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THESIS

**THE IMPACT OF INCENTIVES AND REQUIREMENTS
ON GROUP COLLABORATION**

by

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September 2010

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**THE IMPACT OF INCENTIVES AND REQUIREMENTS ON GROUP
COLLABORATION**

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Submitted in partial fulfillment of the
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ABSTRACT

In the aftermath of catastrophic incidents that have stressed emergency response capabilities there is a growing national awareness that risks and threats exist that are complex, wide reaching, and will require a response effort that crosses jurisdictional boundaries. Response to these incidents will require a coordinated regional response effort that did not exist in many areas prior to 9/11. In an effort to build a regional response capability, as well as the collaborative regional infrastructure to support it, DHS has committed grant funding to the emergency response community. Regional collaboration is a condition of receipt of these funds. Because collaboration has been required, it is difficult to know whether cooperation is the result of that requirement or whether it is the result of a cultural norm that values collaboration. It is also unclear whether groups that were created due to federal requirements are meeting to collaborate or meeting to fulfill requirements. The purpose of this thesis is to further the national dialogue about regional collaboration and its dependence on federal grants, as well as gauge the success of groups created due to grant requirements.

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LIST OF ACRONYMS AND ABBREVIATIONS

DHS	Department of Homeland Security
FEMA	Federal Emergency Management Agency
GAO	Government Accountability Office
HSGP	Homeland Security Grant Program
MMRS	Metropolitan Medical Response System
UASI	Urban Area Security Initiative (a component of the Homeland Security Grant Program)

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I. INTRODUCTION

A. PROBLEM STATEMENT

The Department of Homeland Security considers collaboration between regional partners critical to achieving preparedness for catastrophic incidents. This assertion is made in multiple national directives and federal policy documents (ODP Guidelines for Homeland Security Prevention and Deterrence; National Response Plan, The 2005 Homeland Security Grant Program (HSGP) guidance encourages all urban areas to develop coordinated and collaborative planning initiatives and to integrate all homeland security activities (Department of Homeland Security [DHS], 2004). The 2006 HSGP guidance encourages participants to ensure that all mission areas are coordinated across multiple disciplines, jurisdictions, and levels of government (DHS, 2005). The National Preparedness Guidelines state that collaboration is a critical element to insuring a sound framework for prevention (DHS, 2007). This theme is carried through subsequent policy documents and has been recognized as being so critical that “expanding regional collaboration” is identified as a national priority (DHS, 2007).

1. Cultural Shift

In the aftermath of 9/11 and the devastation of Hurricane Katrina there is a growing national awareness that large scale incidents, such as these, are complex, wide reaching, and require response across jurisdictional boundaries. As outlined in the National Response Plan, DHS has recognized that an effective response to these types of catastrophic incidents will require a regional response capability. Gerber and Robinson (2009) define this as “capacity and capability for coordinated response efforts across broad geographic areas and across political jurisdictions by multiple government actors” (p. 346).

In order to assist local and state governments enhance their capability to prevent and/or prepare for the impacts of catastrophic events (man-made or natural), DHS has provided grant funding to the emergency response community. A condition for receipt of

the grants is that regional partners work collaboratively to set priorities for the funding. This has necessitated the establishment of countless working groups and planning teams whose existence can be tied directly to the grant requirements. These partnerships were not built on a commitment to the collaborative process but rather as fulfillment of a grant requirement. Those grant requirements are very prescriptive. The 2009 grant guidance requires that the state ensure that urban areas take an “inclusive regional approach to the development and implementation” of the grant program (DHS, 2008, p. 13). DHS has strongly encouraged, and in some cases required, responders to work collaboratively to achieve preparedness goals. This includes response organizations who may have limited experience with cross-organizational collaboration. In many cases, these groups have an on-going history of competition for resources. Addressing preparedness by response discipline (fire, law enforcement, health, and emergency management), rather than at an enterprise-wide level, creates stovepipes and duplication of effort, and hinders the effectiveness of an organization’s preparedness efforts (DHS, 2003). DHS has stated its belief that a consequence of collaboration, information sharing, and coordinated activities—“inherent in adopting and executing a Risk Management Model” (DHS, 2003 p. 4)—will be a cultural shift in the emergency-response community.

In response to the DHS push for collaboration, states have divided into homeland security regions and established urban area working groups to promote collaborative relationships across county and sometimes state boundaries. For example, in 2002 Washington state divided its 39 counties into nine homeland security regions. The regions address preparedness issues as a region, rather than as individual counties. In some cases, this has changed the way the county’s response disciplines interact. In support of the regional concept, the state created a working group of state and local stakeholders, from multiple agencies and response disciplines, to write a statewide strategic plan, and to conduct a statewide gap analysis.

The federal grant guidance requirement to collaborate can be tied directly to DHS’s intention to facilitate a cultural shift. By encouraging these groups to cooperatively set priorities for grant funding, its hope was that collaborative relationships would be built. Eventually the cultural shift would occur, resulting in recognition of the

value of, and a dependence on the collaborative process. The final outcome would be the institutionalization and sustainment of the collaborative process. Because collaboration has been required in order to receive grant funds, it is difficult to know whether current cooperation is the result of that requirement, or whether it is the result of an interorganizational commitment to collaboration.

2. Impact of Diminishing Grant Funds on Collaboration

As grant funds diminish—or go away entirely—financial incentives will be reduced, and competition for declining dollars will increase, potentially impacting HSGP grant dollars decreased by almost \$3.5 million from the 2008 allocation (DHS, 2008). Some of Washington state’s regional leaders have expressed concern about how this decrease will impact their ability to continue to participate in the regional process.

DHS has stated that achieving our national preparedness objectives is dependent on regional collaboration. However, because collaboration has been required, it is difficult to know whether cooperation is the result of that requirement or whether it is the result of a cultural norm that values collaboration. It is also unclear whether groups that were created due to federal requirements are meeting to collaborate or meeting to fulfill requirements. As O’Brien states, “The fact that people are meeting together does not necessarily indicate that collaboration is occurring” (2006, p. 28). Because of this uncertainty, it is unclear whether true collaborative relationships have developed. If not, it is also unclear what will happen if the incentives and requirements are removed.

B. PRIOR RESEARCH

In social science literature and organizational theory a great deal has been written about interorganizational collaboration. Due to the volume of material on the subject, research for this thesis has been limited to literature on collaboration as it applies to public administration. For the purpose of this research, the literature has been organized into three sections: a discussion of collaborative theory and definitions; policy documents from the Department of Homeland Security, and the Government Accountability Office

that tie regional collaboration to the nation's catastrophic-event preparedness; and factors that have been identified as enablers to collaboration and barriers to achieving successful collaboration.

C. SIGNIFICANCE OF RESEARCH

The purpose of this study is to further the national dialogue about regional collaboration and its dependence on federal grants. The audience for this discussion will be emergency responders tasked with insuring that the nation is prepared to respond to catastrophic events. The conclusions of this research will be an indication to federal, state, and local homeland security practitioners of the sustainability of collaborative groups formed through federal grant requirements.

D. RESEARCH QUESTIONS

1. Do partnerships in regional collaboration created through grant requirements see value in the collaborative process separate from the grant requirements?
2. Do organizations recognize the long-term benefit to cross-organizational relationships?
3. How do organizations demonstrate that they are committed to institutionalizing regional collaboration?
4. Will the collaborative relationships created through the Urban Area Security Initiative (UASI) Grant Program be maintained when incentives are removed?
5. Have organizations that worked together to fulfill grant requirements developed an organizational culture that values collaboration?
6. What factors impact the success or failure of collaboration within UASI groups?

E. METHODOLOGY

The impact of federal policy on regional collaboration is broad, impacting the national emergency response community at all levels. For manageability, the research group for this thesis has been narrowed to those federally designated urban areas eligible to receive funding under the Urban Area Security Initiative Grant Program. These urban

areas are designated by DHS based on their high risk to terrorism. The areas change from year to year depending on the DHS risk calculation. In 2003, the DHS designated 11 urban areas, but that number had increased to 65 by 2010. This study surveyed national UASI members through their online discussion board. Fifty-five of the members responded. Respondents represented multiple jurisdictions and represented seven response disciplines, including law enforcement, fire service, public health, hospitals, emergency management, emergency services, and city officials.

F. SUMMARY

Since the creation of the Department of Homeland Security, millions of dollars have been granted to state and local emergency responders with the caveat that the funds be distributed through a collaborative process. DHS has offered grant funding to large urban centers on the condition they build regional preparedness through cross organizational partnerships. DHS has strongly encouraged states to create homeland security regions for the same purpose. DHS has strongly stated that the nation's preparedness for a catastrophic event depends on the collaborative capacity of these groups. How successful we have been in building that capacity is the topic of this thesis.

Chapter II of this thesis examines the relevant research into the topic. It includes both federal policy documents as well as academic research to explore not only what the federal government's intent has been in requiring collaboration, but also what the research can reveal about collaborative advantage and collaborative inertia. Chapter III is an in-depth discussion of the research methodology, and Chapter IV is an in-depth analysis of the survey results. Chapter V includes a discussion of the implications of the survey results, answers to the research questions, and recommendations for practitioners.

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II. LITERATURE REVIEW

A. WHAT IS COLLABORATION?

In the last decade, a great deal of research has been dedicated to the topic of interorganizational collaboration in an attempt to understand why and when collaboration is important, how it is defined, what factors contribute to its success, and what factors are barriers. In a report to Congress, the Government Accountability Office defined collaboration as “any joint activity that is intended to produce more public value than could be produced when the organizations act alone” (Government Accountability Office [GAO], 2005, p. 4). Huxham (2003) states that collaboration for collaboration’s sake is a wasted effort and that there must be a mission that can only be achieved through shared vision and partnership. Moynihan expands on this when he states that collaborative networks (groups) give organizations the ability to “tackle problems that are beyond the scope of any single organization” (2005, p. 4). Jordan states that “terrorism related preparedness initiatives are meant to foster collaboration among a range of specialized organizations whose participation is necessary for comprehensive integrated response....These efforts ideally work against sector-specific planning and overcome ‘stovepiped’ activities, replacing them with cross-sector collaboration” (Jordan, 2010, p. 13). There is also acknowledgement that, while collaboration can be a highly effective way to solve society’s complex and difficult problems, collaborative attempts frequently end in frustration and failure (Huxham, 1993).

1. Collaboration Versus Cooperation

Several authors discuss the differences between collaboration and cooperation, terms that are frequently used interchangeably. Gray (1989) explains that collaboration is different from cooperation because it requires the interdependence of the stakeholders, the ability to address differences constructively, joint ownership of decisions, and collective responsibility for the future of the partnership. Gray goes on to state that cooperation is static where collaboration is a dynamic and emergent process. She defines

collaboration as including structure, defined relationships, and resource sharing (Gray, 1989). Several other authors also characterize collaboration as “co-laboring” and describe it as the most essential element in the cycle of preparedness (Gray, 1989; O’Brien, 2006; Pelfrey, 2005).

2. Definitions

Several themes run through the literature on collaboration. The related terms are defined and discussed here.

Collaborative capacity is defined as the “capability of organizations (or a set of organizations) to enter into, develop, and sustain interorganizational systems in pursuit of collective outcomes” (Jansen, Hocevar, Rendon, & Thomas, 2008, p. i). According to Weber, Lovrich, and Gaffney (2007), this capacity is built and nurtured through vibrant partnerships. It has simultaneous vertical and horizontal dimensions that include relationships at the local, state, and federal levels. They state that the “vibrant relationship” includes trust, common purpose, mutual dependency, and long-term commitment. These authors also examine how collaborative capacity is measured, developing an assessment framework to define it. Foster-Fishman, Berkowitz, Lounsbury, Jacobson, & Allen have built a framework for collaborative capacity that includes four levels: member capacity, relational capacity, organizational capacity, and programmatic capacity (2001). Hocevar et al. (2004, 2006, and 2008) have dedicated several research studies to creating a model to measure collaborative capacity.

Collaborative advantage is defined by Huxham as the “creation of synergy between collaborating organizations” (1993, p. 603). She goes on to state that collaborative advantage is achieved when something innovative is accomplished that a single organization could not have achieved on its own (Huxham, 1993). Huxham and Vangen also discuss collaborative inertia, which is characterized by attempts at collaboration that exhibit slow progress or fail altogether. These two terms are keys to understanding what may be occurring within the groups formed under the UASI program.

Those that have successfully embraced collaboration as a new cultural norm may be experiencing collaborative advantage, while those that are merely meeting grant requirements may be mired in collaborative inertia.

Networks, as they are used in the study of collaboration, are defined by Provan and Kenis as “three or more legally autonomous organizations that work together to achieve not only their own goals, but also collective goals” (2007, p. 231). Networks are identified throughout the literature as a system of collaborative groups. Weber and Khademian (2008) theorize that networks are nudging hierarchical structures out of preeminence as the primary means for the public sector to address complex problems, share scarce resources, and achieve collective goals.

B. FEDERAL POLICY ON COLLABORATION

Beginning in 2003, DHS released numerous policy documents stating that cooperation and collaboration among the federal, state, and local response communities is critical to the nation’s preparedness efforts for catastrophic events (ODP Guidelines for Homeland Security Prevention and Deterrence, 2003; National Response Plan, 2004; National Response Framework, 2008). Homeland Security Presidential Directive 8: National Response Guidance (HSPD-8) and the National Preparedness Guidelines list expanded regional collaboration as a national priority. HSPD-8 goes on to state that regional collaboration is an “overarching priority that contributes to the development of all 36 [national target] capabilities” (DHS, 2005, p. 19).

The focus on collaboration in the 2003 Office for Domestic Preparedness Guidelines for Homeland Security, HSPD-8, the 2007 National Preparedness Guidelines, and others is based on the strong belief that collaborative efforts build preparedness capabilities that will mitigate the impact of a catastrophic event. “Regional Collaboration supports the development and seamless, national network of mutually-supporting capabilities, to prevent, protect against, respond to, and recover from the full spectrum of threats and hazards” (DHS, 2005, p. 19). The documents state that this belief is born from national experience in the wake of events like 9/11 and Hurricane Katrina, demonstrating that disaster events have a ripple effect that extend regionally and

sometimes nationally. Because this ripple effect pulls in responders from outside the impacted area, federal policy is emphasizing regional response planning in advance of the event to ensure an effective response and recovery effort.

The GAO (2003) report, *Challenges in Achieving Interoperable Communications for First Responders*, states that effectively addressing the nation's interoperable communications problems requires collaboration at all levels of government. A subsequent GAO report (2005, pp. 4–5) in the Results Oriented Government Series, lists the necessary elements for collaboration:

- Defining and articulating a common outcome;
- Establishing mutually reinforcing or joint strategies;
- Identifying and addressing needs by leveraging resources;
- Agreeing on roles and responsibilities;
- Establishing compatible policies, procedures, and other means to operate across agency boundaries;
- Developing mechanisms to monitor, evaluate, and report on results;
- Reinforcing agency accountability for collaborative efforts through agency plans and reports; and
- Reinforcing individual accountability for collaborative efforts through performance management systems.

A 2004 GAO study of six large metropolitan areas revealed several factors that exemplify effective regional coordination. These included the presence of an established regional governance structure, the involvement of a cross-section of jurisdictions and response disciplines, civic and political traditions that support cross-organizational coordination, a comprehensive regional strategic plan, and measurable goals and objectives (GAO, 2004). A 2009 report released findings that, while FEMA has gathered data on how the nation's urban areas have funded specific grant-related projects, it cannot measure whether collaborative efforts have built preparedness capabilities (GAO, 2009).

C. ENABLING FACTORS FOR COLLABORATION

Much of the public management literature on collaboration focuses on an attempt to understand how collaboration occurs and what factors and conditions are present in

groups that are collaborating successfully. Common themes emerge from the research, including the importance of 1) a shared mission or goal; 2) incentives, rewards, or mandates; 3) structure and clearly defined roles and responsibilities; and 4) strong relationships built through cooperation and interdependencies. To organize this discussion I have relied heavily on the work of Jansen, Hocevar, and Thomas (2008) who have developed the interorganizational collaborative capacity model. The model is organized into two tiers of identifiers, domains and factors. The domains are **Purpose & Strategy**; **Incentives & Reward Systems**; **Lateral Processes**; **Structure**; and **People**. Factors are the second tier of identifiers, which are depicted in Figure 1.



