only partial use and will be provided without charge in class:

E. F. Dukes and K. Firehock. *Collaboration: A Guide for Environmental Advocates*. 2001.

E. F. Dukes, M. Piscalish, J. Stephens. *Reaching for ~~Common~~ Higher Ground: Creating Purpose-driven, Principled & Powerful Groups*. 2009.

Selected articles, case studies and exercises will be provided.

Class size maximum: 20 students.

## GRADED ASSIGNMENTS:

- Ongoing shared journal and final synthesis essay. (30%).
- Active class participation (30%).
- A group report and presentation concerning recommendations for a collaborative change process that addresses a complex issue involving multiple stakeholders and publics (40%).

**GRADING:**

An A is offered for outstanding work; a B is given for work which is truly satisfactory; a C is unacceptable for graduate participants.

Grading will be based on:

*30%: 8 short bi-weekly journal reflections and a final synthesis reflection.*

For 8 of the first classes beginning with class two, you will keep a journal of your responses to the readings and class experiences. Your journal is a place to try out and explore ideas concerning course readings, class exercises, and discussions, without worrying about being graded. It is a place to experiment and to ask yourself, "How accurately can I explain or describe my/this idea?" The point of the journal is to develop a regular, habitual practice of figuring out what you think of the course materials and your participation in class. As you add to your journal consistently and regularly, you'll find that your thinking and your ability to make connections will deepen.

It is essential that you keep this journal on a consistent basis. While the content will not be graded, your completion of these writings on time constitutes 20% of your grade. You are allowed one late entry, after which each late assignment counts .5% deducted from your final grade.

The journal reflections and syntheses will have three parts:

**1) Pre-class Reading Reaction:** Beginning just prior to class two, each student will submit a pre-class reflection. By **5 p.m. on Mondays** before class, reflect on each assigned reading and explore a question that interests you. See if you can make connections between the readings and your interests, thinking about how they best fit together, and identifying where the discrepancies are. Do some of the materials disturb you? Why? Which readings resonate most with you? Why? Exploring some of these paths will allow you to take an analytically critical approach to the readings. You should be able to do this with 600-900 words that will be posted for all to see on a class blog.

**2) Afterthoughts:** Starting after the second class, and by **5 p.m. on Thursdays** after class, reflect back on the readings and class discussions and activities and describe what you take away. What seems important: quotes, images, ideas? Have you changed your thinking at all on the basis of the class? Have you understood some of the readings in a different light? Are there ideas that were generated in class that you will want to think about more fully? This could be somewhat less long (500-700 words) and will be posted for all to see on your class blog.

**3) Final synthesis reflection:** You will also have **one summary reflection**, worth 10% of your final grade. Look back at your pre- and post-class reflections, by noon on **December 8** identify major ideas, themes, and threads related to collaborative planning, including readings and class exercises and discussions, and analyze how they have developed over the course of this semester. What is their significance for you? What have you learned about collaborative planning? What have you learned about working in groups? What have you learned about yourself? How do your insights connect to your life, your personal values and convictions? What challenges do you find now either concerning collaborative planning, your work or your beliefs? How will you address those

challenges in the future? For this reflection I expect you to reflect explicitly on each of the main texts (Forester, Innes & Booher, and Dukes/Firehock/Birkhoff) as well as your in-class and group experiences.

This final essay will be graded as follows:

- 0 - F** Did not complete assignment, or no apparent effort or thought.
- 6 - C** Completed assignment. Demonstrates adequate preparation: knows basic facts, but does not show evidence of trying to interpret or analyze them.
- 8 - B** Satisfactory effort. Demonstrates good preparation: knows case or reading facts well, has thought through implications of them.  
Offers interpretations and analysis of case material (more than just facts) to class.
- 10 - A+** Demonstrates excellent preparation: has analyzed material exceptionally well, relating it to other readings or material (e.g., course handouts, discussions, experiences, etc.).  
Offers analysis, synthesis, and evaluation of readings and case material, e.g., puts together pieces of the discussion to develop new approaches that take the class further.

