COLLABORATIVE GOVERNANCE CASE DATABASE

Purpose of database

This database provides a collective repository for collaborative governance case studies from around the world. The mission of the repository is to foster rich but systematic medium and large-N analysis of the conditions, processes, and outcomes of collaborative governance. Researchers who contribute a case to the database may use the entire dataset for their own research purposes. Moreover, contributed cases will be cited by other researchers in their analyses.

Key definitions and scope conditions

- All types of collaborative governance cases from all policy domains are welcome: Cases may involve only government entities, only non-government entities, or a mix of the two. Cases may represent successes or failures or something in between.
- Definition of collaboration: When two or more actors aim to constructively manage their differences in order to produce joint solutions to common challenges.
- Definition of governance: The arrangements and processes through which interdependent but operationally autonomous actors aim to formulate and achieve common goals through collective decision making.
- Definition of collaborative governance: A collective decision-making process based on more or less institutionalized interactions between two or more actors that aims to establish common ground for joint problem solving and value creation.
- Definition of a case: A set of actors collaborating on a shared issue over a specified time period within a given geographical space. The database allows contributors to chart the evolution of a collaboration over time. However, if the set of actors, the focal issue, or the geographical scope change drastically, the data may also be entered as separate but related cases.

Instructions to contributors

The survey consists of eight thematic sections, each starting with a series of closed questions and ending with an open text question that allows you to add your qualitative insights. Please provide as much information as you feel confident in providing on the basis of your knowledge of the case.. You can select 'Don't Know' if you do not have the answer. A confidence measure at the end of each section asks you to make a self-assessment of your level of confidence in the validity and reliability of the data you have entered. The survey takes about four hours to complete one case.

Before your survey is accepted into the database, a peer researcher will review your case description to make sure it is clear and consistent. You will also be asked to check at least one case submitted by a fellow contributor. Please contact the database editors at s.c.douglas@uu.nl to discuss any queries you may have about the database and about potential case contributions.

Content of survey

| 1. | General case information | 2 |
|----|---------------------------------------|---|
| | Main case characteristics | |
| | Starting conditions | |
| | Institutional design | |
| | Leadership | |
| | Collaborative process | |
| | Accountability | |
| | Outputs and outcomes of collaboration | |
| | | |

1. General case information

| 1. Please provide a unique name for the c | ase you are descrik | oing. | |
|---|--|-----------------------|-------------------|
| | | | |
| 2. Please provide your name, institutional | affiliation, and ema | ail address. | |
| Case author(s) Institution / University Email address first author | | | |
| 3. Please specify the start and termination Start of collaboration End of | n date of this collab f collaboration | oration. | |
| Please specify the period of the collaboration about when you collected the data, but | what period your d | | Note: This is not |
| Start of period observed End of p | period observed | | |
| | | | |
| 5. Please specify the type of data collection | on methods you use | ed. | |
| Methods | Used | | |
| Documents | | | |
| Interviews Observations Social | | | |
| network data | | | |
| Surveys | | | |
| Other, namely: | | | |
| C. Diago provide up to three weblinks to | | autialaa au baalsa th | et decument this |
| 6. Please provide up to three weblinks to case (e.g. a peer-reviewed article or an | | articles, or books ti | iat document this |
| cass (eig. a post reviewed at tiols of all | | | |
| | | | |
| | | | |
| 7. At which jurisdictional level did the coll | laboration occur? C | Choose more than o | ne if necessary. |
| Level of collaboration | Start of period | Middle of period | End of period |
| | observed | observed | observed |
| Local | | | |
| Regional National | | | |
| International (across borders) | | | |
| Supranational (UN, EU, etc.) | | | |
| Multi-level (collaboration between levels) | | | |