Figure 1. Interorganizational Collaborative Capacity: Domains & Factors (From Hocevar, 2010)

1. Shared Purpose and Strategy

Jansen et al. (2008) define this domain as an understanding of common goals and interdependencies, recognition of the value and need for collaboration to achieve shared mission or goals, and the willingness to be adaptable to the interests of other organizations. Thomas, Hocevar & Jansen also state that “collaboration is most

beneficial when organizations are interdependent and rely on each other to achieve a common goal or task. This reliance provides an opportunity for organizations to coordinate their work and find ways to work well with one another” (2006, p. 2). Thomas et al. go on to state that purpose and strategy can be driven by strong motivators of perceived threat or risk. These motivators create a situation where partners are willing to accommodate the needs and interests of others in the group to accomplish a shared mission or mitigate a risk. Basolo (2003) supports these findings and argues that groups form to achieve common goals and in support of shared missions. To be successful, however, they must believe they will benefit from collective action. This requires participants to concede to the needs of the network over the needs of their own organization (Thomas et al., 2006). Successful collaboration is dependent on a culture that is accepting and conducive to shared power, shared ideas, and shared goals and objectives.

2. Incentives and Reward Systems

In Thomas et al.’s framework, incentives serve to both “align individual and organizational goals and to encourage interorganizational collaboration” (2006, p. 23). The need for incentives and mandates to sustain collaboration is balanced against an existing shared purpose and strategies. Where motivation is strong, incentives and mandates may not be necessary; however, where they are weak, mandates and incentives may be the only factors that keep collaborative groups together. This is demonstrated in Bertram’s (2008) thesis on the 2002 Salt Lake City Olympics. In this case, Bertram cites the lack of a mandated system as one of the reasons that the groups formed in support of the Olympics stopped working together once the Olympics was over. This occurred even though participants acknowledged the value of maintaining the collaborative effort. Bertram theorizes that if internal motivators are strong enough, a mandated system may not be necessary; however, in this situation once the mandate was lifted, the groups ceased to collaborate.

The degree to which collaboration can be compelled is the subject of some discussion. Some state that collaboration cannot be forced or commanded (Milward &

Provan, 2006), while others discuss the appropriateness of motivating and rewarding public employees to collaborate (Bingham & O’Leary, 2008). A 2005 GAO report on enhancing and sustaining collaboration states that, given differing missions, cultures, and established procedures, “collaborating agencies must have clear and compelling rationale to work together” (p. 11).

As stated by Thomas et al. (2006), incentives to collaborate can be more than financial; they can include strong leadership that is committed to the collaborative process. “A leader who clearly expresses commitment to a vision of collaboration with other agencies can provide an important incentive for other organizational members to engage in this new activity” (Thomas et al., 2006). Additionally, shared resources can be a strong motivator to collaboration. Tschirhart, Amezua, and Anker (2009) state that resource sharing is a key motivator for collaboration; the value lies not just in reciprocity or the exchange of resources, but in the sharing of resources that makes assets available to all. Jordan points out that collaboration within newly formed UASI working groups fosters the sharing of resources; “UASI organizations began to think of equipment (purchased through UASI and other grant streams) as ‘aggregated’ regional assets—stored in one community but accessible to others in the urban area” (2010, p. 7).

3. People/Individual Collaborative Capacity

Individual collaborative capacity is characterized by the interpersonal relationships, trust, and interdependencies that come from positive human interaction (Thomas et al., 2006). A great deal has been written on this aspect of the collaborative process. In Bertram’s (2008) research, 72 percent of those interviewed reported that trust, at some level, was a strong enabler in collaboration, while 86 percent said that social capital and relationship building were also strong enablers.

4. Trust

Trust building as a critical component to achieving collaboration appears in documents dating back a decade, although there seems to be renewed interest in the topic. Much of the recent literature includes trust building as a component of the research. Ten

years ago Lewicki and McAllister (1998) made the point that trust is the foundation for effective collaboration, as well as for social order. More recent literature addresses these questions:

- Why do people trust?
- How does trust shape relationships?
- How important is trust to effective partnerships?
- What is the role of trust in public-private partnerships?

Provan and Kenis define trust as “a willingness to accept vulnerability based on positive expectations about another’s intentions or behaviors” (2007, p. 237). Kapucu (2005) found that effective emergency response and recovery requires well-coordinated interorganizational networks and trust between government agencies.

In “Success through Commitment” the authors examine how trust and commitment impact the performance of international strategic alliances; they conclude that successful alliances are dependent on development and management of relationships through trust building (Cullen, Johnson, & Sakano, 2000). Covey (2006) makes a case that engendering trust in professional relationships is sound business sense and represents a low-cost solution to many difficult issues. There is consensus in the literature that trust building is critical to the success of tasks involving threat or crisis; however, there is still much research to be done to understand trust as an organizational principle.

5. Consensus Building

The literature on consensus building describes it as a key element to achieving collaboration. Berman and Werthe (1996) state that building consensus within a group ensures a shared commitment to furthering the group’s goals and objectives. They go on to discuss the need for a systematic method for achieving broad-based consensus with large groups consisting of diverse constituents. O’Leary and Bingham (2007) discuss the reality that conflict may be intensified by unequal power and resources, politics, and competing agendas within a group. This and other articles see conflict within groups as natural, and even healthy, if managed correctly. If problem solving is carried through until reasonable, consensus within the group can be reached. Weiss and Hughes (2005)

state that trying to reach total harmony can actually interfere with consensus building. They theorize that a group will effectively collaborate when it realizes that conflict is necessary and natural and that differences in perspective, experience, knowledge levels, and strategic focus result in added value to the participants.

6. Structure

As defined by Thomas et al. (2008), the structure domain includes the formalized process that supports the collaborative efforts; it includes the formalized roles and responsibilities of partners, governance structures, rules, policies, committee structures, and standard operating procedures.

An important factor to a strong organizational structure is the role and support of leadership, both of the individual partner organizations as well as the network leaders. A leader's commitment to the vision and goals of the group will be mirrored in the will to provide incentive to the members (Thomas et al., 2008). An example of this was detailed in Bertram's (2008) thesis in relation to the partner agencies in the Salt Lake City Olympics' coordination. Bertram cites the importance of leadership commitment to the mission as well as leadership's key role in keeping team members focused on the individual and group mission. Bertram cites a lack of leadership as responsible for the waning of the post-Olympic partnerships. GAO findings support this contention: "Committed leadership by those involved in the collaborative effort, from all levels of the organization, is also needed to overcome the many barriers to working across agency boundaries" (GAO, 2005, p. 17).

The topic of governance is discussed at some length by Provan and Kenis (2008) as they theorize the advantages of network coordination and viability of network governance. Huxham and Vangen (2000a) conclude that structure plays an important role in the success of collaboration because it determines who influences the shaping of the organization's agenda, who has the power to act, how resources are managed, and how the partnership will be shaped and implemented.

7. Lateral Processes

Lateral processes are the horizontal bridges that interconnect stakeholders. This domain includes social capital, which Putnam (1993) defines as “features of social organization, such as networks, norms, and trust, that facilitate coordination and cooperation for mutual benefit. Social capital enhances the benefits of investment in physical and human capital” (p. 1). Social capital comes from positive interpersonal exchanges that build relationships, trust, healthy open communication, and information sharing. Effective communication includes the free and open flow of information and the establishment of communication systems. It may include the institutionalization of relationships through governance structures, mutual aid agreements, coordinated standard operating procedures, and overall standardization and technical interoperability. It may remain informal, but it is always adaptable to the needs of the stakeholders. Joint planning initiatives, joint training, and exercise programs are key outcomes of lateral systems (Thomas et al., 2006).

D. CHALLENGES TO ACHIEVING COLLABORATION

The challenges and barriers to successful collaboration are the antithesis of the enablers. The barriers discussed in the literature have many common themes:

- Territorialism;
- Competing priorities and objectives;
- Unclear roles and responsibilities;
- Lack of accountability;
- Mistrust;
- Competition for resources;
- Lack of knowledge of a partner’s capabilities.

According to Huxham (1993), the disadvantages to collaboration are generally to the individual organizations, rather than to the system as a whole. She theorizes that each partnership must find a balance between loss of autonomy and flexibility for partner organizations and the need to coordinate and reach consensus within the partnership. Lastly, Huxham cites loss of glory. This is a difficult issue since each member agency

must be seen by those it answers to as satisfying its mission. Partnership with other organizations means sharing the credit for successes or allowing another partner to take the credit altogether.

E. SUMMARY

Based on the literature reviewed, collaboration is clearly a concept that the public sector is struggling to understand, although there is clear agreement that developing and sustaining collaborative relationships has value. Collaborative efforts can be applied to problem solving across jurisdictional lines and to joint planning for events that may have regional impact. Several authors find that the merit in collaborative partnerships lies in the ability to generate solutions to problems that individual organizations do not have the resources to resolve alone. However, difficulties do arise when an individual organization's centralized structure does not easily adapt to the decentralized nature of regionalization. This creates challenges that are not easily overcome and can adversely impact the success of the collaboration.

The literature on the topic of collaboration within the public sector is vast. Authors and policy makers agree that collaboration is important to effective coordinated emergency response, joint planning efforts, and overall emergency preparedness. In reviewing the major topical areas the following conclusions can be reached.

Policy documents from the Department of Homeland Security that identify collaboration as a critical component to successful disaster preparedness may effectively force some to participate and offer others the opportunity to participate. However, DHS has not given the emergency response community a prescription for bringing about the cultural shift it is trying to achieve. Nor can it guarantee that, absent incentives and requirements, collaboration will be sustained once achieved.

The literature focuses the greatest attention on the value of collaboration and the factors present in successful collaboration. Authors agreed that shared values, missions, and goals, formalized structure, incentives, and healthy personal relationships are critical factors to the success and sustainment of collaborative groups. Case studies shine a light

on successes and provide potential pathways to success for groups attempting to develop collaborative relationships. They also highlight barriers to success.

The successful shift from a stovepiped method of problem solving to the collaborative method depends on a number of factors. The consensus in the literature is that there is no clear formula for success, the effective mix of necessary factors is complex, and will differ from group to group.

III. METHODOLOGY

A. RESEARCH OVERVIEW

This chapter explains the methodology employed to gather the data used to answer the six research questions of this thesis. It discusses how the survey was developed and implemented and how the data gathered were analyzed.

B. SURVEY METHODOLOGY

The purpose of this study was to better understand whether the response community has accepted a collaborative method for problem solving, and whether groups established through federal requirements will be maintained when the requirements end. To address these questions a survey of emergency responders was developed. Survey questions were crafted by breaking down each research question into components. These components were then translated into a survey question, which was cross-walked to its analysis method and intended outcome. Table 1 is an example of the crosswalk for the first research question. Survey questions were designed to measure the following elements:

- Preexisting involvement in cross-jurisdictional collaboration, which may indicate an existing commitment to collaboration;
- Level of commitment to building cross-organizational relationships, apart from the grant requirements;
- Respondent's understanding of the long-term benefits of the collaborative process;
- Organizational commitment to the collaborative process as demonstrated by activities not funded through the program;
- Extent to which the organizational culture is receptive to collaboration;
- Factors that indicate successful collaboration and factors that create barriers.

Some survey questions were adapted from the research model developed by Hocevar et al. (2004)

Table 1. Research Instrument Roadmap—Sample Crosswalk for Question One

Research Question	INSTRUMENTATION: Survey Questions	PARTICIPANTS	ANALYSIS	OUTCOME
Do groups created due to grant requirements see value in the collaborative process separate from the grant requirements?	My organization committed adequate budget dollars and resources to cross-organizational relationships prior to its participation in the UASI Grant Program. [rated]	UASI Discussion Board members	Respondents will be asked to rate their level of agreement to the statement; 1= strongly disagree, 6=strongly agree; 7=unknown. Open-ended questions will be analyzed for common themes.	Determine the preexisting involvement in cross-jurisdictional collaboration, which may indicate an existing commitment to collaboration.
	Which responder groups were involved in cross-organizational collaboration prior to the UASI Grant Program? Please list disciplines. [open]			
	Involvement in the UASI Grant Program has built partnerships with new responder groups. [rated]			Measure the level of commitment to building cross-organizational relationships, apart from the grant requirements.
	If agree, please list disciplines. [open]			
	Effective cross-organizational collaboration is a high priority for my organization. [rated]			
	Members of my organization understand the benefits of collaborating with other organizations. [rated]			
	The success of my organization's mission requires working effectively with other organizations. [rated]			
	The leaders of my organization emphasize the importance of cross-organizational collaboration. [rated]			

1. Survey Development

The survey was created using an online tool, Zoomerang, which is a platform for the creation and implementation of polls and surveys. The tool allows the creation of both quantitative and qualitative questions. The survey was launched on the Zoomerang site, and respondents logged on to participate. Once the survey was closed, the tool calculated the data frequency, as well as providing all of the raw data, which was exported to another program for in-depth analysis. The demographic information requested consisted solely of the respondent's primary response discipline. The survey instructions and a copy of the survey itself are included in Appendix B.

2. Survey Participants

The impact of federal policy on regional collaboration is broad and impacts the emergency response community at all levels. For this reason it was necessary to narrow the survey participants to a subset of the community. Individuals were chosen based on their involvement in the Urban Area Security Initiative (UASI) Grant program, a federal grant program that requires collaboration among members.

The UASI program was introduced by DHS in 2003 and included 11 urban areas that were determined to be at high risk from terrorism. The purpose of the program was to fund enhancements of the terrorism preparedness efforts of urban areas. Through its risk analysis DHS drew boundaries for designated urban areas, always including a large urban city at its core. The composition of the urban areas varies greatly. Some urban areas include a core city and its contiguous counties; some contain multiple large urban cities, along with counties; and some cross state borders. Many of the partner organizations within these urban areas had no prior working relationship. They were determined to be interdependent by an outside source and required to create a collaborative working relationship in order to receive desirable grant funding. The cities that are eligible for the program change from year to year, depending on the DHS risk calculation. In 2003, there were 11 designated urban areas; in 2010 there are 64 (DHS, 2009). The implementation of the program includes the establishment of working

groups, subcommittees, and governance structures. The emergency response community in these urban areas were targeted for this study because of their unique ability to speak to their experience with cross-organizational collaboration prior to UASI program, their current experience, and their commitment to regional collaboration. It was felt that this community could best answer the question of whether a cultural shift has occurred that is supportive of the collaborative process.

The DHS-designated urban areas have formed a loose coalition to support each other and share lessons learned and best practices. The group has an annual conference and an online discussion board where the participants can communicate and share ideas and information. This is a voluntary group consisting of response professionals involved in the administration and implementation of the UASI Program. According to Steve Davis, the board facilitator, there are approximately 250-300 active members on the discussion board, although this number fluctuates as issues of interest arise (Davis, 2010). The members come from the wide range of interested parties and emergency responders including emergency management, public health, emergency services, law enforcement, fire service, hospitals, transit, port authorities, and elected officials and policy makers.

3. Survey Administration

On April 7, 2010, a link to the Zoomerang survey was posted on the group's discussion board, and members were invited to participate. The invitation included an explanation of the survey process, what research questions were being addressed, and the overall purpose of the study. Members were initially given two weeks to respond. At the end of the two weeks, there were 44 responses. On April 22, 2010 a second e-mail message went out to the group, extending the response time for an additional week. By the end of the time period, 55 members had responded. Respondents represent a range of response disciplines, primarily emergency management (54%), Fire Service (19%), and Law Enforcement (17%). The remaining 10% represent emergency medical services, public health, government officials, homeland security, and hospitals. Refer to Appendix B for a copy of the initial and follow-up invitations. After closure of the on-line survey, all survey data was exported to an Excel spreadsheet for analysis.

4. Analysis of Quantitative Survey Questions

For all 29 quantitative questions respondents were asked to rank their answer from “strongly disagree” (with a numerical value of 1) to “strongly agree” (with a numerical value of six). All “don’t know” responses and unanswered questions were treated as missing data. Mean and standard deviations were calculated for each question. Several t-test comparisons of means were conducted to identify a “rule of thumb” that could be used when discussing differences in mean ratings in the analysis chapter. In all but the most extreme cases of very high standard deviations (greater than 1.3), when means differ by at least 0.4 they can be considered to meet the critical t-value ($p < .05$). In other words, if two rating questions have means of 4.1 and 4.5 (with a mean difference of 0.4), they are considered statistically different ($p < .05$). If two questions have means of 5.2 and 5.4 (with a mean difference of 0.2), they will not be considered statistically different.

5. Analysis of Qualitative Survey Questions

Fifteen quantitative questions were followed up by a qualitative question that asked the respondent to explain or further illustrate the rating given to the quantitative question. These qualitative questions were in a free-form text format, so responses ranged from single word lists to lengthy text. The qualitative data were exported from Zoomerang into an Excel spreadsheet. Entries included the respondent’s identification number, response date and time, the respondent’s discipline, and the response. Some qualitative questions asked for a list of three to five responses. For example, a respondent asked to describe the positive impacts of the UASI Working Group responded, “Knowledge base of regional capabilities, increased awareness within the jurisdiction, better interagency working relationships.” In this case, each separate idea in the response was given its own line on the spreadsheet, although still attributed to the same respondent. This allowed all the ideas in a response to be counted and analyzed independently of each other. Thus, the number of responses to each question varies greatly, from 32 to 209 responses.