I do give weight to organization, writing style, and mechanics, as well as demonstrated understanding and presentation of issues.

*30%: Class attendance and active participation.*

Attendance and participation in class is very important. Please show up on time, but if you are late don't let that stop you from participating once you arrive! And **please let me know in advance if you will miss a class**. Due to the experiential learning for this class, assignments are sometimes changed on a weekly basis, and you will need to make appropriate arrangements.

Beginning with class #2, participation is rated for each class on a scale from 0 (lowest) through 10 (highest), using the criteria below. While your participation is important for any class you take, this class by its experiential nature requires considerable involvement, including interaction with your classmates.

We each learn from what you offer to the class. **I encourage you to strive for a "10" for your own and others' benefit.**

Participation is graded on this basis:

- 0 - F** Absent or without contribution.
- 6 - C** Offers straightforward information (e.g., straight from the case or reading), without elaboration or very infrequently (perhaps once a class). Does not offer to contribute to discussion, but contributes to a moderate degree when called on.  
Demonstrates sporadic involvement.
- 8 - B** Contributes well to discussion in an ongoing way: responds to other students' points, thinks through own points, questions others in a constructive way, offers and supports suggestions that may be counter to the majority opinion.  
Demonstrates consistent ongoing involvement.
- 10 - A+** Contributes in a very significant way to ongoing discussion: keeps analysis focused, responds very thoughtfully to other students' comments, contributes to the cooperative argument-building, suggests alternative ways of approaching material and helps class analyze which

approaches are appropriate, etc.

Demonstrates ongoing and very active involvement.

#### *40%: Group Analysis and Recommendations.*

Class members will select a complex issue involving multiple stakeholders and publics to work on in small groups. Each group will report an assessment of their issue and recommendations for options for a collaborative change process. Each group will present its work in class on either Nov. 24 or December 1.

The first part of your group project, the project proposal, is due Sept. 20 at 5 p.m. See the class collab site for an example of a project that was done very well.

- 1) *Identify your specific goals and objectives for the project* (what you want to learn, what impact you want to have). Based on what you know now and understanding that your knowledge will increase considerably, what learning goals do you have that may be addressed by your choice of this project?
- 2) *Develop a covenant* for how you will work with one another in your project group, beginning first individually with the worksheet format handed out in class (start with "at our worst" based on previous class projects; then "at our best" based upon how you want your group to be; then continue keeping your group in mind);
- 3) *Identify information and/or other resources* that you know you will need to conduct the project;
- 4) *Develop criteria by which you will evaluate your success* upon completion of the project. These criteria should incorporate 1 and 2 above.

The written project report is due at the class presentation on Nov. 24 or December 1 and will include the following:

- 1) *An assessment of your project group covenant* - stating how you worked together with one another on this project, including ways in which you held one another accountable for that agreement (based upon #2 above)
- 2) *a situation assessment* that identifies key issues, stakeholders, and processes related to your chosen project;
- 3) *a purpose statement* with specific goals and objectives that your proposed process is designed to address;
- 4) *a set of options and recommendations* with appropriate justification for an authentic collaborative change process or processes that will accomplish that purpose and goals;
- 5) *an evaluation protocol* that would assess whether and how those goals and objectives were accomplished.

Here are the criteria that I will use to grade your class project:

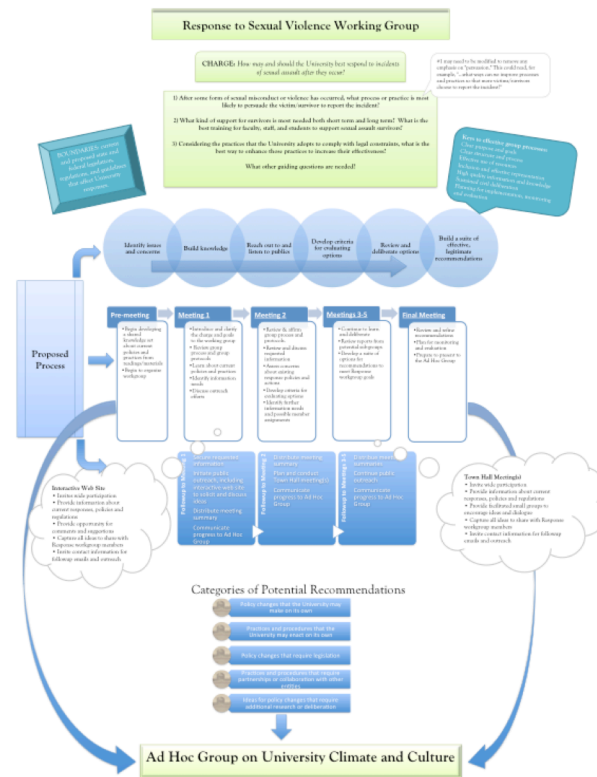
\* Demonstration of knowledge: are you familiar with the subject matter? is your knowledge helpful for your target audience(s)? did you do sufficient research that is particular enough for specific recommendations and broad enough in scope to demonstrate the big picture? (25 points)

\* Completing project objectives: did you learn what you indicated that you wanted to learn? Did what you learn help others in the class learn as well? Does this work potentially have the impact on the public good that you were striving to have? (6 points)

\* Quality of discussion during and after your presentation: Do you ask evocative questions or make assertions that make people reflect? Do you leave sufficient time for questions and discussion? Can you respond appropriately to questions? (3 points)

\* Presentation style: is your presentation coordinated? does each group member know what is expected? do all group members contribute? does it keep your audience's interest? (3 points)

\* Contribution as an individual to the group project: (3 points) NOTE: I will ask each group member confidentially to evaluate on a scale of 0 to 3 the contribution of other group members to the project in terms of work and of quality of work and will incorporate that into my own observations of individual contributions.



**Course Topics and Anticipated Reading Assignments**

Each class will typically integrate theory, empirical and experiential understanding (including case studies), and skill building. The course will combine concurrent examination of macro-level issues of democratic governance and mid- and micro-level strategic thinking and practice. General topics follow, although please note that these will not necessarily be followed in this sequence in class, given the topical nature of much of what we will be studying:

**Macro-level:**



### Challenges of democratic governance

What sustains democratic practice? 'Public good' is viewed as an oxymoron by a substantial portion of the population. Political alienation and community polarization seem to defy good governance. Good democratic processes, including community engagement, consensus building, and collaboration, are increasingly marginalized or even considered part of the problem. What role do collaborative processes play in building strong democracy?

- Dukes, Ch. 7. In Dukes et al., *Community-Based Collaboration: Bridging Socio-Ecological Research and Practice*. University of Virginia Press, 2011.
- Arnstein, Sherry R. "A Ladder of Citizen Participation," *Journal of the American Planning Association*, Vol. 35, No. 4, July 1969, pp. 216-224.

Optional:

- Dukes, E. Franklin. "Public Conflict Resolution: a Transformative Approach." *Negotiation Journal* 9(1): 45-57. 1993.
- Lukensmayer, Carolyn and S. Brigham. "Taking democracy to scale: large scale interventions—for citizens." *The Journal Of Applied Behavioral Science* 41(1): 47-60. 2005.
- Bourne, Greg. "Democracy and Civic Engagement: To What Extent Do Consensus-Building Processes Improve Democratic Participation and Decision Making?" In *Critical Issues Papers*, ed. S. Senecah. Washington, D.C., Association for Conflict Resolution: 70-85. 2002.

### Why Collaboration?

How did the collaboration movement emerge? Who uses collaboration and for what types of issues? What types of collaborative processes exist? How wide is collaboration's use? What is its impact?