8. In which country or region was the case situated? Pick more than one if necessary

| | 2. | Mai | n c | ase | cha | arac | teris | stic | S | | | | | | | | |
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| 0. What was the nalisy demain of the | h a . | | | Sh o | | m 0 | اء م | h o n | . | . :£ | | اد ما | ı | | | | |
| 9. What was the policy domain of t | | | | | | | | nan | One | | | | | 0 1 100 | ont | Dali | 0) (|
| 3 | | Environment & Climate Social/Employment Polic | | | | | | | | | | | - | | | | |
| | | nfrastructure & Planning | | | | | | | | | | | | | | | |
| | | Public Health ☐ Other, namely | | | | | | | | | | | | | | | |
| ☐ Education [| ∃S | ecur | ity d | & Ρι | ublic | : Sat | fety | | | | | | | | | | |
| | | | | | | | | | | | | | | | | | |
| 10. To what extent was the collaboration | | | | n by | y an | y of | f the | fol | low | ing | amb | oitio | ns? | (1 = | = no | t at | all an |
| ambition, 5 = this was the core a | mb | | • | | | | | | | | | | | | | | |
| Ambitions of collaboration | | S | | of p | | d | M | | | peri | od | E | End | | | b | Don't |
| | | | | serv | | | | | ser | | | | | serv | | | know |
| | | 1 | 2 | 3 | 4 | 5 | 1 | 2 | 3 | 4 | 5 | 1 | 2 | 3 | 4 | 5 | |
| Develop a plan or policy for a shared problem or societal issue | | | | | | | | | | | | | | | | | |
| Develop a regulatory framework for a | | | | | | | | | | | | | | | | | |
| policy domain or industry | | | | | | | | | | | | | | | | | |
| Create innovative solutions in existing | | | | | | | | | | | | | | | | | |
| policies, programs, practices | | | | | | | | | | | | | | | | | |
| Increase efficiency by lowering costs | or | | | | | | | | | | | | | | | | |
| boosting benefits | | | | | | | | | | | | | | | | | |
| Increase effectiveness by increasing | | | | | | | | | | | | | | | | | |
| impact of interventions | | | | | | | | | | | | | | | | | |
| Increase legitimacy and support amor different constituents | ng | | | | | | | | | | | | | | | | |
| Organize crisis and emergency | | | | | | | | | | | | | | | | | |
| planning, response and/or recovery | | | | | | | | | | | | | | | | | |
| Create holding environment to contain | 1 | | | | | | | | | | | | | | | | |
| conflict among stakeholders | | | | | | | | | | | | | | | | | |
| Other, namely: | | | | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | | | |
| 11. To what extent did the collabora | tion | ı air | n tc | inc | .lud | Δ ar | nv o | f th | a fo | llow | /ina | forr | ne c | of co | Mah | ora | tivo |
| governance? (1 = not at all an ai | | | | | | | | | | 110 VI | , iii g | 1011 | 113 (| ,, ,, | mak | JOI a | LIVE |
| Purpose of collaboration | | | | | | | | | | neri | ho | F | nd | of n | eriod | 4 | Don't |
| Tarpooc or conaporation | | | | serv | | · G | | | ser\ | | ou | • | | serv | | | know |
| | ľ | 1 | 2 | 3 | 4 | 5 | 1 | 2 | 3 | 4 | 5 | 1 | 2 | 3 | 4 | 5 | 14.1011 |
| Co-initiation: Jointly identify required | | | _ | | | | | _ | | | | | _ | | | | |
| policies, services, or regulation | | | | | | | | | | | | | | | | | |
| Co-develop: Jointly create and arrang | e | | | | | | | | | | | | | | | | |
| policies, services, or regulation | | | | | | | | | | | | | | | | | |
| Co-production: Implement policies, | | | | | | | | | | | | | | | | | |
| deliver services, or provide regulation | | | | | | | | | | | | | | | | | |
| Co-assessment: Jointly monitor and | | | | | | | | | | | | | | | | | |
| evaluate impact of policies, services, of | or | | | | | | | | | | | | | | | | |
| regulation | | | | | | | | | | | | | | | | | |

| 12. | How confident do you feel the answers you provided to the questions in this section are valid, reliable, and rooted in data and observation? |
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| 13. | Please describe in max. 600 words the (a) societal challenges and organizational issues the collaboration sought to address, (b) the stated ambitions and desired outputs and outcomes, (c) how these challenges, issues and ambitions evolved during the period observed. |
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3. Starting conditions

14. To what extent did the configuration of actors that made up the core of the collaborative process have a pre-history of mutual engagement? (1 = Very little history, 5 = Very extensive history)

| | , | Score | | | Don't know |
|---|---|-------|---|---|------------|
| 1 | 2 | 3 | 4 | 5 | |

15. To what extent was there trust between core participants at the start of the collaboration? (1 = Very low trust 5 = Very high trust)

| | , | Score | | , | Don't know |
|---|---|-------|---|---|--------------|
| | | Score | | | DOIT L KITOW |
| 1 | 2 | 3 | 4 | 5 | |

- 16. How was the collaboration first initiated? Please select one option.
- 17. To what extent did the participants have more or less equal levels of resources, (e.g. knowledge, influence, skills) to bring to the collaborative process? (1 = Highly unequal, 5 = Highly equal)

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| Sta | art of p | eriod o | observ | ⁄ed | Middle of period observed | | | | | | nd of p | Don't know | | | |
| 1 | 2 | 3 | 4 | 5 | 1 | 2 | 3 | 4 | 5 | 1 | 2 | 3 | 4 | 5 | |

18. To what extent were there incentives to collaborate for the participants, e.g. financial gain or increased influence? (1 = Very little incentives, 5 = Very strong incentives)