To further analyze the data the qualitative responses were studied to identify themes. Each response were coded, grouped with like answers, and counted. Where appropriate, the factors of the ICC model (Hocevar et al., 2004) were used to define and characterize the themes. In those cases where no common themes emerged, factors identified are unique to this research. Finally, all were organized and grouped using the five domains in the ICC model. Table 2 represents a sample of how the qualitative data is organized and will be displaced in Chapter IV.

Table 2. Sample Coding for Question 12

(Q-11) There will be long-term benefits to the relationships built through cross-organizational collaboration. (Q-12) If there are long-term benefits, what are the top five?			
Results		Responses	%
Factors	Lateral Processes Domain	97	46%
	<i>Social Capital/Relationships</i>	38	18%
	<i>Training & Exercise</i>	15	7%
	<i>Communication/Information Sharing</i>	14	7%
	<i>Joint Planning</i>	13	6%
	<i>Coordination</i>	11	5%
	<i>Standardization/Interoperability</i>	6	3%
	Incentives & Rewards Domain	88	42%
	<i>Cost Savings/Efficiency</i>	30	14%
	<i>Capability Enhancement</i>	29	14%
	<i>Resource Sharing</i>	20	10%
	<i>Better off than before</i>	6	3%
	<i>Innovation</i>	2	1%
	<i>Funding</i>	1	0.5%
	Purpose & Strategy Domain	15	7%
	<i>Strategic Understanding Gaps/Risks</i>	11	5%
	<i>Shared Vision/Goals/Values/Mission</i>	4	2%
	People/Collaborative Capacity Domain	7	3%
	<i>Trust</i>	4	2%
	<i>Commitment/Motivation</i>	3	1%
	Structure Domain	2	1%
	<i>Established Structure</i>	2	1%

C. LIMITATIONS OF THE SURVEY

The number of respondents to the survey may limit the conclusions that can be drawn from the statistical analysis of the results. While the respondents do represent a cross section of the nation's urban areas, they represent a very small sample group.

D. SUMMARY

This research incorporates qualitative and quantitative analytical methods to report the results of the survey. The interorganizational collaborative capacity model (Hocevar et al., 2004) was used to structure the data analysis. Results of the data analysis are presented in Chapter IV.

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IV. ANALYSIS

A. INTRODUCTION

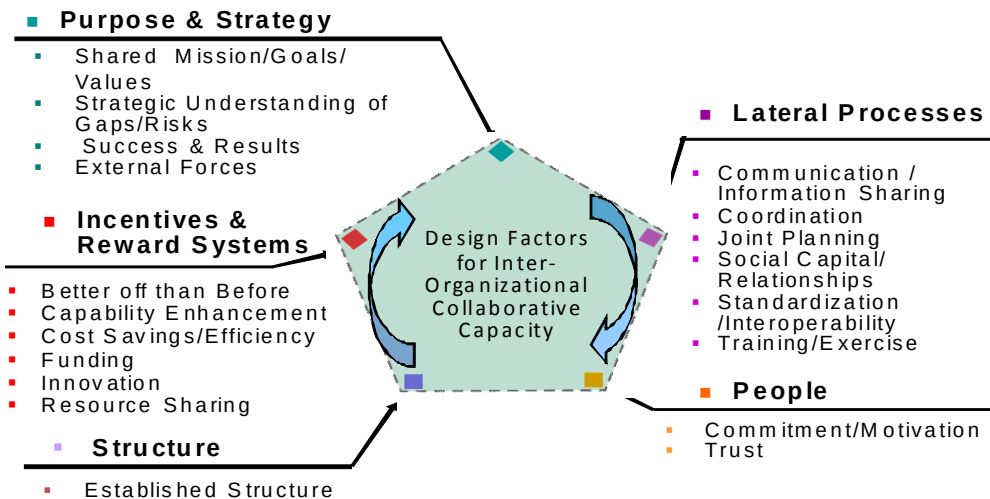
This chapter presents the results of the 44 survey questions related to the study's six questions.

1. Do regional collaborations created through grant requirements see value in the collaborative process separate from the grant requirements?
2. Do organizations recognize the long-term benefit to cross-organizational relationships?
3. How do organizations demonstrate their commitment to institutionalizing regional collaboration?
4. Will the collaborative relationships created through the Urban Area Security Initiative Grant Program be maintained when incentives are removed?
5. Have organizations that worked together to fulfill grant requirements developed an organizational culture that values collaboration?
6. What factors impact the success or failure of collaboration within UASI groups?

Quantitative results are displayed in tables for each question and include the mean, standard deviation, number of respondents, and frequency. Not all respondents answered all questions, so the number of responses varies from question to question. Most qualitative questions requested a list of three to five responses; therefore, the total number of data points calculated for each question varies from 32 responses to 209. Respondents' answers to the qualitative answers are anonymous and cannot be attributed to a specific individual; however, the survey tool assigned each respondent a unique identification number. The last four digits of the number are used to identify individual respondents for the purpose of quoting responses that provide clarification and insight to the data analysis.

B. ADAPTED INTER-ORGANIZATIONAL COLLABORATIVE CAPACITY MODEL

Qualitative results are analyzed using the Interorganizational Collaborative Capacity (ICC) model developed by Hocevar, Thomas, and Jansen, (2004, 2006, & 2008). The ICC model includes both domains and factors. Domains refer to five overall categories of enablers and barriers to interorganizational collaboration. Factors include specific aspects within each of the five domains. The factors depicted in Figure 2 were derived from the analysis of all of the qualitative data from this survey. While the number of factors differs from the Hocevar et al. systems model, the overall structure is the same. In those cases where factors deviate from the model, the reasons are discussed in this chapter.



2

Figure 2. Adaptation of Inter-Organizational Collaborative Capacity Model
(From Hocevar, 2010)

To better understand the domains and associated factors the following section provides definitions and illustrative quotes from the survey participants.

1. Purpose and Strategy

The thematic factors within this domain represent responses that identify interorganizational interdependences and recognition of a shared mission or goal.

1. *Shared Mission/Goals/Values* reflects responses that identify the importance of a collaborator's commitment to a shared mission or goal. One respondent summed it up this way: the "region has articulated a response strategy that would otherwise not have been possible" (6944). Another respondent stated, "We can accomplish more if we work together than if we try to do everything on our own" (7848).
2. *Strategic Understanding Gaps/Risks* reflects those responses that valued an increased understanding of risks to the respondent's region, as well as the benefits to regional strategic planning and gap analysis.
3. *Success and Results* reflects responses that identify accomplishments realized through the collaborative process. Respondents are invested in sustaining collaborative efforts to realize additional successes. An emergency manager explained this as "a desire to build on what is already established" (8474).
4. *External Forces* represents responses that cited leadership changes, politics, and competing organizational agendas as barriers to collaboration. One emergency manager (2624) expressed concern that elected officials, who are not committed to regional collaboration, would question why staff is working outside its statutory authority by working on regional issues without a specific mandate to do so.

2. Incentives and Rewards

This domain includes factors that serve to reward collaborators, providing incentive for participation in the collaborative process. These factors reflect organizational incentives and rewards, as opposed to the personal incentives and rewards reflected in the ICC model. Factors from the survey results, which fall into **Incentives & Rewards** domain, deviate somewhat from the ICC model. In context, this deviation is minor and does not detract from the validity of the application.

1. *Better off than before* represents responses that identify overall improvement in some aspect of the respondent's situation. The factor includes greater citizen satisfaction, safer communities, efficient and effective government, and greater accomplishment through collaboration

than was previously accomplished. One public health official explained it this way: “The UASI is still new to us; however there is great anticipation that it will positively impact the region” (2550).

2. *Capability Enhancement* reflects the respondent’s appreciation of the enhanced response capability that grant funding has provided. Several respondents cited the acquisition of specialized resources, greater regional effectiveness, updated or new emergency operations centers, new equipment, new planning efforts, and improved communications equipment. A law enforcement professional stated that collaboration has made “response capabilities stronger and more capable through investments in equipment, training, and exercise” (6944).
3. *Cost Savings/Efficiency* was cited by respondents who see collaboration as a way to improve processes, eliminate redundancy, and implement economies of effort. An emergency manager (7709) stated, “Operational efficiencies in tough economic times are making collaboration the new gold standard for cost efficiency.”
4. *Funding* from DHS has been a prime motivator and benefit to the organizations participating in the UASI Grant Program. One emergency manager stated, “Without the funding of UASI, my city organization would lack the financial capability to develop strategic plans, emergency operation plans, continuity of operation plans, hazard mitigation plan, or support the National Plan Review” (3416).
5. *Innovation* was cited as a motivator for collaboration when it included the ability to explore new opportunities.
6. *Resource Sharing* was cited by respondents as a motivator for collaboration because it gives responders the ability to maximize the use of limited resources. It also expands the pool of assets available for preparedness and response. Responses include recognition of the benefit of equipment sharing, as well as shared technical expertise, and shared best practices.

3. **Structure**

The structure domain includes factors that reflect the formalized process and governance that support collaborative efforts. It encompasses governance structures, roles and responsibilities, as well as policy and procedure standardization.

1. Establishment of formalized regional structures or the ongoing support of them. Respondents identified the establishment of governance structures as a key factor to successful collaboration. An emergency manager stated,

“Institutionalizing cross-organizational thinking will take time and the UASI organizational structure is a key impetus for this process” (2624).

4. Lateral Processes

This domain characterizes activities that act as horizontal bridges to interconnect partner organizations.

1. *Communication/Information Sharing* represents responses that included ease of communication in an event, open communication, ease of information sharing, and better communication among regional partners.
2. *Coordination* reflects responses that valued the increased coordination and collaboration experienced by respondents. A fire service professional (3658) stated, “My organization values ‘partnerships’ where they make sense and knows it saves valuable and scarce public dollars.”
3. *Joint Planning* reflects a range of responses including joint operations planning, contingency planning, and strategic planning.
4. *Social Capital/Relationships* reflects respondent’s value of relationships built through the collaborative process. Respondents stated:
 - “Working together creates relationships that are more important than any actual program that may develop” (6892).
 - “The knowledge and familiarity we have with each other makes our preparedness more thorough and more likely to work” (6892).
 - “Disciplines and many jurisdictions that have never spoken to each other now do so on a regular basis and actively seek to find common ground for solutions” (4843).
 - “Much better understanding of discipline-specific practices, culture, and capabilities” (3893).
5. *Standardization & Interoperability* was cited by respondents and includes both equipment and communications.
6. *Training & Exercise* represents responses that cited the importance of cross-organizational training and exercise programs.

5. People

This domain consists of those factors that reflect the human element of collaboration, the attitudes, motivations, and aspects of human nature that allow people to work together in teams and in partnerships with others.

1. *Commitment/Motivation* represents responses that cited cooperation, commitment to the partnership, and motivation to support the collaborative process even when competition between partners had been the norm in the past. Representative comments include:
 - “Check egos at the door” (3212).
 - “While there are still tensions between organizations over local politics, most who participate buy into the concept and try in earnest to abide by it. This means that they share their organizational strengths and weaknesses openly. This leads to an open sharing of ideas on how to close each organization’s pitfalls” (3282).
 - “Professional mutual respect, a people problem” (1852).
2. *Trust* summarizes those responses that cited trust as a factor. These responses can be illustrated by a fire service professional who stated, “Strong relationships foster trust; the most effective organizational relationships are built on personal relationships and the trust built there” (7377). This response and others indicate a strong interconnectedness between trust and social capital.

C. SURVEY RESULTS

In this section, survey results are discussed as they relate to each research question. Survey question one asked respondents to identify which response discipline they represent. Except in comparison to survey question three and five, it will not be discussed here.

Research question one: Do partnerships in regional collaboration created through grant requirements see value in the collaborative process, separate from the grant requirements?

Research question one has nine survey questions associated with it, seven quantitative questions, and two qualitative questions. Quantitative survey questions and their mean ratings (and standard deviation) as well as frequency results are depicted in Table 4.

- Survey questions three through five: (3) Which responder groups were involved in cross-organizational collaboration prior to the UASI Grant Program? Please list disciplines. (4) Involvement in the UASI Grant Program has built partnerships with new responder groups. (5) If you agree, please list disciplines.

Several responses to question three indicate that there was a lack of collaboration prior to the grant funding, noting, “limited collaboration between law, fire, and emergency services” (3992) and “very silo based with little effort regionally to cross-pollinate ideas” (7295). Most respondents indicated that prior to the UASI grant they were working with the traditional emergency response community; law enforcement (24 percent), fire service (20 percent), emergency management (11 percent), public health (10 percent) emergency medical services (8 percent). As depicted in Table 3, eight disciplines were cited two percent or more of the time. This means that the discipline was listed at least four times by the survey respondents.

Ninety percent of respondents agree that they have built partnerships with new responder groups. The mean rating for question four is 5.3, and only 10 percent disagreed thus indicating that the collaboration fostered through the federal grant programs has expanded the partnership base of the organizations surveyed. Many of the disciplines cited in question five as new groups were also cited in question three; however, in some cases the frequency rating increased. For example, education, transit, ports, private sector, and Citizen Corps went from one to three percent intelligence/fusion, Voluntary Organizations Active in Disaster (VOAD), special purpose districts, utilities, and animal health are groups that appear on the post UASI grant program list as new relationship

Table 3. Agencies' Collaboration Before and After Creation of UASI Working Groups

Survey Question 1 Respondent's Response Disciplines		Survey Question 3 Pre-UASI Collaborations		Survey Question 5 Newly Developed Collaborations	
Emergency Management	54%	Law Enforcement	24%	Law Enforcement	16%
Fire service	19%	Fire Service	20%	Fire Service	14%
Law Enforcement	17%	Emergency Management	11%	Public Health	12%
All	2%	Public Health	10%	Emergency Management	7%
Emergency Medical Services	2%	Emergency Medical Services	8%	Emergency Medical Services	7%
Local Government	2%	Communications	5%	Hospitals	6%
Hospitals	2%	Public Works	5%	Public Works	4%
Homeland Security	2%	Hospitals	2%	Citizen Corps/Public Education	3%
Public Health	2%	Citizen Corp	1%	Communication	3%
		Local Government	1%	Education	3%
		Education	1%	Transit	3%
		Red Cross	1%	Port	3%
		Transit	1%	Private Sector	3%
		Public Information/Media	1%	Engineering Companies	2%
		NGOs/Non-profits	1%	General Government	2%
		Ports	1%	Intelligence/Fusion	2%
		Private Sector	1%	Information Technology	2%
		Military	1%	Public Information Officers	2%
		Social Services	1%	Utilities	2%
		Traffic Engineering	1%	Search & Rescue	1%
		Tribe	1%	Animal Health	1%
		Urban Search & Rescue	1%	Nonprofits	1%
		Emergency Support Functions	1%	Private Sector	1%
		GIS	1%	Red Cross	1%
		Critical Infrastructure	1%	Special Purpose Districts	1%
		Agriculture	1%	Voluntary Organizations Active in Disaster (VOAD)	1%

The range of responses to question five is broad. The discipline most cited by respondents as a new relationship is law enforcement (19 percent). Fire service ranked next at 13 percent, followed by public health at 12 percent. Table 3 displays the full detail. Disciplines not previously cited or cited much less frequently include transit, the private sector, ports, information technology, public information, utilities, nonprofit organizations, special purpose districts, and Voluntary Agencies Active in Disaster (VOAD). This indicates that the traditional response disciplines (law enforcement, fire service, emergency management, and public health) are reaching out to develop partnerships with non-traditional response organizations. Several respondents commented that new partnerships tend to have been formed with new organizations as opposed to new disciplines. For example, a fire department may have established new relationships with law enforcement or emergency management in an adjoining county. Respondents appear to be expanding their contacts to include new partnerships within their disciplines. This may be a natural outcome of expanded regional collaboration.

- Survey question two: My organization committed adequate budget dollars and resources to cross-organizational relationships, prior to its participation in the UASI Grant Program.

With a standard deviation of 1.6 and disagreement from 59 percent of respondents, there is a strong indication that many respondent organizations did not invest in cross-organizational relationships prior to federal grant programs. Refer to Table 4 for the full statistical and frequency results. The overall mean rating is 3.3 on a scale of one (strongly disagree) to six (strongly agree). This suggests that the relationships being developed due to grant requirements are, to a large degree, new relationships. Newer relationships may be more fragile and susceptible to loss of incentives or changes in personnel. Where this is true, additional attention may need to be given to support and maintain these fledgling relationships.