- Innes, J. E. and Booher, D. A. "Reframing Public Participation: Strategies for the 21st Century."
- Forester, John. *Planning in The Face of Conflict*, Introduction and Chapter One, "Mediation and Collaboration in Architecture and Community Planning."
- Elliot, M. and Bourne, G. *Evaluating the U. S. Environmental Protection Agency's Brownfields Facilitation Pilot Projects*. Report prepared for the U. S. Environmental Protection Agency. 2005.
- Innes, J. E. and Booher, D. A. *Planning with Complexity* Chapter One and Two.
- Firehock, Ch. 1. In Dukes et al., *Community-Based Collaboration: Bridging Socio-Ecological Research and Practice*. University of Virginia Press, 2011.
- Dukes, *Guide*: pp. 1-8.

### Critiques and Challenges of Collaboration

What concerns exist about collaborative processes? Who makes those claims, based upon what forms of knowledge (research, experience, "gray" literature)? How can one determine the validity of claims pro and con?

- McCloskey, J. Michael. "The skeptic: collaboration has its limits." *High Country News*. 28 (9), p. 13. 1996.
- DeWeese, "How to Fight Back Against Sustainable Development."
- Dukes, *Guide*: pp. 9-12.
- Duany interview, "Control the Masses."

- Innes, J. "Consensus building: clarification for the critics." *Planning Theory* 3(1): 5-20. 2004.
- Optional:
- Golten, Mary Margaret, M. Smith, and P. Woodrow. "Hammers in Search of Nails: Responding to Critics of Collaborative Processes." In *Critical Issues Papers*, ed. S. Senecah. Washington, D.C., Association for Conflict Resolution: 36-47. 2002.
  - Kenney, Douglas S. *Arguing About Consensus: Examining the Case against Western Watershed Initiatives and Other Collaborative Groups in Natural Resource Management*. Boulder: Natural Resources Law Center at the University of Colorado School of Law. 2000.
  - Amy, Douglas. *The Politics of Environmental Mediation*. New York: Columbia University Press. 1987.
  - Coglianesi, Gary. "The limits of consensus." *Environment*. 41 (3), 28-33. 1999.
  - Coggins, George Cameron. "Of Californicators, Quislings, and Crazies: Some Perils of Devolved Collaboration." *Chronicle of Community*. 2 (2). 1998.
  - Peterson, M. Nils, Markus J. Peterson, and Tarla Rai Peterson. "Conservation and the Myth of Consensus." *Conservation Ecology*, 19 (3), June 2005.

### **Building the Collaborative Community/Collaborative Governance**

Can and should collaboration be made a first choice for a community when problems arise? Is collaborative governance possible? Is collaborative democracy real? What is the future of collaboration?

- Innes, J. E. and Booher, D. A. *Planning with Complexity* Chapter Eight.
- Dukes, E. Franklin. "Why Conflict Transformation Matters: Three Cases." *Peace and Change* 6 (1). 1999.

Optional:

- Bernard, Ted and Young, J. *The Ecology of Hope: Communities Collaborate for Sustainability*. Gabriola Island, B.C., New Society Publishers. 1997.
- Carlson, Chris and J. Stephens. "Governance and Institutionalization: Sustaining Consensus-Based Processes for Improved Stakeholder Collaboration on Public Issues." In *Critical Issues Papers*, ed. S. Senecah. Washington, D.C., Association for Conflict Resolution: 86-98. 2002.

### **Mid- and Micro-Level Collaborative Change:**

#### **Five Processes for Authentic Collaboration**

- *Designing and Conducting a Situation Assessment*
- *Designing and Conducting Authentic Public Meetings*
- *Designing and Conducting Transformative Community Dialogues*
- *Designing and Conducting Powerful Consensus Building Processes*
- *Designing and Conducting an Effective Evaluation*
- Forester, *Planning in The Face of Conflict*, Chapters 3-6.

### **Working Effectively in Groups**

There will be four elements that you will learn for this theme:

- *Building norms and expectations and groundrules for effective groups*
- *Characteristics of effective group process*
- *Facilitation and recording of groups*

- Evaluating group work
- Dukes, E. F. “The Basics of Effective Group Process.” Handout.
- E. F. Dukes, M. Pischolish, J. Stephens. *Reaching for Common Higher Ground: Creating Purpose-driven, Principled & Powerful Groups*. [free loaner copies available for the duration of the class]

### When is a collaborative approach appropriate? When not?

How can one decide when collaboration is appropriate? Are there circumstances in which collaboration would not be appropriate? Are there issues that are non-negotiable? Are there individuals or organizations with whom one would not negotiate?

- Dukes, Guide: pp. 13-21.
- Dukes, E. Franklin. “Why - and Why Not - Dialogue?” In *The Dialogue Forum Reflections*, G. Sigurdson. Ed. Vancouver, Morris J. Wosk Centre for Dialogue, Simon Fraser University. 2005.
- Innes, J. E. and Booher, D. A. *Planning with Complexity* Chapter Five.

### Designing and Conducting a Situation Assessment

How can one understand the dynamics of a challenging issue? How can one encourage participants to examine the appropriateness of various public processes for their desired outcomes? How may one best approach, conduct, and use an assessment?

- Bean, Martha; Fisher, Larry; Eng, Mike. “Assessment in Environmental and Public Policy Conflict Resolution: Emerging Theory, Patterns of Practice, and a Conceptual Framework.” *Conflict Resolution Quarterly*, vol. 24, no. 4, Summer 2007.
- Peter Adler and Douglas Thompson: “Situation Assessment: Mountaintop Mining/Valley Fill Issues in the Little Coal River Watershed, West Virginia.”
- Dukes, E. F. “Sample Situation Assessment Protocol.”
- Situation Assessment Graphic.

### Determining and Evaluating Success

How do collaborative groups monitor and evaluate their work? Who is responsible for implementation? Who determines what is success? How is success evaluated?

- *Guide*: pp. 52-55.
- Innes, Judith. “Evaluating Consensus Building.” In *The Consensus Building Handbook: A Comprehensive Guide to Reaching Agreement*, eds. L. Susskind, S. McKernan and J. Thomas-Larmer. Thousand Oaks, Sage. 1999.

Optional:

- Birkhoff, Juliana. “Evaluation and Research.” In *Critical Issues Papers*, Series Editors Dukes, E. Franklin; Romero, Rosemary; and Taylor, Thomas. Washington, DC: Association for Conflict Resolution. 2002.

### Designing a Principled and Effective Process

What type of process is appropriate for which types of purposes? What should be done to ensure success? What protocols can be determined by participants themselves, and which by sponsors? How can you determine who needs to be involved, and in what ways?

- Innes, J. E. and Booher, D. A. *Planning* Chapter Six.

- *Guide*: pp. 22-28.
- Dukes, E. Franklin. "From Enemies, to Higher Ground, to Allies: the Unlikely Partnership Between the Tobacco Farm and Public Health Communities." In *Participatory Governance: Planning, Conflict Mediation and Public Decision-Making in Civil Society*. W. R. Lovan, M. Murray and R. Shaffer. London, Ashgate Press. 2004.
- Society of Professionals in Dispute Resolution [now Association for Conflict Resolution]. *Best Practices for Government Agencies: Guidelines for Using Collaborative Agreement-Seeking Processes*. Washington, D.C., Association for Conflict Resolution [formerly Society of Professionals in Dispute Resolution]. 1997.
- Dukes, E. Franklin. "Mt. Rogers Trails Dispute." In *For the Common Good: Case Studies in Consensus-Building and the Resolution of Natural Resource Controversies*, eds. P. Adler and K. Lowry. Forthcoming.

*Optional:*

- Elliott, M. "When the Parents Be Cancer-Free: Community Voice, Toxics, and Environmental Justice in Chattanooga, Tennessee." In *Making Sense of Intractable Environmental Conflicts*, eds. R. J. Lewicki, B. Gray and M. Elliott. Washington, D.C., Island Press. 2003.
- Beierle, Thomas C. and Cayford, Jerry. *Democracy in Practice: Public Participation in Environmental Decisions*. Washington, DC: Resources for the Future. 2003.
- Susskind, Lawrence, S. McKernan, et al., Eds. *The Consensus Building Handbook: A Comprehensive Guide to Reaching Agreement*. Thousand Oaks, Sage. 1999.