Table 4. UASI Collaboration Stud—Research Question One—Survey Results for Quantitative Questions

Research Question 1: Do partnerships in regional collaboration created through grant requirements see value in the collaborative process separate from the grant requirements?									
	Quantitative		Frequency (Percentage)						
Survey Question	Mean	Std Dev	Strongly Disagree 1	2	3	4	5	Strongly Agree 6	Unknown
2. My organization committed adequate budget dollars and resources to cross-organizational relationships prior to its participation in the UASI Grant Program.	3.3	1.6	13	22	24	7	17	13	4
4. Involvement in the UASI Grant Program has built partnerships with new responder groups.	5.3	1.2	2	4	6	6	17	67	0
6. Effective cross-organizational collaboration is a high priority for my organization.	5.2	1.2	0	2	6	8	30	55	0
7. Members of my organization understand the benefits of collaborating with other organizations.	5.1	1.0	0	2	6	19	26	47	0
8. The success of my organization's mission requires working effectively with other organizations.	5.6	.8	0	0	4	6	22	69	0
9. The leaders of my organization emphasize the importance of cross-organizational collaboration.	5.0	1.3	2	4	9	9	28	48	0
10. My organization is willing to invest in cross-organizational goals even at some cost to its own interests.	4.6	1.4	2	7	13	15	31	30	2

- Survey questions six & seven: (6) Effective cross-organizational collaboration is a high priority for my organization. (7) Members of my organization understand the benefits of collaborating with other organizations.

Questions six and seven are closely related. Ninety-three percent of respondents agree that cross-organizational collaboration is a high priority for their organization. Ninety-two percent agree that members of their organization understand the benefits of collaboration. The mean rating for these two questions is 5.2 and 5.1 respectively.

- Survey questions eight to 10: (8) The success of my organization's mission requires working effectively with other organizations. (9) The leaders of my organization emphasize the importance of cross-organizational collaboration. (10) My organization is willing to invest in cross-organizational goals, even at some cost to its own interests.

Ninety-seven percent of respondents agree that cross-organizational collaboration is critical to mission success. The mean rating for this question is 5.6. This indicates very strong belief that regional preparedness is closely tied to collaboration. However, when compared with the mean rating 5.0 of question nine, it appears that that belief is not fully supported by organizational leadership. While a mean rating of 5.0 does indicate some agreement, there appears to be a difference in perspective between the respondents and their organizational leadership. The response to question 10 further reveals this discrepancy. With a mean rating of 4.6, there is evidence that organizations are not as willing to invest their own resources in cross-organizational collaboration when there is a cost to their interests. This could have several implications. One is that some organizations are involved in cross-organizational collaboration for reasons other than a commitment to collaboration itself. Another is that organizational understanding of the value of collaboration is still evolving and not fully embraced by organizational leadership and policy makers.

a. Summary Results of Research Question One

There is a clear indication that participants in regional collaboration have built new partnerships within their disciplines and with other responder groups. There is also evidence that collaboration is a high priority for the organizations surveyed and that

respondents understand that the success of their mission depends on the strength of the partnerships they have built through the collaborative process. However, when respondents are asked about the execution of collaboration, there is less agreement on aspects such as resource allocation and leadership support. This could mean that some participants are not fully committed to the collaborative process. It could also mean that organizations are still working through how to institutionalize cross-organizational collaboration into the culture and operational practices of their organization.

- Research question two: Do organizations recognize the long-term benefits to cross-organizational relationships?

Research question two has eight survey questions associated with it, four quantitative questions and four follow-up qualitative questions. Quantitative survey questions and their mean ratings (and standard deviation) as well as frequency results are depicted in Table 5.

Table 5. UASI Collaboration Survey Results—Research Question Two—Quantitative Question Results

Research Question 2: Do organizations recognize the long-term benefit to cross-organizational relationships?									
	Quantitative		Frequency (Percentage)						
Survey Question	Mean	Std Dev	Strongly Disagree 1	2	3	4	5	Strongly Agree 6	Unknown
11. There will be long-term benefits to the relationships built through cross-organizational collaboration.	5.7	.8	0	2	2	6	9	81	0
13. The work of the Urban Area Workgroup(s) in which you participate have positively impacted your region's preparedness.	5.5	.8	0	2	2	6	30	61	0
15. The work of the Urban Area Workgroup(s), in which you participate, have positively impacted your organization's preparedness.	5.1	1.1	0	4	4	17	28	46	2
17. If the Urban Area Workgroup(s) in which you participate ceased to collaborate there would be significant impact on your region's preparedness.	5.0	1.4	2	8	6	11	17	57	0

- Survey questions 11 and 12: (11) There will be long-term benefits to the relationships built through cross-organizational collaboration. (12) If there are long-term benefits, what are the top five?

Overwhelmingly, respondents agreed (96%) that there will be long-term benefits to cross-organizational collaboration; and only four percent of the respondents expressed any disagreement. Refer to Table 5 for detailed statistical and frequency results for question 11. The overall mean rating is 5.7, which indicates a fairly high level of agreement with the statement. The follow-up qualitative question, which asked respondents to list the top five long-term benefits, reveals a range of responses. Half of the responses (46 percent) fall into the **Lateral Processes** domain and almost as many (42 percent) fall into **Incentives and Rewards**. The remaining respondents cited a factor within the **Purpose & Strategy** (seven percent), **People** domain (three percent), or **Structure** (one percent). Table 6 depicts the quantitative results for question 12.

Social Capital (18 percent) was the most-cited factor that fell into the **Lateral Processes** domain. These results indicate that the relationships established between organizations represent a critical element in the UASI collaborative endeavor. Illustrative comments include “having personal relationships which enhances any operation” (5284); “working together creates relationships that are more important than any actual program that may develop” (6892) and “immediate trust leads to collaboration and coordination at 2 a.m. without calling a meeting” (4843).

Two factors within the **Incentives & Rewards** Domain, *Capability Enhancement* (14 percent) and *Cost Savings/Efficiency* (14 percent) were the next most frequent factors cited. Capability enhancements cited take many forms including, “improved resource management and deployment through resource-typed real-time capability and readiness” (1852) and “greater regional effectiveness focusing on regional protection, prevention, response and recovery” (3416). Examples of *Cost Savings/Efficiencies* cited are “less cost to taxpayers, (3893); “reduced costs due to elimination of redundancies” (0891); and “coordination of similar projects, leading to more effective expenditures of funds” (7295).

Table 6. Qualitative Results Survey Question 12

(Q-11) There will be long-term benefits to the relationships built through cross-organizational collaboration. (Q-12) If there are long-term benefits, what are the top five?			
Results		Responses	%
Factors	Lateral Processes Domain	97	46%
	<i>Social Capital/Relationships</i>	38	18%
	<i>Training & Exercise</i>	15	7%
	<i>Communication/Information Sharing</i>	14	7%
	<i>Joint Planning</i>	13	6%
	<i>Coordination</i>	11	5%
	<i>Standardization/Interoperability</i>	6	3%
	Incentives & Rewards Domain	88	42%
	<i>Cost Savings/Efficiency</i>	30	14%
	<i>Capability Enhancement</i>	29	14%
	<i>Resource Sharing</i>	20	10%
	<i>Better off than Before</i>	6	3%
	<i>Innovation</i>	2	1%
	<i>Funding</i>	1	0.5%
	Purpose & Strategy Domain	15	7%
	<i>Strategic Understanding Gaps/Risks</i>	11	5%
	<i>Shared Mission/Goals/Values</i>	4	2%
	People Domain	7	3%
	<i>Trust</i>	4	2%
	<i>Commitment/Motivation</i>	3	1%
	Structure Domain	2	1%
	<i>Established Structure</i>	2	1%

- Survey questions 13 and 14: (13) The work of the Urban Area Workgroup(s) in which you participate have positively impacted your region's preparedness. (14) If so, please describe the impact.

Ninety-seven percent of respondents agree that the UASI program has positively impacted their organization's preparedness. The mean rating for this question is 5.5. The full detail on the frequency and statistical data on question 13 are contained in Table 5.

When asked to describe the impact of the UASI Program on their urban area, most cited *Capability Enhancements* (24 percent), which is a factor within the **Incentives & Rewards** domain. The domain with the most responses is **Lateral Processes**, which includes the second and third most cited factors *Social Capital/Relationships* (22 percent), and *Coordination* (11 percent). Refer to Table 7 for additional detail.

Table 7. Qualitative Results Survey Question 14

(Q-13) The work of the Urban Area Workgroup(s) in which you participate have positively impacted your region's preparedness. (Q-14) If so, please describe the impact.			
Results		Responses	%
Factors	Lateral Processes Domain	45	51%
	<i>Social Capital/Relationships</i>	19	21%
	<i>Coordination</i>	10	11%
	<i>Joint Planning</i>	7	8%
	<i>Communication/Information Sharing</i>	3	3%
	<i>Standardization/Interoperability</i>	3	3%
	<i>Training & Exercise</i>	3	3%
	Incentives & Rewards Domain	27	30%
	<i>Capability Enhancement</i>	21	24%
	<i>Resource Sharing</i>	4	4%
	<i>Better off than Before</i>	1	1%
	<i>Cost Savings/Efficiency</i>	1	1%
	Purpose & Strategy Domain	6	7%
	<i>Shared Mission/Goals/Values</i>	3	3%
	<i>Strategic Understanding Gaps/Risks</i>	3	3%
	People Domain	8	9%
	<i>Commitment/Motivation</i>	4	4%
	<i>Trust</i>	4	4%
	Structure Domain	3	1%
	<i>Established Structure</i>	3	3%

Capability Enhancement and *Social Capital* continue to be the two most cited responses. *Capability Enhancement* represents those tangible items purchased with grant funding that enhanced the region's response capability. Respondents define these

as “new equipment and technology to help respond effectively using an all-hazards approach, and the ability to respond as a cohesive unit with cooperation among agencies as the norm” (5764). An example given by an emergency manager (1852) demonstrates the difference between response capabilities prior to the grant programs and capabilities after:

Interoperable communications was non-existent in 2006 when a catastrophic earthquake shut down all public safety (wireless including cell phone) communications. This critical gap was addressed in subsequent grant funded investments for 800 MHz radios and support infrastructure, training and exercise activity for all emergency responders, and ongoing working groups for support (public works) emergency responders. In 4 years, much progress has been made and [includes an] ongoing evaluation of county-wide public safety communications, [a] working group that includes Non-Governmental Organizations, such as utilities, and US Coast Guard meet regularly.”

Responses that cited the impact of *Social Capital* include the following: “significantly enhanced working relationships and collaboration across all mission areas” (3893); “the knowledge and familiarity we have with each other makes our preparedness more thorough and more likely to work” (6892); and “disciplines and many jurisdictions that have never spoken to each other now do so on a regular basis and actively seek to find common ground for solutions that are planned for, trained on, exercised, evaluated, and revised as needed” (4843).

While most responses indicated positive impacts, one emergency manager (7709) stated:

The functional groups sit together to discuss planning weaknesses and strategies to overcome them. However, every time a specialized grant funding source comes out such as LE [law enforcement] programs, NBI etc. those agencies tend to start working those projects in isolation again.

This example indicates that in some cases only those grants that require collaboration are being worked collaboratively. When given the choice to apply for grants individually, the old stovepipe method is still being used.

Responses that refer to the importance of *Coordination* include: “Localities make decisions as a region, not as individual/independent jurisdictions. Planning through ops is done as a region, leading to coordinated approaches, from EOC [Emergency Operations Center] operations to radios to PPE [Personal Protective Equipment]” (7848). Similarly, another respondent stated “No city or region is an island when it comes to disaster. Collaborative efforts to integrate emergency and disaster response has allowed us to expand focus to prevention, protection, and methods of recovery” (3416).

- Survey Question 15 and 16: (15) The work of the Urban Area Work Groups(s), which you participate, has positively impacted your organization’s preparedness. (16) If so, please describe the impact.

While survey questions 13 and 14 ask about the impact of collaboration on the respondent’s region, questions 15 and 16 address the impact on the respondent’s organization. Table 5 contains further detail on the statistical and frequency results of question 15. Interestingly, respondents did not see as much benefit to their individual organizations as they did to their region. Ninety-seven percent agree that there have been positive impacts to the region, while 91 percent agreed to the same statement when it applied to their organization. The mean ratings for these two questions are 5.5 and 5.1 respectively, indicating a statistical variation of -.4. There appears to be somewhat less certainty that individual organizations have found benefit from the collaborative process than have been realized from the region. Refer to Table 5 for a comparison of the statistical and frequency results for these two questions.

The follow-up question sheds little light on this, although the response of one emergency manager (3893), may give some indication:

I need to give a lot of time to the region and that takes away from time I need to give to my county. The regional work provides less direct payback to my county in the short term, but does/will provide longer term payback along the lines noted in item 14 above. If the region is stronger, my county will be stronger because my county can rely on the strengths and capabilities of its neighbors in a way and with a confidence that did not exist before.

As in the previous two qualitative questions, *Social Capital* (26 percent), from the **Lateral Processes** domain and *Capability Enhancement* (20 percent), from the **Reward & Incentives** domain, were the most common. *Joint Planning*, in the **Lateral Processes** domain, is the third most frequently cited answer at 13 percent. The responses that cited *Social Capital* are very similar to answers from previous questions. Respondents cite operational partnerships, better understanding of regional partnerships, and sharing best practices. A respondent from the fire service (6892) summed it up as “positive effect through association.” Responses that valued *Capability Enhancement* are also very similar to previous questions. As one respondent stated, “preparedness has increased on many fronts including planning, response, and recovery” (0770). Refer to Table 8 for additional response detail for question 16.

Respondents cited *Joint Planning* as a positive impact on their organization’s preparedness. The planning activities cited took several forms, including emergency operations planning, contingency planning, and strategic planning. The way in which coordinated planning is being used to institutionalize the collaborative process is explained by an emergency manager (7848), who stated, “In order to participate in the regional UASI activities each organization must do internal work beforehand. Plans must be revised to the common standard and new capabilities are developed as resources are funded.” This urban area is using the coordination of planning efforts as a prerequisite to participation in the grant funding. In this situation the grant funding becomes the incentive by which the coordination activity is ensured. This is not unlike what FEMA is doing by providing the grant funds with the condition that they be distributed through a coordinated regional process.

Of those respondents who disagreed about the positive impact of collaboration on their organization, two with similar perspectives stand out. [The Urban Area Working Groups have] “been a distraction, a watering down of effort to accommodate a larger group of jurisdictions” (5294). Another commented “it’s equally as likely that the UASI work has distracted us and our partners from more basic emergency management functions. Free money is never free” (2412). From the perspectives of these respondents collaboration takes time and resources and can result in

conflict between an organization's core mission and the overarching mission of the region. The effort to resolve these issues takes time and a commitment that some organizations may not be willing to dedicate.

Table 8. Qualitative Results Survey Question 16

(Q-15) The work of the Urban Area Workgroup(s), in which you participate, have positively impacted your organization's preparedness. (Q-16) If so, please describe the impact.			
Results		Responses	%
Factor	Lateral Processes Domain	36	59%
	<i>Social Capital/Relationships</i>	16	26%
	<i>Joint Planning</i>	8	13%
	<i>Training & Exercise</i>	6	10%
	<i>Coordination</i>	5	8%
	<i>Standardization/Interoperability</i>	1	2%
	Incentives & Rewards Domain	17	28%
	<i>Capability Enhancement</i>	12	20%
	<i>Better off than Before</i>	2	3%
	<i>Funding</i>	2	3%
	<i>Resource Sharing</i>	1	2%
	Purpose & Strategy Domain	4	7%
	<i>Shared Mission/Goals/Values</i>	2	3%
	<i>Strategic Understanding Gaps/Risks</i>	2	3%
	People Domain	1	2%
	<i>Trust</i>	1	2%
	Structure Domain	3	5%
	<i>Established Structure</i>	3	5%

- Survey questions 17 and 18: (17) If the Urban Area Workgroup(s) in which you participate ceased to collaborate, there would be significant impact on your region's preparedness. (18) If so, please describe the impact.

Eighty-five percent of respondents agree with this statement and it has a mean rating of 5.0. While 5.0 indicates a positive response, it is significantly less positive than the 5.7 and 5.5 ratings of questions 11 and 13. While this indicates a

somewhat less positive response, the reason for the lower rating is unclear and cannot be assumed from the data. The statistical and frequency results for question 17 are contained in Table 5.