### Best Practices During a Collaborative Change Process

What role does a third-party facilitator or mediator play? What constitutes agreement? Is consensus required? How do issues get raised and addressed? How can conflictual relationships be transformed? What role do the news media play?

- *Guide*: pp. 29-42.
- Innes, J. E. and Booher, D. A. *Planning with Complexity* Chapter Seven.
- Saunders, Hal and R. Slim. "Dialogue to Change Conflictual Relationships." *Higher Education Exchange*. 43-56. 1994.
- McDermott et al. in Dukes et al., "Effective Collaboration: Overcoming External Obstacles."
- Arlington Forum. "Civic Engagement: A Guide for Communities."

*Optional:*

- Daniels, S. E. and G. B. Walker. *Working Through Environmental Conflict: the Collaborative Learning Approach*. Westport, CT, Praeger: 2001.
- Leach, William and Paul Sabatier. "Facilitators, Coordinators, and Outcomes." In *The Promise and Performance of Environmental Conflict Resolution*, eds. R. O'Leary and L. B. Bingham. Washington, D.C., Resources for the Future: 148-171. 2003.
- Wondolleck, Julia M. and S. L. Yaffee. *Making Collaboration Work: Lessons from Innovation in Natural Resource Management*. Washington, D.C.: Island Press. 2000.

### Instructor Biography:

As Director (until Sept. 1) and Distinguished Institute Fellow of the Institute for Environmental Negotiation (IEN) at the University of Virginia, Dr. Dukes designs dispute resolution and public participation processes, mediates and facilitates, teaches and trains in the areas of public involvement, mediation, negotiation, and consensus building, and conducts research. He has worked at local, state, and

federal levels on projects involving environment and land use, community development, education, health, and racial and ethnic diversity. He also has helped initiate and is faculty for the Virginia Natural Resources Leadership Institute, a year-long program that brings together representatives from industry, non-governmental organizations, public agencies, and communities to develop collaborative leadership around environmental issues. He is currently working on issues of environment and development in Virginia's coalfields and the Chesapeake Bay. He also leads an initiative titled "University and Community Action for Racial Equity" to understand and directly confront the legacy of harm of slavery and segregation involving the University of Virginia and surrounding communities. He also chairs the Response to Sexual Violence working group convened by UVa's President Sullivan.

As part of IEN's "Collaborative Stewardship Initiative," he initiated the "Community-Based Collaboratives Research Consortium" seeking to assess and understand local collaborative efforts involving natural resources and community development, and the "Best Practices Guidance Project." These efforts resulted in the publication of *Collaboration: A Guide for Environmental Advocates* in partnership with The Wilderness Society and the Audubon Society in July of 2001, and *Community-Based Collaboration: Bridging Socio-Ecological Research and Practice* in 2011.

His book *Resolving Public Conflict: Transforming Community and Governance* (Manchester University Press and St. Martin's Press, 1996) describes how public conflict resolution procedures can assist in vitalizing democracy, by engaging citizens productively in civic and community affairs, by aiding public entities in developing a responsive governance, and by enhancing society's capacity to solve difficult public problems. With two colleagues he is co-author of *Reaching for Common Higher Ground: Creating Purpose-driven, Principled & Powerful Groups* (Jossey-Bass, 2000), which describes how diverse groups and communities can create expectations for addressing conflict with integrity, vision, and creativity. In 2014, he co-authored with Susan the book *Mountaintop Mining in Appalachia: Understanding Stakeholders and Change in Environmental Conflict* (Ohio University Press).

He received a B.A. from the University of Virginia and an M.S. and Ph.D. in Conflict Analysis and Resolution from George Mason University. He was previously operator of a piano restoration business for over 10 years in Albemarle County. He is a founding member and past chair of the Community Mediation Center of Charlottesville-Albemarle. He also serves as advisor to and trainer for University Mediation Services.

#### **Office Hours:**

My office is at the Institute for Environmental Negotiation, 2015 Ivy Road. Because of the nature of my work regular hours are not possible; however, students are invited and urged to "drop in" for discussion (you may wish to call ahead to make sure that I am there), or you may set an appointment for my office any time or at the School of Architecture after class.

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#### **Honor Policy:**

I trust every student in this course to comply fully with all of the provisions of the UVa Honor System. By enrolling in this course, you have agreed to abide by and uphold the Honor System of the University of Virginia, as well as the following policies specific to this course:

You are expected to share notes or study outlines and to collaborate with other students. What is most important when receiving assistance on an assignment – that is, when any of your writing is not entirely

original - is to acknowledge fully other sources of ideas, whether a written resource or individuals you consult to complete an assignment. Check this link for a thorough explanation of what is appropriate use of resources and what is plagiarism: <http://www.virginia.edu/honor/wp-content/uploads/2012/09/PlagiarismSupplement2011.pdf>

All suspected violations will be forwarded to the Honor Committee and at my discretion, you may receive an immediate zero on that assignment regardless of any action taken by the Honor Committee.

If you believe you may have committed an Honor Offense, you may wish to file a Conscientious Retraction (“CR”) by calling the Honor Offices at (434) 924-7602. A Conscientious Retraction (the “CR”) allows students who have committed a potential Honor Offense to come forward before they have reason to believe that the Offense in question has come under suspicion by anyone. This policy has just been supplemented with an Informed Retraction, which allows a student who has been reported to the Honor Committee for an alleged Act of Lying, Cheating, or Stealing to take responsibility for the commission of the Honor Offense in question, and also to make amends for such Honor Offense, both by admitting such Offense to all affected parties and by taking a full two-semester Honor Leave of Absence from the University community.

More information can be found at [www.virginia.edu/honor](http://www.virginia.edu/honor). Your School of Architecture Honor representatives are Anna McMillen ([ahm8xs@virginia.edu](mailto:ahm8xs@virginia.edu)) and Brett Rappaport ([bhr6dz@virginia.edu](mailto:bhr6dz@virginia.edu)).

Please let me know if you have any questions regarding the course honor policy.

Student Information

Your name: \_\_\_\_\_

Home town: \_\_\_\_\_

Phone: \_\_\_\_\_

E-mail: \_\_\_\_\_

Year: \_\_\_\_\_

Major or Graduate Program: \_\_\_\_\_

Career Interests

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Other Interests (sports, music, drama, etc.):

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Anything else I should know about you?

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Evaluations from students from a previous class:

- *Collaborative Planning for Sustainability has been the best course I have taken while at UVa.*
- *It has been one of the most--if not the most--valuable class I have taken at UVa.*
- *I think it should be required for all planning students, as it is such a critical issue for planners, but something that isn't often addressed in our planning courses.*
- *This was by far the best group I've worked with in graduate school. ... it gives me the hope that the seemingly impossible can be achieved.*
- *Really great course to round out the pursuit of my MUEP. Was a capstone in a way.*
- *This course was great. I enjoyed hearing about the professor's experiences outside the classroom which demonstrated how to practice what you learn and what works vs. what doesn't work in real life... Guest speakers were effective and interesting. ... Thank you for a great semester!*
- *Collaborative planning is the most useful class I have taken at UVa. This course succeeded in both bringing together themes from all of my other planning courses, AND giving me new tools that will be useful in my career after graduate school. Having this course and experience on my resume also got me two job interviews this semester -- the people that I interviewed with told me that they were specifically interested in the skills I had gained from this class.*
- *I cannot recommend this class highly enough, and I think that the department should consider making one of the collaborative planning or negotiation classes required for grad students... These courses are unique in that they train us in HOW to work in the complex environment of urban planning. They are a beautiful complement to the more theoretical classes.*
- *Best course I have taken while at UVa. Subject matter was very interesting and applicable to our careers as planners. The professor was very engaging, best professor I have had.*