When asked to explain the anticipated impact of the loss of regional collaboration 16 percent cited *Commitment/Motivation*, which is a factor in the **People** domain, and 15 percent cited *Coordination*, a factor in the Lateral Processes domain. Factors in the **Incentives & Reward** domain *Capability Enhancement*, and loss of *Funding* both received 11 percent of the responses. Of those expressing concern about the impact of the loss of coordination; “fragmentation of efforts” (9682) was cited, as well as concern that a lack of coordination would weaken the region’s response capability for a catastrophic event. Regarding capability enhancement, respondents were concerned that their organizations would not be able to provide the funding to maintain or improve their current level of response capability. As one respondent from the fire service (8936) stated, “the money (and now the programs implemented jointly) holds us together”; and an emergency manager (3416) stated, “federal investments [such] as UASI, MMRS, SHGP, etc. are the binding glue which draws regional partnerships to collaborate.” Further detail is contained in Table 9

Table 9. Qualitative Results Survey Question 18

(Q-17) If the Urban Area Workgroup(s) in which you participate ceased to collaborate, there would be significant impact on your region’s preparedness. (Q-18) If so, please describe the impact.			
	Results	Responses	%
Factors	Lateral Processes Domain	23	42%
	<i>Coordination</i>	8	15%
	<i>Joint Planning</i>	5	9%
	<i>Social Capital/Relationships</i>	5	9%
	<i>Communication/Information Sharing</i>	2	4%
	<i>Standardization/Interoperability</i>	2	4%
	<i>Training & Exercise</i>	1	2%
	Incentives & Rewards Domain	18	33%
	<i>Capability Enhancement</i>	6	11%

<i>Funding</i>	6	11%
<i>Cost Savings/Efficiency</i>	3	5%
<i>Resource Sharing</i>	3	5%
People Domain	9	16%
<i>Commitment/Motivation</i>	9	16%
Purpose & Strategy Domain	2	4%
<i>Shared Mission/Goals/Values</i>	1	2%
<i>Strategic Understanding Gaps/Risks</i>	1	2%
Structure Domain	3	5%
<i>Established Structure</i>	3	5%

b. Summary Results of Research Question Two

There is clear indication from the survey data that organizations do recognize the long-term benefit to cross-organizational relationships. Equally compelling is the indication that cross-organizational collaboration has positively impacted the regions surveyed. Respondents cited factors within the **Lateral Processes** domain, *Social Capital* and *Coordination*, and the **Incentives & Rewards** domain, *Cost Savings/Efficiencies* and *Capability Enhancements*, as the most beneficial outcomes of urban-area collaborative efforts. However, while still positive there seems to be somewhat less agreement that those same collaborative efforts have positively impacted the individual organizations, or that the loss of the urban-area working groups would negatively impact the regions. These findings indicate that for some urban areas there may be less commitment to regional collaboration than is needed to maintain efforts, if incentives are reduced or withdrawn.

- Research question three: How do organizations demonstrate their commitment to institutionalizing regional collaboration?

Research question three has 10 survey questions associated with it; only one is qualitative. The nine quantitative questions can be grouped into three categories, those with strong mean rating (5.0 and above), medium mean rating (4.0–4.9) and a weak mean rating (3.9 or lower). The questions will be discussed in these categories. The statistical and frequency results are depicted in Table 10.

Table 10. UASI Collaboration Survey Results—Research Question Three—Quantitative Question Results

Research Question 3: How do organizations demonstrate their commitment to institutionalizing regional collaboration?									
	Quantitative		Frequency (Percentage)						
Survey Question	Mean	Std Dev	Strongly Disagree 1	2	3	4	5	Strongly Agree 6	Unknown
19. My organization is willing to invest its own resources to accomplish cross-organizational collaboration.	4.7	1.3	4	2	9	24	30	31	0
20. My organization invests appropriate time and energy to de-conflict existing policies and procedures that impede collaboration.	4.3	1.4	4	11	8	19	38	19	2
21. Organization actively participates in cross-organizational or regional strategy development, which establishes joint goals and objectives.	5.2	.09	0	2	2	17	35	44	0
23. My organization rewards employees for investing time and energy to build collaborative relationships.	3.6	1.5	9	15	19	22	19	9	7
24. Collaborative talents and achievements are considered when people are reviewed for promotion.	3.8	1.7	13	9	15	19	20	19	6
25. My organization commits non-grant related resources for cross-organizational training.	4.3	1.4	4	9	11	21	30	23	2
26. My organization commits non-grant related resources to cross-organizational information sharing.	4.4	1.4	0	19	6	17	30	28	2
27. My organization encourages its members to take the initiative to build relationships with their counterparts in other organizations.	5.1	1.1	2	2	4	17	28	48	0
28. Members of my organization have been trained in the appropriate conflict management and team building skills needed to work effectively with other organizations.	3.4	1.4	11	17	19	28	17	6	4

- Survey questions 21 & 27: (21) My organization actively participates in cross-organizational or regional strategy development that establishes joint goals and objectives. (27) My organization encourages its members to take the initiative to build relationships with their counterparts in other organizations.

The mean ratings of question 21 (5.2) and 27 (5.1) are significantly stronger than those of the other questions in this section, indicating a much more positive response to these questions. This response is an indication that nationally, joint strategy development and relationship building is occurring consistently in Urban Area Working Groups.

- Survey questions 19, 20, 25, and 26: (19) My organization is willing to invest its own resources to accomplish cross-organizational collaboration. (20) My organization invests appropriate time and energy to de-conflict existing policies and procedures that impede collaboration. (25) My organization commits non-grant related resources for cross-organizational training. (26) My organization commits non-grant related resources to cross-organizational information sharing.

The mean ratings for these questions show less positive response than the questions above. Interestingly all four of these questions address resource commitment. The most positive in this set is question 19, with a mean rating of 4.7. The other three questions are significantly lower with the rating for question 20 as 4.3, and the ratings for questions 25 and 26 are 4.3 and 4.4. There is no statistical difference in the mean ratings for these three questions. For all the questions it can be said that there is a somewhat positive, though not overwhelmingly positive indication of commitment of non-grant related resources to collaboration; commitment to de-conflict cross-jurisdictional policies and procedures; as well as for cross-organizational training and information sharing. These questions were intended to measure the organizational commitment to regional collaboration by determining whether organizations are willing to commit their own resources to the effort. As might be expected, there is no clear consensus nationally. It is evident that some organizations are making that commitment, and others are not.

- Survey questions 22: My organization supports regional collaboration through participation in the following:

This qualitative question asked respondents to identify what collaborative activities their organization routinely participates in. There was overwhelming agreement that organizations are actively participating in regional planning (98 percent), cross-organizational training (89 percent), regional exercises (94 percent), mutual aid agreements (91 percent), and information sharing (91 percent). Respondents also added equipment standardization and acquisition, committee work, administrative and fiscal support, legislative issues, and critical infrastructure protection. These are all activities that can help support and institutionalize collaboration.

- Survey question 23, 24, and 28: (23) My organization rewards employees for investing time and energy to build collaborative relationships. Collaborative talents and achievements are considered when people are reviewed for promotion. (24) Collaborative talents and achievements are considered when people are reviewed for promotion. (28) Members of my organization have been trained in the appropriate conflict management and team building skills needed to work effectively with other organizations.

These three questions have the lowest mean ratings, 3.9 or less, of all the questions in this section. Question 23 has a rating of 3.6, question 24 has a rating of 3.8, and question 28 has a rating of 3.4. The indication is that the lowest levels of institutionalizing commitment to collaborate are in rewarding staff for successful involvement in collaborative relationships, training in conflict management, and training in team building skills, all of which would facilitate the building of social capital.

c. Summary Results of Research Question Three

In summary, findings on how organizations are institutionalizing collaboration are inconsistent. While most organizations are participating in cross-training, exercising, information sharing, and planning, many are not committing organizational resources to the activities. Findings indicate that organizations are committed to regional strategy development and relationship building. However, they are not rewarding participants for their success in these areas or training them in appropriate team building and conflict management skills. Given these results it is unclear if, even given the strong commitment to regional planning and relationship building, these activities would continue without the grant funding to support them.

- Research question four: Will the collaborative relationships created through the UASI Grant Program be maintained when incentives are removed?

This question has two quantitative survey questions and four qualitative survey questions. Refer to 11 for statistical and frequency data for this research question.

Table 11. UASI Collaboration Survey Results—Research Question Four—Quantitative Question Results

Research Question 4: How will the collaborative relationships created thru the UASI Grant Program be maintained when incentives/requirements are removed?									
	Quantitative		Frequency (Percentage)						
Survey Question	Mean	Std Dev	Strongly Disagree 1	2	3	4	5	Strongly Agree 6	Unknown
29. If the UASI grant requirements were removed, or the funding stopped, the other organizations in your urban area would continue to collaborate in some form or another.	4.3	1.2	2	7	14	23	39	11	5
32. Your organization's commitment to sustain cross-organizational relationships would continue if the UASI grant requirements were removed or the funding ceased.	4.5	1.5	7	7	7	13	36	27	4

- Survey questions 29–31: (29) If the UASI grant requirements were removed, or the funding stopped, the other organizations in your urban area would continue to collaborate in some form or another. (30) If you agree, what are the top three reasons that would motivate organizations to continue to collaborate? (31) If you disagree, what are the top three reasons that would cause organizations to stop collaborating?

Question 29 has a mean rating of 4.3, indicating weak agreement about whether or not organizations will continue to participate in Urban Area Working Groups if requirements are removed. Seventy-three percent agreed (only 11 percent strongly), 23 percent disagreed, and five percent did not know. The follow-up questions (30 and 31) asked respondents to list the significant reasons that organizations would continue to participate in regional collaboration and the significant reasons that they would not. The responses cited as motivators for collaboration fell into three domains; **Purpose & Strategy** (43 percent), **Lateral Processes** (29 percent), and **Incentives & Rewards** (25 percent). Refer to Table 11 for full detail. Social Capital is the most cited factor at 23 percent. Respondents cited motivators that include:

- Continued good relationships, regional partnerships already in place (3244);
- Have established that habit by UASI collaboration (2264);
- Need to maintain relationships (4843);
- They have seen the benefit of knowing the other people that they will meet at an event. (9339).

Three other factors that received significant response are from the **Purpose & Strategy** domain: *Shared Mission/Goals/Values* (17 percent), *Strategic Understanding of Gaps/Risk* (13 percent), and *Success & Results* (13 percent). Individual responses are characterized by recognition that partner organizations share a core mission and value system that gives them common goals that can most effectively be achieved jointly. Respondents recognize that due to shared risks and the potential scale of catastrophic events, no one organization can manage without the help and support from larger partnerships. Lastly, respondents also value the positive impacts, benefits, and

successful operations that result from collaborative partnerships. Having experienced the benefits of collaboration there is an interest in building upon the results to realize further success.

It is interesting to note, that other than *Social Capital*, which has been the common denominator throughout these research findings, the factors listed as motivators have not received significant attention in prior questions. In this case factors in the **Purpose & Strategy** domain are cited as key motivators, though they were not cited as significant benefits. Conversely, factors in the **Incentives & Rewards** domain, were consistently cited as key benefits to collaboration in prior questions, but are not cited as key motivators in this research question. This indicates that a significant motivator for regional collaboration is the powerful need within the response community to fulfill their core mission, which is to effectively respond to the needs of their community in times of emergency and disaster. Table 12 depicts the detailed qualitative results for question 30.

Table 12. Qualitative Results Survey Question 30

Q-29) If the UASI grant requirements were removed, or the funding stopped, the other organizations in your urban area would continue to collaborate in some form or another. (Q-30) If you agree, what are the top 3 reasons that would motivate organizations to continue to collaborate?			
Results		Responses	%
Factors	Purpose & Strategy Domain	30	43%
	<i>Shared Mission/Goals/Values</i>	12	17%
	<i>Strategic Understanding Gaps/Risks</i>	9	13%
	<i>Success & Results</i>	9	13%
	Lateral Processes Domain	20	29%
	<i>Social Capital/Relationships</i>	16	23%
	<i>Communication/Information Sharing</i>	2	3%
	<i>Coordination</i>	1	1%
	<i>Joint Planning</i>	1	1%
	Incentives & Rewards Domain	17	25%
	<i>Cost Savings/Efficiency</i>	6	9%
	<i>Funding</i>	5	7%
	<i>Resource Sharing</i>	5	7%
	<i>Capability Enhancement</i>	1	1%
	Structure Domain	2	3%
	<i>Established Structure</i>	2	3%

A second follow-up question asked respondents to list reasons that would cause organizations to stop collaborating. There is a theme that develops when the four most cited factors are viewed as a whole, *Funding* (41 percent) from the **Incentives & Rewards** domain, *Commitment/Motivation* (28 percent) from the **People** domain, *External Forces* (13 percent) from the **Purpose & Strategy** domain, and also with 13 percent *Established Structure* from the **Structure** domain. Each of these has as its core a lack of commitment by organizations to invest in regional collaboration. A respondent who cited funding as a de-motivating factor stated, “for those that would stop, it would be about the loss of the money and the amount of time to collaborate regularly (3893). Another respondent put it more succinctly, “no money to bring people to the table, no

money non interest” (5294). While this may seem mercenary, the reality of the situation is that collaborative activities are personnel intensive. If there is no funding for the personnel, then the activities must be curtailed accordingly. As one emergency manager (7709) stated, “loss of personnel is making it harder to support the man hours needed to effectively collaborate and follow-up.” The loss of funding described here will require organizational leadership to fully support the financial costs of regional collaboration. Critical to this is the commitment of staff time and a willingness to occasionally choose what is best for the region instead of what is best for their organization. This is a difficult decision for leadership to make; as they do not answer to the region, but to their individual elected officials, populace, and constituents. The reality of this is reflected in responses that cite external forces as a reason for the end of collaboration. Respondents cited politics as an external force that acts as a barrier to collaboration, as well as individuals in key leadership positions that “thwart cross-organizational efforts” (5284). Some responses indicate that the decline would be caused by a lack of commitment:

- “Not worth the effort (8936);
- Unwillingness to work together for a common goal (7600);
- No commitment to the process (0777);
- Lack of initiative to participate (7295).

As a whole, these responses indicate that a decline in collaboration would most likely result from a lack of interest, motivation, political will, and budget constraints. Refer to Table 13 for additional details.

Table 13. Qualitative Results Survey Question 31

(Q-29) If the UASI grant requirements were removed, or the funding stopped, the other organizations in your urban area would continue to collaborate in some form or another. (Q-31) If you disagree, what are the top 3 reasons that would cause organizations to stop collaborating?			
Results		Responses	%
Factors	Incentives & Rewards Domain	13	41%
	<i>Funding</i>	13	41%
	People Domain	9	28%
	<i>Commitment/Motivation</i>	9	28%
	Purpose & Strategy Domain	5	16%
	<i>External Forces</i>	4	13%
	<i>Lack of Need</i>	1	3%
	Structure Domain	4	13%
	<i>Established Structure</i>	4	13%
	Lateral Processes Domain	1	3%
	<i>Social Capital/Relationships</i>	1	3%

- Survey questions 32 and 33: (32) Your organization's commitment to sustain cross-organizational relationships would continue if the UASI grant requirements were removed or the funding ceased. (33) Please explain what form this commitment would take.

The mean rating for this question is 4.5. Seventy-five percent of respondents believe their organizations will continue to collaborate if grant requirements are removed, 21 percent believe they will, and four percent do not know. Interestingly, of the 21 percent one-third are from fire service, one-third are from emergency management, and the last third is represented by law enforcement and public health. Table 11 depicts the complete statistical and frequency results for this question. When asked what form their commitment would take most responses cited *Support the Established Structure* (37 percent) in the **Structure** domain, and *Social Capital* (21 percent) in the **Lateral Processes** domain. Responses characterized by the *Social Capital* factor expressed the intent to continue to develop and support the relationships

built through the work of the Urban Area Working Groups. Representative responses that explain how organizations would demonstrate their support of the established regional structure include:

- Signing an intergovernmental agreement to create a regional emergency preparedness coordination organization and contributing time at the elected, executive and technical levels to make it work” (3893);
- Continuing to lead the effort to plan and prepare from a regional perspective utilizing local and state sponsored workgroups” (3992);
- Many of the groups and efforts would continue and my agency would continue to take a leadership role in these efforts. We have staff who are 100% dedicated to regional collaboration” (7848).

Representative responses that support building social capital include:

- “Continue to meet regularly, develop collaborative planning, training and exercises” (8474);
- “Would continue to meet with our partners in other agencies for homeland security and other mutual concerns” (2264).

Refer to Table 14 for the full qualitative results for this question.

An interesting difference emerges when qualitative questions 30 and 33 are compared. Respondents cite *Social Capital*, *Shared Mission/Goals/Values*, *Strategic Understanding of Gaps/Risks*, and *Success & Results* as motivators for their partner organizations to continue to collaborate. However, they cite *Social Capital*, and *Support the Established Structure* when asked the same question about their organization. This indicates that respondents perceive their reasons for collaborating as different from their partners.

Table 14. Qualitative Results Survey Question 33

(Q-32) Your organization's commitment to sustain cross-organizational relationships would continue if the UASI grant requirements were removed or the funding ceased. (Q-33) Please explain what form this commitment would take.			
Results		Responses	%
Factors	Lateral Processes Domain	16	42%
	<i>Social Capital/Relationships</i>	8	21%
	<i>Coordination</i>	3	8%
	<i>Training & Exercise</i>	3	8%
	<i>Joint Planning</i>	2	5%
	Structure Domain	14	37%
	<i>Support the Established Structure</i>	14	37%
	Incentives & Rewards Domain	5	13%
	<i>Resource Sharing</i>	5	13%
	Purpose & Strategy Domain	3	8%
	<i>Shared Mission/Goals/Values</i>	3	8%

- Survey question 34: Please explain what challenges your organization might experience maintaining cross-organizational collaboration.

Loss of *Funding* (43 percent), in the **Incentives & Rewards** Domain, to support the collaborative efforts is clearly of primary concern to respondents, as is the influence of *External Forces* (32 percent) from the **Purpose & Strategy** domain; and the loss of *Coordination* (16 percent) from the Lateral Processes domain. Refer to Table 15 for additional details. There is some consensus among those who cited the factor *Funding*, that collaboration takes a great deal of staff time. Funding to maintain staffing is critical; whether it comes from grant funding or organizational resources. Without funding to support staff positions, it would be difficult to maintain the relationships that are the foundation of the collaborative efforts. One respondent explained it this way, “There is a significant amount of time invested in attending meetings, trainings, etc. that are run by UASI & MMRS [Metropolitan Medical Response System] staff. Should those staff go away, I don’t believe that anyone would step up to the plate to organize those meetings” (9339).

Respondents voiced concern about the potentially negative impact of forces external to the working groups. They identified the external forces as both individuals and agendas incompatible with regional collaboration. These include the lack of political will to continue, politicians and organizational leadership who through lack of experience or commitment are uncommitted to the regional process. One respondent noted, “changes in leadership which have not experienced benefits or had an appreciation of the bigger picture that collaboration and the UASI environment has allowed.” (2624). These and other responses make it clear that regional collaboration is not only dependent on the commitment of the working group members, but also on the commitment of organizational leadership and elected officials.

Table 15. Qualitative Results Survey Question 34

(Q-34) Please explain what challenges your organization might experience maintaining cross-organizational collaboration.			
Results		Responses	%
Factors	Incentives & Rewards Domain	21	43%
	<i>Funding</i>	21	43%
	Purpose & Strategy Domain	17	35%
	<i>External Forces</i>	12	24%
	<i>Shared Purpose</i>	5	10%
	Lateral Processes Domain	9	18%
	<i>Coordination</i>	6	12%
	<i>Social Capital</i>	3	6%
	People Domain	2	4%
	<i>Commitment/Motivation</i>	2	4%

d. Summary Results of Research Question Four

The survey results for this research question do not definitively find that the collaborative work of Urban Area Working Groups would continue if the grant requirements were removed. It is clear that some organizations have institutionalized the collaborative process, however some have not. There is no clear consensus on this,

indicating that the nation’s urban areas are in different stages of accepting and institutionalizing regional collaboration. Some may continue to develop absent the grant requirements and it is likely some would fold altogether.

- Research question five: Have organizations that work together to fulfill grant requirements developed an organizational culture that values collaboration?

This research question seeks to determine whether regional collaboration has become a cultural norm within the emergency response community. Seven quantitative questions and one qualitative question correspond to this research question. The qualitative question (question 40) does not specifically address collaboration, so does not fit into the ICC model. Responses will be discussed in this section, but not as factors that can be tied to an ICC domain. Table 16 depicts the complete statistical and frequency results for the seven questions.

Table 16. UASI Collaboration Survey Results—Research Question Five—Quantitative Question Results

Research Question 5: Have organizations that work together to fulfill grant requirements developed an organizational culture that values collaboration?									
	Quantitative		Frequency (Percentage)						
Survey Question	Mean	Std Dev	Strongly Disagree 1	2	3	4	5	Strongly Agree 6	Unknown
35: Members of my organization know who to contact in other organizations for information, collaboration, and/or decisions.	5.1	1.1	0	2	9	11	29	49	0
36: Members of my organization respect the expertise of those in other organizations with whom they work.	5.1	1.1	0	7	2	13	31	47	0
37: Members of my organization recognize a shared mission with partner organizations.	5.1	.9	0	0	4	20	38	38	0
38: The culture within my organization does not	2.2	1.4	40	33	11	4	7	4	0

recognize the benefit to collaboration with other organizations.									
39: A history of competition and conflict impacts cross-organizational collaboration.	3.9	1.8	11	18	11	16	13	29	2
41: Individuals within my organization have had negative experiences with their counterparts in other organizations, which impacts their willingness to collaborate.	3.5	1.5	9	24	11	20	31	2	2
42: My organization is in competition with partner organizations for resources and/or control, which lessens the effectiveness of collaborative relationships.	3.3	1.7	16	25	16	16	14	14	0

- Survey questions 35–37: (35) Members of my organization know who to contact in other organizations for information, collaboration, and/or decisions. (36) Members of my organization respect the expertise of those in other organizations with whom they work. (37) Members of my organization recognize a shared mission with partner organizations

The mean rating for all three of these questions is 5.1. No one strongly disagreed with these statements and the frequency value of the three questions is fairly consistent, indicating consensus that respondents are involved in positive productive interaction with partner organizations.

- Survey questions 38–42: (38) The culture within my organization does not recognize the benefit of collaboration with other organizations. (39) A history of competition and conflict impacts cross-organizational collaboration. (40) If so, how? (41) Individuals within my organization have had negative experiences with their counterparts in other organizations which impacts their willingness to collaborate. (42) My organization is in competition with partner organizations for resources and/or control, which lessens the effectiveness of collaborative relationships.

Unlike other questions in this survey, questions 38–42 are designed to validate the positive responses of prior questions. In this case a low mean rating indicates a positive response, whereas in prior questions a low mean rating indicated a negative response. The mean rating for question 38 is 2.2 on a scale of one (strongly agree) to six (strongly disagree), which indicates a fairly high level of agreement that the respondents' organizational culture recognizes the benefits of cross-organizational collaboration.

Question 39 about the history of conflict and competition between organizations had a mean rating of 3.9 and a standard deviation of 1.8. Almost 60 percent agree that there has been some negative history between partner organizations. Some insight into this history can be gained by the follow-up question which asked respondents to qualify the impact.

- Lack of a coherent regional authority to assist in mitigating the agency versus agency posturing that can occur (2624);
- There is history of competition among disciplines in funding decisions as well as some jurisdictional (2455);
- Used to be - no longer is so (3251);
- Mentality of winner/loser where money dictates success (7377);
- Too many egos and different agendas get in the way [of] allowing a good working relationship (5284);
- There still remains some stove-piped attitudes, particularly between fire and law enforcement (8474).

Based on these responses, it is clear that there is still some work to be done to break down the stove pipes that pre-existed the push for regional collaboration. However, it is unlikely that, given the reality of competition between disciplines, we will ever have complete success in this area. The mean ratings for questions 41 and 42 are 3.5 and 3.3 respectively. When asked about negative experiences with regional partners only two percent strongly agreed that they had experienced any.

e. Summary Results of Research Question Five

The survey questions for research question five were designed to measure both the positive and negative experiences of respondents with the collaborative process. Given the fairly strong response of respondents in questions 35 through 37, it is clear that there is positive communication and interaction between regional partners. There is clearly some negative interaction as well, but it doesn't appear to be overshadowing the positive.

- Research question six: Which factors impact the success or failure of collaboration within UASI Working Groups?

Research question six has two qualitative questions, and no quantitative questions.

- Survey question 43: Please list in order of significance 3 to 4 key factors that have made cross-organizational efforts successful.

Responses to this question are consistent with the answers to survey Question 31. *Social Capital* (18 percent), from the **Lateral Processes** domain has consistently been cited as both a benefit and a motivating factor to collaboration. However, as in question 31, *Shared Mission/Goals/Values* (23 percent), from the **Purpose & Strategy** domain, is the most cited answer here. *Established Structure* (13 percent), from the **Structure** domain ranks third, which was also of high importance in question 33. As found in other survey results respondents put a great deal of importance on the interdependencies of organizations, demonstrated through a shared mission, goals, and value systems. This is articulated by one emergency manager who expressed the importance of, “understanding that we can accomplish more if we work together than if we try and do everything on our own” (7848).

The importance of building social capital has been a common theme throughout this survey. One law enforcement professional cited the benefit of established relationships as, “[a] non-threatening meeting environment to discuss current issues, learning common issues, [and] working together to find common solutions” (4843). The other key element articulated by respondents is the importance of established regional

structures that are supported by “strong forward thinking regional leadership” (2624). Refer to Table 17 for complete detail on the qualitative results to question 43.

Table 17. Qualitative Results Survey Question 43

(Q-43) Please list, in order of significance, 3-4 key factors that have made cross-organizational efforts successful.			
Results		Responses	%
Factors	Purpose & Strategy Domain	24	29%
	<i>Shared Mission/Goals/Values</i>	19	23%
	<i>Strategic Understanding Gaps/Risks</i>	5	6%
	Lateral Processes Domain	23	28%
	<i>Social Capital/Relationships</i>	15	18%
	<i>Joint Planning</i>	4	5%
	<i>Communication/Information Sharing</i>	2	2%
	<i>Training & Exercise</i>	2	2%
	Incentives & Rewards Domain	14	17%
	<i>Funding</i>	8	10%
	<i>Resource Sharing</i>	3	4%
	<i>Cost Savings/Efficiency</i>	2	2%
	<i>Requirements</i>	1	1%
	Structure Domain	11	13%
	<i>Established Structure</i>	11	13%
	People Domain	11	13%
	<i>Commitment/Motivation</i>	8	10%
	<i>Trust</i>	3	4%

- Survey question 44: Please list in order of significance three to four key factors that have reduced or prevented cross-organizational efforts.

Interestingly, **Purpose & Strategy** domain received the highest overall rate of response, even though no individual factor received more than 11 percent of the responses. These factors are *Shared Mission/Goals/Values* (11 percent), *External Forces* (10 percent), *Inadequate Resources* (10 percent), and *Strategic Understanding Gaps/Risks* (seven percent). Refer to Table 18 for complete details.

The most cited factor is *Commitment/Motivation* (25 percent). This is the first time a factor in the **People** domain has received such a strong response from survey respondents. In previous survey questions, factors represented by this domain have not been seen as benefits or enablers of collaboration; however, here a lack of cooperation and commitment is shown as a significant barrier to achieving it. The concerns expressed by respondents include egos, in-flexibility, competition, greed, personality clashes, good ol' boy attitudes, hidden agendas, and lack of mutual respect. These are all serious issues that can derail any attempts at relationship building. These types of barriers to collaboration have significant negative impact on attempts to build social capital and relationships, which have been identified as a primary benefit to and enabler of collaboration.

The next most cited factor is *Established Structure* (15 percent) which represents those responses that cited the need for a strong, organized, and credible regional structure that individual organizations would be willing to support.

Table 18. Qualitative Results Survey Question 44

(Q-44) Please list in order of significance 3 to 4 key factors that have reduced or prevented cross-organizational efforts.			
Results		Responses	%
Factors	Purpose & Strategy Domain	27	38%
	<i>Shared Mission/Goals/Values</i>	8	11%
	<i>External Forces</i>	7	10%
	<i>Inadequate Resources</i>	7	10%
	<i>Strategic Understanding Gaps/Risks</i>	5	7%
	People Domain	19	26%
	<i>Commitment/Motivation</i>	18	25%
	<i>Trust</i>	1	1%
	Incentives & Rewards Domain	11	15%
	<i>Competition</i>	7	10%
	<i>Funding</i>	3	4%
	<i>Cost Savings/Efficiency</i>	1	1%
	Structure Domain	11	15%
	<i>Established Structure</i>	11	15%
	Lateral Processes Domain	4	6%

	<i>Communication/Information Sharing</i>	1	1%
	<i>Joint Planning</i>	1	1%
	<i>Social Capital/Relationships</i>	1	1%
	<i>Standardization/Interoperability</i>	1	1%

f. Summary Results of Research Question Six

Several key factors emerge from the results of these two questions which give insight into what respondents see as enablers and barriers to collaboration. Enablers include recognition among partner organizations of the interdependency, shared mission, and common goals. This translates into acknowledgement that jointly they can resolve complex problems that no one organization can resolve alone. Another primary enabler, repeatedly identified by respondents, is the social capital that comes from strong positive relationships built through working, training, and planning together.

In many cases, barriers to collaboration were the opposite of the enablers. These include lack of recognition of shared missions and goals; lack of acknowledgement of shared risks and problems that may be effectively resolved through joint efforts. The other key barrier cited is a lack of commitment or motivation, which can manifest themselves as conflict and competition. Conflict and competition will have a significant negative impact on the ability of partners to build social capital and relationships. If collaboration is to be successful, these are key issues that must be resolved.

D. SUMMARY

This chapter presented the quantitative and qualitative results and analysis of a 44-question survey. Chapter V will summarize the results of this research as well discuss conclusions and present recommendations for future action.

V. CONCLUSIONS AND RECOMMENDATIONS

The primary objective of this thesis was to examine the collaborative capacity of Urban Area Working Groups. Since the creation of the Department of Homeland Security, millions of dollars have been granted to state and local emergency responders with the caveat that the funds be used, in part, to support a collaborative process. These requirements stem from the department's assertion that regional collaboration is critical to achieving preparedness for catastrophic events, thus it has been designated a national priority. Receipt of grant funding has been conditioned upon the development of regional partnerships to jointly set priorities and address emergency preparedness objectives. Because these partnerships were not built on a commitment to the collaborative process, but rather to fulfill grant requirements, it is not known whether existing partnerships will be sustained if grant requirements are removed. If they do not, it is also unclear how a breakdown in the collaborative process would impact national preparedness.

In an effort to evaluate the collaborative capacity of urban areas represented by this research, six research questions were formulated. Following is a summary of the research results based on the 44-question survey distributed to members of UASI Working Groups around the country. Qualitative results from the survey were analyzed using the Interorganizational Collaborative Capacity (ICC) model developed by Hocevar et al. (2004, 2006, & 2008). The ICC model includes five domains, each with multiple factors that define specific enablers and barriers to collaboration. Domains and factors discussed in this chapter, and their relationship to each other, are represented in Figure 3.

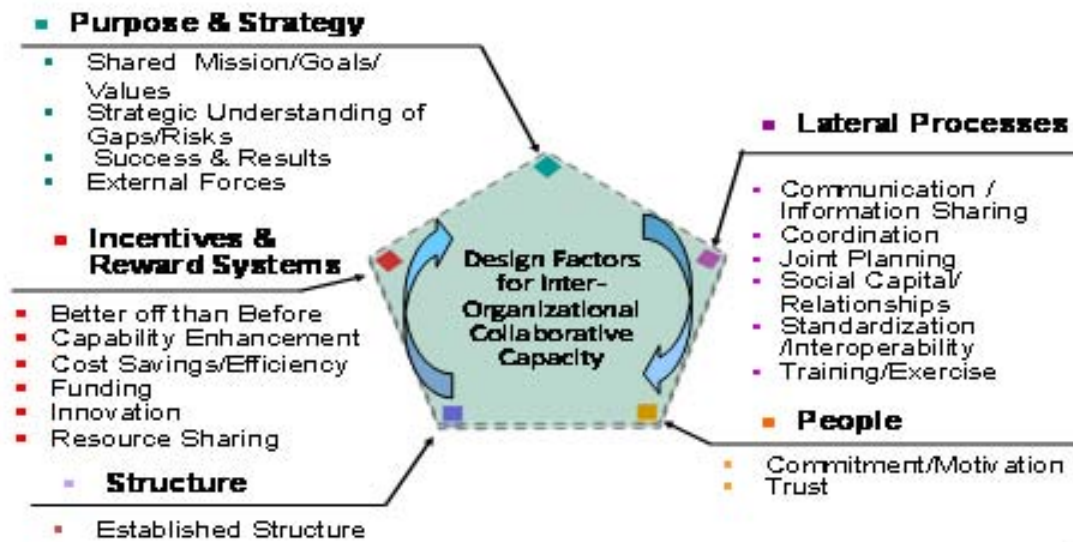


Figure 3. Adaptation of Inter-Organizational Collaborative Capacity Model
(From Hocevar, 2010)

A. SUMMARY

- Do partnerships in regional collaboration created through grant requirements see value in the collaborative process separate from the grant requirements?

There is a clear indication that participants in regional collaboration have built new partnerships within the response community. Ninety-three percent of respondents agree that collaboration is a high priority for their organization. Ninety-seven percent agree the success of their mission depends on the strength of the partnerships they have built through the collaborative process. Eighty-five percent of respondents agree that the leaders of their organization emphasize the importance of cross-organizational collaboration. While the research indicates that respondents highly value regional collaboration, how closely that is tied to the receipt of grant funds is hard to gauge. Two conclusions can be drawn from these findings. First, it is clear that many of the relationships being developed due to grant requirements are, to a large degree, new

relationships. Newer relationships may be less motivated to continue collaborating without incentives or rewards. Secondly, the sustainment of collaboration is dependent on the commitment of both the participants and organizational leadership, but most particularly leadership. If organizational leadership does not value collaboration it will most likely cease to exist without the incentive of grant requirements.

- Do organizations recognize the long-term benefit to cross-organizational relationships?

Ninety-six percent of respondents agree that there are long-term benefits to the cross-organizational relationships built through regional collaboration. Ninety-seven percent agree that the activities of their Urban Area Working Group have positively impacted their region's preparedness. Interestingly, agreement declines slightly (91 percent) when respondents are asked about the positive impact of the working groups on their individual organizations. When asked if there would be significant impact on their region's preparedness, if working groups ceased to collaborate, 85 percent thought there would be a negative impact.

It appears that organizations do recognize the long-term benefit to cross-organizational relationships. They clearly value benefits that fall into the **Lateral Processes** and **Incentives & Rewards** domain of the ICC model; specifically *Social Capital*, *Capability Enhancement*, *Cost Savings/Efficiency*, and *Joint Planning*. Respondents were concerned that a decline in collaboration could cause a loss of *Commitment/Motivation*, *Coordination*, *Capability Enhancement* and *Funding*.

- How do organizations demonstrate their commitment to institutionalizing regional collaboration?

There is strong indication that participation in joint strategy development; establishment of joint goals and objectives; and relationship building are high priorities for urban area groups. Ninety-six percent of respondents agree that their organizations are actively participating in these activities. Ninety-three percent agree that their organizations encourage them to build relationships with partner organizations. When asked how willing their organizations are to commit resources to the collaborative effort; 76 percent agree that their organization invests appropriate time and energy to de-conflict

policies and procedures; and 85 percent agree that their organization is willing to invest its own resources to accomplish cross-organizational collaboration.

Respondents were less positive when asked how their organization rewards their collaborative efforts. Only 50 percent agree that their organization rewards employees for investing in collaborative efforts; and 51 percent agree that they have been trained by their organization in appropriate conflict management and team building skills.

Overall findings on the extent to which organizations are institutionalizing collaboration are positive. The majority of organizations are participating in cross-training, exercising, information sharing, planning, and 75 percent are committing organizational resources to the activities. Findings indicate that organizations are committed to regional strategy development and relationship building. However, many are not rewarding staff for their success in these areas or training them in appropriate team building and conflict management skills. Given these results it is clear a majority of organizations are committed to cross-organizational collaboration.

- Will the collaborative relationships created through the Urban Area Security Initiative Grant Program be maintained when incentives are removed?

The survey results for this research question are encouraging. Seventy-three percent stated they believe their partner organizations will continue to collaborate if grant requirements are removed; and 75 percent agree that their own organization will. However, 21 percent of respondents believe their organization would likely not sustain their collaborative partnerships if UASI funding ended. The question of concern is, if this happened, what would be the impact on national preparedness.

As a follow-up question, respondents were asked what factors would motivate organizations to continue to collaborate. Forty-three percent of respondents cited factors in the **Purpose & Strategy** domain, 29 percent in the **Lateral Processes** Domain, and 25 percent in the **Incentives and Rewards** domain. The three factors cited most frequently by respondents were from the **Purpose & Strategy** domain: *Shared Mission/Goals/Values* (17 percent), *Strategic Understanding of Gaps/Risk* (13 percent), and *Success & Results* (13 percent). Respondents emphasized the importance of sharing a

core mission and value system; understanding their interdependence; and working together to achieve common goals. A powerful motivator for regional collaboration appears to be the strong need within the response community to fulfill their core mission, which is to effectively respond to the needs of their community in times of emergency and disaster.

Respondents recognize that due to shared risks and the potential scale of catastrophic incidents, no one organization can manage without the help and support from larger partnerships. Lastly, respondents also value the positive impacts, benefits, and successful operations that result from collaborative partnerships. Having experienced the benefits of collaboration there is an interest in building upon the results to realize further success.

When asked why they would stop collaborating, respondents cited *Funding* (41 percent) from the **Incentives & Rewards** domain, *Commitment/ Motivation* (28 percent) from the **People** domain, *External Forces* (13 percent) from the **Purpose & Strategy** domain, and *Established Structure* (13 percent) from the **Structure** domain. Each of these represents a lack of commitment to invest in regional collaboration. This can be a difficult commitment for leaders to make; as they do not answer to the region, but to their individual elected officials and community.

It is clear that some urban areas have made great strides in institutionalizing regional collaboration, others are working towards this goal, and still others are lagging far behind. Some of the urban areas working towards building collaborative capacity will continue to work toward that end absent grant funds and some will be less successful or fail altogether. Success towards achieving their ends lies largely in their ability to build strong healthy relationships among participants; establish a credible regional structure; and build upon shared success.

- Have organizations that worked together to fulfill grant requirements developed an organizational culture that values collaboration?

The primary aim of this question was to determine whether regional collaboration has been established within the response community as a cultural norm. The survey

questions attempted to measure this by asking respondents about their positive and negative experiences with the collaborative process. For the most part respondents rated their experiences with regional partners as positive and productive. However, 53 percent agreed that members of their organization have had negative interactions with their partner organizations. Similarly, 44 percent agreed that their organization is in competition with partner organizations for resources, to the point that it lessened the effectiveness of collaboration. It is clear from these findings that working collaboratively is still challenged by negative influences, such as competition and conflict. Where these types of interactions are prevalent, they will create barriers to effective collaboration among regional partners.

- What factors impact the success or failure of collaboration within UASI groups?

Both the research and the literature provide clear evidence that unless key factors are present in group dynamics the group will be unlikely to achieve or sustain collaborative efforts.

1. Contributing Factors for Successful Collaboration

Interestingly, the factors that emerge from the research as significant are consistent with those cited in the literature review. They fall into three domains, **Lateral Processes** (*Social Capital*), **Purpose & Strategy** (*Shared Vision/Goals/Mission*), and **Structure** (*Established Structure*).

a. Social Capital

Social Capital ranked highest on almost every qualitative research question and receives significant attention in the literature. It is closely tied to trust, a factor in the **People** domain. *Social Capital* can be seen as the currency that fuels collaboration. Without a significant level of trust, ability to reach consensus and recognition among stakeholders of their interdependence collaboration will not be sustained. Survey respondents illustrated these principles when they stated:

- “working together creates relationships that are more important than any actual program that may develop” (6892); and
- “strong relationships foster trust, the most effective organizational relationships are built on personal relationships and the trust built there” (9305).

The consensus in the literature is that social capital built through collaboration is a key element in its success. Berman and Werther (1996) state, “consensus-building among diverse constituents is often a prelude to attaining co-operation, commitment and strategic success” (p. 1). Vangen and Huxham (2003) state, “To create advantage, practitioners need to engage in a continuous process of nurturing the collaborative processes. One issue that appears significant in the nurturing process is trust” (p. 5); and Bertram (2008) states, “Social capital is based in relationships that develop where trust, openness and consistency between individuals or organizations exist” (p. 13).

For those organizations interested in sustaining collaboration, an investment in maintaining social capital will be a significant factor that contributes to success.

b. Shared Goals/Values/Mission

At the core of this factor is recognition among stakeholders that they have something in common that is strong enough, and important enough, that they are compelled to commit themselves to a shared effort. A survey respondent (7848) explained this as, “understanding that we can accomplish more if we work together than if we try and do everything on our own.” Collaboration requires that organizations share some of their autonomy and decision making ability with their partners. It also requires them to be adaptable to the needs and priorities of other organizations. Jansen et al. (2008) point out the importance of being willing to adapt to the interests of other organizations. Basolo (2003) argues that groups form to achieve common goals and in support of shared missions, but their commitment requires that they believe they may benefit from the collaboration. This requires participants to be open to the possibility that they will have to concede to the needs of the network over the needs of their own

organization (Thomas et al., 2006). When participants and leadership value the success that can be achieved through joint effort, it becomes a strong motivator to engage in collaborative efforts.

c. *Established Structure*

Survey respondents stressed the importance a strong regional structure plays in the success of collaborative groups. One respondent (2624) cited the importance of, “strong, forward thinking regional leadership.” The scope of this factor is broader though and as defined by Thomas et al. (2008), includes formalized processes, formalized roles and responsibilities of partners, governance structures, rules, policies, and committee structures. As stated in the literature review Huxham and Vangen (2000) state that structure plays an important role in the success of collaboration because it determines who influences the shaping of the organization’s agenda, who has the power to act, how resources are managed, and how the partnership will be shaped and implemented.

This factor is the foundation that institutionalizes collaboration. Though structure and rules cannot succeed on their own, they can be a support to facilitate the building of social capital, and create a forum where shared values and goals can be expressed, explored and achieved as a collective.

When all these factors come together as a whole or in some mix, the result is collaborative advantage. As Urban Area Working Groups are successful in resolving some of the complex issues they face, they meet Huxham’s (1993) definition. They develop innovative solutions; they generate synergy; and they accomplish things as a collective that a single organization could not achieve on its own.

2. What Factors Contribute to Failed Collaboration?

As in the case with enablers of collaboration, the factors that survey respondents cite as barriers are consistent with those cited in the literature. They fall primarily into three domains; **People** (*Commitment/Motivation*), **Purpose & Strategy** (*Shared Mission/Goals/Values and External Forces*), and **Structure** (*Established Structure*).

a. *Commitment/Motivation*

As a barrier to collaboration, this factor may be the most significant because it counters the development of social capital within a group. Attitudes and agendas counter to the mission of the group degrade social capital and can derail relationship building. Survey respondents listed several key issues; ego, in-flexibility, power struggles, competition, personality clashes, greed, lack of mutual respect, and lack of trust. Lack of trust emerges in the research and the literature as a key contributor to the absence of commitment and motivation. Kapucu's (2005) believes that effective emergency response and recovery requires well-coordinated interorganizational networks and trust between government agencies. Cullen, Johnson, & Sakano, (2000) conclude that successful alliances are dependent on the development and management of relationships through trust building.

b. *Lack of Established Structure*

This factor emphasizes the importance of establishing and institutionalizing systems and processes that participants can agree upon and support. These may become formalized relationships through memorandums of understanding, charters, or formalized governance structures. They may also be less formal, but they must be credible in the eyes of the participants. Organizational structures that appear to favor one group over another are disorganized, or do not share power and responsibility may be seen by members as lacking credibility. Members who do not feel they are being treated fairly, are not sharing in the benefits of the collaboration, or believe the organization lacks credibility, will eventually cease to participate when given the choice.

c. *Lack of Shared Goals/Values/Mission*

Collaboration will not be sustained without recognition of a common purpose to bring participants together and an acceptance of the interdependence of partner organizations. As stated by one survey respondent (2624), the UASI program is

currently the vehicle, or carrot, that brings participants to the table, gives them an opportunity to experience the benefits of collaboration and potentially provide a platform for its institutionalization.

The UASI grant program and requisite organizational structure provide an effective platform for forward thinking CEOs to succeed in this challenging area of cross organizational collaboration. Institutionalizing cross-organizational thinking will take time and the UASI organizational structure is a key impetus for this process. (2624)

This issue is closely tied to *External Forces* (**Purpose & Strategy** domain). While it ranked somewhat lower in importance with respondents it is so closely tied to this factor, it has been included for purposes of discussion.

d. *External Forces*

Respondents who were concerned about the impact of external forces on collaboration cited politics and uncommitted leadership as the primary issues. Organizational leadership that is not committed to regional collaboration can hamper its success by withdrawing resources and staff; effectively killing or crippling it. One survey respondent (2624) suggested that there needed to be an education process for local elected officials explaining the regional needs, emphasizing successes, and seeking their participation in setting regional goals and objectives.

Issues facing our emergency response community are complex and challenging and are not limited to any one organization. Because of their complexity some issues most naturally sit within the “interorganizational domain and cannot be tackled by one organization alone” (Huxham & Vangen, 2000, p. 1159). To meet the challenges these complex issues present, there must exist a culture that is accepting and conducive to shared power, shared ideas, and shared success. Success hinges on a willingness to concede to the needs of the group over the needs of the individual organization (Thomas et al., 2006). These are commitments that cannot be made only by the participants. They require commitment from organizational leadership as well. Conceding to the needs of a regional organization may be outside the realm of experience

for some organizational leaders. Understanding and accepting this reality may require a paradigm shift in their thinking. Without the recognition of shared risk and the benefits of shared effort the shift may not occur.

The presence of these factors in collaborative efforts creates what Huxham and Vangen (1993) term collaborative inertia. This inertia characterizes those groups that have not been able to establish collaborative relationships within their working groups. They are most likely merely going through the motions; meeting to fulfill grant requirements; and have made no real commitment to collaborative efforts. Groups suffering from collaborative inertia are unlikely to continue if grant requirements are lifted. Given that 50 percent of the respondents have experienced, or are experiencing, negative interactions with their partner organizations; it is clear that some Urban Area Working Groups are experiencing collaborative inertia. Without intervention these groups will the presence of these factors in collaborative efforts creates what Huxham and Vangen (1993) term collaborative inertia. This inertia characterizes those groups that have not been able to establish collaborative relationships within their working groups. They are most likely merely going through the motions; meeting to fulfill grant requirements; and have made no real commitment to collaborative efforts. Groups suffering from collaborative inertia are unlikely to continue if grant requirements are lifted.

Findings indicate that respondents' organizations put a high value on collaboration; and that organizational leadership encourages staff to work cross-organizationally. However, there is less indication that organizations are using their own resources to support it, or how committed organizations will be if funding is reduced or stops altogether.

Several key factors emerge from the research that give insight into what respondents see as enablers and barriers to collaboration. Enablers include recognition among partner organizations of their interdependence, shared mission, and common goals. There is recognition that complex problems can most effectively be resolved through partnerships with those that share the problems and are just as invested in resolution. Another critical factor is the social capital that comes from strong positive

relationships built through working, training, planning and responding to incidents together. In many cases, barriers to collaboration were the opposite of the enablers. These include lack of recognition of shared missions and goals; and the lack of acknowledgement that organizations share a common risk or threat. Another key barrier cited is a lack of commitment or motivation, which can manifest itself as conflict and competition. Conflict and competition will have a significant negative impact on the ability of partners to build social capital. If collaboration is to be successful these enablers of and barriers to collaboration should be considered.

B. CONCLUSION

In the aftermath of catastrophic incidents that have stressed emergency response capabilities there is a growing national awareness that risks and threats exist that are complex, wide reaching, and will require a response effort that crosses jurisdictional boundaries. Response to these incidents will require a coordinated regional response effort that did not exist in many areas prior to 9/11. In an effort to build a regional response capability, as well as the collaborative regional infrastructure to support it, DHS has committed grant funding to the emergency response community. The purpose of this study has been to further the national dialogue about regional collaboration and its dependence on federal grants, as well as gauge the success of groups created due to grant requirements.

The research for this thesis indicates that significant progress has been made toward institutionalizing regional collaboration. It is clear that some Urban Area Working Groups have achieved success in institutionalizing collaboration. Many have established partnerships with new organizations and response disciplines. Respondents felt strongly that there have been long term benefits to collaboration and that the effort has positively impacted both their region and their own organization.

When respondents were asked what would cause their groups to stop collaborating, 41 percent said funding and 28 percent said commitment and motivation. These two are very closely tied, as the loss of funding will test the commitment and motivation of participants and their leadership. The loss of funding will require

organizations to fully support the financial cost of regional collaboration. Collaboration does not occur without the commitment of participant time. The choice between allocating staff time to meet organizational goals and objectives or the region's can be a difficult one. Even when leadership is committed to regional priorities, they must justify themselves to elected officials and the community. Continued participation in regional collaboration, absent the grant funding and requirements, will require the full commitment of participants, organizational leadership, elected officials, and the community at large.

It is clear that for success to be realized key factors must be in place. These factors include recognition of the partner organization's interdependence, common mission and goals; commitment of organizational leaders and policy makers; an investment in building social capital; and a credible and organized structure. As well, the role of organizational leadership is critical to success. The most difficult factor to achieve, but the most critical to success, is a willingness to share power, ideas, and success. When these factors are not present the likelihood of successful collaboration diminishes considerably.

In summary, several conclusions can be made. Respondents overwhelmingly agreed that cross-organizational collaboration was a high priority for them; it was critical to the success of their organization's mission; and that there would be long term-positive benefits and impacts from their collaborative efforts. While respondents highly valued collaboration, they support it with their own resources to a lesser degree. This indicates that while they support it in concept, many are not currently contributing funding to it. It cannot be conclusively stated that organizations will dedicate their own resources to the effort if there are no federal funds to support it; however, 76 percent of respondents stated that they would continue to collaborate if federal funding stopped. In light of this statistic and the high value placed on collaboration, it can be deduced that at least some value it enough to commit their own resources to sustain it.

A great deal of progress has been made nationally in developing a culture of collaboration among emergency responders; however, while some groups are leading others are lagging. It is clear that there are some Urban Area Working Groups that are

merely going through the motions of collaboration to fulfill grant requirements. However, research results indicate that these groups are not in the majority. Many other working groups are striving towards success; however, they need continued support to enable them to institutionalize a commitment to collaboration. There are also many working groups that have been highly successful at institutionalizing regional collaboration and will continue to build on that success. These regions are committing time and resources to the effort and are highly motivated to build on their success.

C. RECOMMENDATIONS

The findings and conclusions of this research prompt several recommendations.

1. Develop Robust Regional Planning Initiatives

First and foremost, organizations that are interested in sustaining their collaborative efforts should consider developing robust regional planning initiatives. Planning efforts can focus resources regionally as well as address gaps in training and exercise that will strengthen on-going and future collaborative efforts. Acceptance of the region's strategic plan should be a condition of participation in all urban area activities; including resource sharing and training and exercise programs. Planning meetings, joint training and regional exercises will facilitate team building, strengthen relationships. Finding opportunities to work together will build social capital, which is critical to sustaining collaboration.

2. Press for Leadership Commitment

The sustainment of any collaborative effort is dependent on the commitment of leadership to support it. No collaborative effort will be sustained without their commitment. Leaders should be briefed often on the successes and challenges facing the region and invited to contribute to solutions. Their role in the success of regional collaboration cannot be under-stated.

3. Encourage Assessment of Collaborative Capacity

It is very difficult for regional leaders to address weaknesses within their urban area unless they recognize they exist. It may be important for individual urban areas to develop simple tools, surveys, or questionnaires to measure the collaborative capacity of their group. By so doing, they can address any areas of concern before they become a stumbling block to the success of their mission.

4. Additional Research Suggestions

The results of this research prompt several suggestions for additional research.

- The question that this research does not address, but that is the logical next step is: What would be the impact on national preparedness, if Urban Area Working Groups stop collaborating?
- A case study of an urban area(s) that has achieved collaborative advantage could provide a model for other groups working towards that goal.
- What tools to measure collaborative capacity would be most useful and effective for Urban Area Working Groups?

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APPENDIX A. SURVEY INVITATION AND INSTRUCTIONS

Email Sent to the UASI Discussion Board April 7, 2010

From: Jardine, Sheryl (EMD)
Sent: Wed 4/7/2010 5:59 PM
To: steve@allhands.net; Uasi-discusion@urbanareas.org
Subject: UASI Collaboration Study

As a graduate student at the Naval Postgraduate School, and a partner in the Seattle Urban Area, I am doing thesis research on collaboration as it impacts national preparedness. Specifically, the success or failure of collaborative groups created as a result of the UASI Grant Program. As part of my research I am conducting a survey to answer several questions:

1. Do groups created due to grant requirements see value in the collaborative process separate from the grant requirements?
2. Do organizations recognize the long-term benefit to these cross-organizational relationships?
3. How do organizations demonstrate the value they have experienced in the collaborative process?
4. Will the collaborative relationships created thru the UASI Grant Program be maintained when requirements/incentives are removed?
5. Have organizations that work together to fulfill grant requirements developed an organizational culture that values collaboration?
6. What factors impact the success or failure of collaboration within the UASI groups?

If you are involved in some way in the UASI program, your participation in this survey would be very much appreciated. The survey is blind; your participation is entirely voluntary; and other than the response discipline you represent, no personal identifying information will be asked for.

Below is a link to the survey, which should take less than 30 minutes to complete. The survey will be up for two weeks only, from April 7th–21st.

The survey will be followed-up by a Focus Group of 8-10 people to review the results. The Focus Group will meet once in mid May, by conference call, to conduct the review. If you have interest in participating in the Focus Group please let me know directly by email.

Due to the academic nature of this study, it is required that I advise you of the following.
Voluntary Nature of the Study: Your participation in this survey is strictly voluntary. If you choose to participate you can change your mind at any time and withdraw from the study. You will not be penalized in any way or lose any benefits to which you would otherwise be entitled if you choose not to participate in this study or to withdraw.

Potential Risks and Discomforts: There are no risks or discomforts associated with this research, greater than those encountered in everyday life.

Anticipated Benefits: You will not directly benefit from your participation in this research.

Compensation for Participation: No compensation will be given for participation in this study

Confidentiality & Privacy Act: Any information that is obtained during this study will be kept confidential to the full extent permitted by law. The survey is anonymous.

Points of Contact: If you have any questions or comments about the research, or you experience an injury or have questions about any discomforts that you experience while taking part in this study please contact the researcher Sheryl Jardine, 253-512-7071, S.Jardine@emd.wa.gov or Principal Investigator, Dr. David Tucker (831) 656-3754, dtucker@nps.edu. Questions about your rights as a research subject or any other concerns may be addressed to the Navy Postgraduate School IRB Chair, Dr. Angela O'Dea, 831-656-3966, alodea@nps.edu.

Statement of Consent: I have read the information provided above. I have been given the opportunity to ask questions and all the questions have been answered to my satisfaction. I understand that by agreeing to participate in this research, I do not waive any of my legal rights.

Participation in the survey will indicate your consent.

Click on this link, or copy and paste it into your browser to access the survey.

<http://www.zoomerang.com/Survey/WEB22AFJ28ADAR>

Sheryl Jardine
Washington State Emergency Management
s.jardine@emd.wa.gov
253-512-7071

Follow-up E-mail Sent to the UASI Discussion Board April 22, 2010

From: Jardine, Sheryl (EMD)

Sent: Thursday 4/22/2010 1:20 PM

To: steve@allhands.net; Uasi-discusion@urbanareas.org

Subject: FW: UASI Collaboration Study

Thanks to all of you that participated in my UASI Collaboration Study Zoomerang Survey. I appreciate your contribution to this research. I am going to leave the survey open for another week for those of you who didn't have an opportunity to participate.

The purpose of this thesis is to look at collaboration as it impacts national preparedness. Specifically, the success or failure of collaborative groups created as a result of the UASI Grant Program. This research will be used in a thesis I am writing for my Masters Studies at the Naval Postgraduate School. As experts in emergency response and participants in the UASI Program I am asking for your valuable perspective on this issue.

Click on this link, or copy and paste it into your browser, to access the survey.
<http://www.zoomerang.com/Survey/WEB22AFJ8ADAR>

Thank you for your help with this.

Sheryl Jardine
Washington State Emergency Management
s.jardine@emd.wa.gov
253-512-7071

As a graduate student at the Naval Postgraduate School, and a partner in the Seattle Urban Area, I am doing thesis research on collaboration as it impacts national preparedness. Specifically, the success or failure of collaborative groups created as a result of the UASI Grant Program. As part of my research I am conducting a survey to answer several questions:

1. Do groups created due to grant requirements see value in the collaborative process separate from the grant requirements?
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6. What factors impact the success or failure of collaboration within the UASI groups?

If you are involved in some way in the UASI program, your participation in this survey would be very much appreciated. The survey is blind; your participation is entirely voluntary; and other than the response discipline you represent, no personal identifying information will be asked for.

Below is a link to the survey, which should take less than 30 minutes to complete. The survey will be up for two weeks only, from April 7th-21st.

The survey will be followed-up by a Focus Group of 8-10 people to review the results. The Focus Group will meet once in mid May, by conference call, to conduct the review. If you have interest in participating in the Focus Group please let me know directly by email.

Due to the academic nature of this study, it is required that I advise you of the following.

Voluntary Nature of the Study: Your participation in this survey is strictly voluntary. If you choose to participate you can change your mind at any time and withdraw from the study. You will not be penalized in any way or lose any benefits to which you would otherwise be entitled if you choose not to participate in this study or to withdraw.

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Confidentiality & Privacy Act: Any information that is obtained during this study will be kept confidential to the full extent permitted by law. The survey is anonymous.

Points of Contact: If you have any questions or comments about the research, or you experience an injury or have questions about any discomforts that you experience while taking part in this study please contact the researcher Sheryl Jardine, 253-512-7071, S.Jardine@emd.wa.gov or Principal Investigator, Dr. David Tucker (831) 656-3754, dtucker@nps.edu. Questions about your rights as a research subject or any other concerns may be addressed to the Navy Postgraduate School IRB Chair, Dr. Angela O'Dea, 831-656-3966, alodea@nps.edu.

Statement of Consent: I have read the information provided above. I have been given the opportunity to ask questions and all the questions have been answered to my satisfaction. I understand that by agreeing to participate in this research, I do not waive any of my legal rights.

Participation in the survey will indicate your consent.

Click on this link, or copy and paste it into your browser to access the survey.

<http://www.zoomerang.com/Survey/WEB22AFJ28ADAR>

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APPENDIX B. ZOOMERANG SURVEY

Zoomerang Survey launched April 7, 2010

Urban Area Collaboration Study

Introduction: You are invited to participate in a research study entitled ‘Impacts of Incentives and Requirements on Collaborative Groups’. The purpose of this research is to gauge the level of effectiveness of the UASI Program in creating strong cross-organizational relationships; relationships that will continue beyond the life of the federal program.

As a participant, you will be asked a series of questions about your organization in the context of your experience with the UASI Program.

On a scale of 1-6, please indicate your level of agreement with the following statements.

Heading

Note: "Cross-organization" is defined as any organization outside your immediate command structure. This may mean that a city or county's emergency management division, police department, or fire department would be considered a separate organization.

Question 1 - Choice - One Answer (Bullets)

What response discipline do you represent?

- ☐ Law Enforcement
- ☐ Fire Service
- ☐ Emergency Management
- ☐ Public Health
- ☐ Port Security
- ☐ Transit Security
- ☐ Citizen Corp
- ☐ Other, please specify

Question 2 - Rating Scale - One Answer (Horizontal)

My organization committed adequate budget dollars and resources to cross-organizational relationships prior to its participation in the UASI Grant Program.

Strongly Disagree 2 3 4 5 Strongly Agree Unknown

Question 3 - Open Ended - Comments Box

Which responder groups were involved in cross-organizational collaboration prior to the UASI Grant Program? Please list disciplines.

Question 4 - Rating Scale - One Answer (Horizontal)

Involvement in the UASI Grant Program has built partnerships with new responder groups.

Strongly Disagree 2 3 4 5 Strongly Agree Unknown

Question 5 - Open Ended - Comments Box

If you agree, please list disciplines.

Question 6 - Rating Scale - One Answer (Horizontal)

Effective cross-organizational collaboration is a high priority for my organization.

Strongly Disagree 2 3 4 5 Strongly Agree Unknown

Question 7 - Rating Scale - One Answer (Horizontal)

Members of my organization understand the benefits of collaborating with other organizations.

Strongly Disagree 2 3 4 5 Strongly Agree Unknown

Question 8 - Rating Scale - One Answer (Horizontal)

The success of my organization's mission requires working effectively with other organizations.

Strongly Disagree 2 3 4 5 Strongly Agree Unknown

Question 9 - Rating Scale - One Answer (Horizontal)

The leaders of my organization emphasize the importance of cross-organizational collaboration.

Strongly Disagree 2 3 4 5 Strongly Agree Unknown

Question 10 - Rating Scale - One Answer (Horizontal)

My organization is willing to invest in cross-organizational goals even at some cost to its own interests.

Strongly Disagree 2 3 4 5 Strongly Agree Unknown

Question 11 - Rating Scale - One Answer (Horizontal)

There will be long-term benefits to the relationships built through cross-organizational collaboration.

Strongly Disagree 2 3 4 5 Strongly Agree Unknown

Question 12 - Open Ended - Comments Box

If there are long-term benefits, what are the top five?

Question 13 - Rating Scale - One Answer (Horizontal)

The work of the Urban Area Workgroup(s) in which you participate have positively impacted your region's preparedness.

Strongly Disagree 2 3 4 5 Strongly Agree Unknown

Question 14 - Open Ended - Comments Box

If so, please describe the impact.

Question 15 - Rating Scale - One Answer (Horizontal)

The work of the Urban Area Workgroup(s), in which you participate, have positively impacted your organization's preparedness.

Strongly Disagree 2 3 4 5 Strongly Agree Unknown

Question 16 - Open Ended - Comments Box

If so, please describe the impact.

Page 1 - Question 17 - Rating Scale - One Answer (Horizontal)

If the Urban Area Workgroup(s) in which you participate ceased to collaborate there would be significant impact on your region's preparedness.

Strongly Disagree 2 3 4 5 Strongly Agree Unknown

Question 18 - Open Ended - Comments Box

If so, please describe the impact.

Question 19 - Rating Scale - One Answer (Horizontal)

My organization is willing to invest its own resources to accomplish cross-organizational collaboration.

Strongly Disagree 2 3 4 5 Strongly Agree Unknown

Question 20 - Rating Scale - One Answer (Horizontal)

My organization invests appropriate time and energy to de-conflict existing policies and procedures that impede collaboration.

Strongly Disagree 2 3 4 5 Strongly Agree Unknown

Question 21 - Rating Scale - One Answer (Horizontal)

My organization actively participates in cross-organizational or regional strategy development, which establishes joint goals and objectives.

Strongly Disagree 2 3 4 5 Strongly Agree Unknown

Question 22 - Choice - Multiple Answers (Bullets)

My organization supports regional collaboration through participation in the following (check all that apply):

- ☐ Regional planning
- ☐ Cross-organizational training
- ☐ Regional exercises
- ☐ Mutual aid agreements
- ☐ Information sharing
- ☐ Other, please specify

Question 23 - Rating Scale - One Answer (Horizontal)

My organization rewards employees for investing time and energy to build collaborative relationships.

Strongly Disagree 2 3 4 5 Strongly Agree Unknown

Question 24 - Rating Scale - One Answer (Horizontal)

Collaborative talents and achievements are considered when people are reviewed for promotion.

Strongly Disagree 2 3 4 5 Strongly Agree Unknown

Question 25 - Rating Scale - One Answer (Horizontal)

My organization commits non-grant related resources for cross-organizational training.

Strongly Disagree 2 3 4 5 Strongly Agree Unknown

Question 26 - Rating Scale - One Answer (Horizontal)

My organization commits non-grant related resources to cross-organizational information sharing.

Strongly Disagree 2 3 4 5 Strongly Agree Unknown

Question 27 - Rating Scale - One Answer (Horizontal)

My organization encourages its members to take the initiative to build relationships with their counterparts in other organizations.

Strongly Disagree 2 3 4 5 Strongly Agree Unknown

Question 28 - Rating Scale - One Answer (Horizontal)

Members of my organization have been trained in the appropriate conflict management and team building skills needed to work effectively with other organizations.

Strongly Disagree 2 3 4 5 Strongly Agree Unknown

Question 29 - Rating Scale - One Answer (Horizontal)

If the UASI grant requirements were removed, or the funding stopped, the other organizations in your urban area would continue to collaborate in some form or another.

Strongly Disagree 2 3 4 5 Strongly Agree Unknown

Question 30 - Open Ended - One Line

If you agree? What are the top 3 reasons, which would motivate organizations to continue to collaborate?

Question 31 - Open Ended - Comments Box

If you disagree. What are the top 3 reasons which would cause organizations to stop collaborating?

Question 32 - Rating Scale - One Answer (Horizontal)

Your organization's commitment to sustain cross-organizational relationships would continue if the UASI grant requirements were removed or the funding ceased.

Strongly Disagree 2 3 4 5 Strongly Agree Unknown

Question 33 - Open Ended - Comments Box

Please explain what form this commitment would take.

Question 34 - Open Ended - Comments Box

Please explain what challenges your organization might experience maintaining cross-organizational collaboration.

Question 35 - Rating Scale - One Answer (Horizontal)

Members of my organization know who to contact in other organizations for information, collaboration, and/or decisions.

Strongly Disagree 2 3 4 5 Strongly Agree Unknown

Question 36 - Rating Scale - One Answer (Horizontal)

Members of my organization respect the expertise of those in other organizations with whom they work.

Strongly Disagree 2 3 4 5 Strongly Agree Unknown

Question 37 - Rating Scale - One Answer (Horizontal)

Members of my organization recognize a shared mission with partner organizations.

Strongly Disagree 2 3 4 5 Strongly Agree Unknown

Question 38 - Rating Scale - One Answer (Horizontal)

The culture within my organization does not recognize the benefit to collaboration with other organizations.

Strongly Disagree 2 3 4 5 Strongly Agree Unknown

Question 39 - Rating Scale - One Answer (Horizontal)

A history of competition and conflict impacts cross-organizational collaboration.

Strongly Disagree 2 3 4 5 Strongly Agree Unknown

Question 40 - Open Ended - Comments Box

If so, how?

Question 41 - Rating Scale - One Answer (Horizontal)

Individuals within my organization have had negative experiences with their counterparts in other organizations, which impacts their willingness to collaborate.

Strongly Disagree 2 3 4 5 Strongly Agree Unknown

Question 42 - Rating Scale - One Answer (Horizontal)

My organization is in competition with partner organizations for resources and/or control, which lessens the effectiveness of collaborative relationships.

Strongly Disagree 2 3 4 5 Strongly Agree Unknown

Page 2 - Question 43 - Open Ended - Comments Box

Please list, in order of significance, 3-4 key factors that have made cross-organizational efforts successful.

Page 2 - Question 44 - Open Ended - Comments Box

Please list, in order of significance, 3-4 key factors that have reduced or prevented cross-organizational efforts.

Thank You Page

Thank you for your participation in this survey, your contribution to this research is greatly appreciated.

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