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|------|----------|---------|--------|-----|---------------------------|-----------|---|----------|--------|-------|---------|------------|---|---|--|
| Sta | art of p | eriod | observ | ved | Middle of period observed | | | | | | nd of p | Don't know | | | |
| 1 | 2 | 3 | 4 | 5 | 1 | 2 | 3 | 4 | 5 | 1 | 2 | 3 | 4 | 5 | |

19. To what extent did the participants feel mutually dependent on each other for fulfilling their ambitions? (1 = Very low sense of interdependence, 5 = Very high sense of interdependence)

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| 1 | 2 | 3 | 4 | 5 | 1 | 2 | 3 | 4 | 5 | 1 | 2 | 3 | 4 | 5 | |

20. How confident do you feel the answers you provided to the questions in this section are valid, reliable, and rooted in data and observation?

| 2 | Please describe in max. 600 words the (a) the prehistory and past interactions of participants, (b) how the collaboration was initiated, (c) the sense of interdependence between participants and the incentives to collaborate, (d) any significant changes over time in the period observed. |
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| | | 4. Instit | utional d | lesign | | | | | |
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| | | | | _ | | _ | | _ | |
| 22. How many (institutional/g | | | | | | | | | . 16. 1 |
| Start of period observed | Midale | e of period | observe | <u> </u> | Ena of p | erioa | observed | ро | n't know |
| | | | | | | | | | |
| 23. What different types of ac the different participants. | tors took | c part in th | ie collab | oration | . Please | seled | ct the ba | ckgroun | ds of |
| Background of participal | nts | | f period erved | | dle of per | | | period erved | Don't know |
| Political organizations / politicia Public organizations / civil serv Private, for-profit organizations Private, non-profit organization Citizens / informal citizen group | ants s | | ,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,, | | .5001700 | | 0000 | in vou | Kilow |
| 24. To what extent were the p for the participants? (1 = V Start of period observed 1 2 3 4 5 | Very little Middle | | on of gr | ound ru | les, 5 = End of إ | Very | | articulat | |
| 25. To what extent were the p 5 = Almost always applied Start of period observed 1 2 3 4 5 | l ground Middle | | observe | | End of | | (1 = Ver | | applied |
| 26. To what extent was the co | the rele | vant and a | affected | actors | included | d) | | | |
| Start of period observed | | of period | | | | | observe | | n't know |
| 1 2 3 4 5 | 1 | 2 3 | 4 | 5 1 | 2 | 3 | 4 | 5 | |
| 27. To what extent were the d transparent? (1 = Rarely c | lear to p | articipants | s how de | cisions | s were t | aken, | 5 = Almc | ost alway | |
| Start of period observed | Middle | e of period | observe | 1 | End of i | oeriod | observe | d Do | |
| 1 2 3 4 5 | 1 | 2 3 | | 5 1 | | 3 | 4 | 5 | n't know |

28. How confident do you feel the answers you provided to the questions in this section are valid, reliable, and rooted in data and observation?

| Please describe in max 600 words (a) the ground rules of the collaboration, (b) the inclusiveness of the collaborative forum(s), (c) the transparency of decision making within the collaborative forum(s), (d) any significant changes in the institutional architecture of collaboration over time | |
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| | 5. Leadersl | nip | | |
|---|--------------------------|---|------------------------|-------------------------|
| 30. Characterize the locus of leaders | thin roles in the col | lahorative process | | |
| Locus of leadership | Start of period observed | Middle of period observed | End of period observed | Don't know |
| One lead actor | | 0.00000 | | |
| A few lead actors | | | | |
| Shared collective among all actors | | | | |
| 31. What were the backgrounds of the necessary. | nose exercising lea | dership? Choose n | nore than one if | |
| Background of participants | Start of period | Middle of period | End of period | Don't |
| Daoing round of participants | observed | observed | observed | know |
| Political organizations / politicians | | | | |
| Public organizations / civil servants | | | | |
| Private, for-profit organizations | | | | |
| Private non-profit organizations Citizens / informal citizen groups | | | | |
| Chizono / imorrial chizon groups | | | | |
| 32. To what extent was the leadersh affected actors (1 = Highly ineffe | ctive, 5 = Highly eff | ective) | | |
| · | dle of period observe | | od observed [3 4 5 | Don't know |
| 1 2 3 4 5 1 | 2 3 4 | 5 1 2 . | 3 4 5 | |
| 33. To what extent was the leadershicollaborative process intended in Start of period observed Middle 1 2 3 4 5 1 | | ghly ineffective, 5 = ed End of period | Highly effective |) Don't know |
| 34. To what extent was the leadersh (1 = Highly ineffective, 5 = Highly | effective) | | | |
| | dle of period observe | | | Don't know |
| 1 2 3 4 5 1 | 2 3 4 | 5 1 2 | 3 4 5 | |
| 35. To what extent was the leadershic creative problem-solving resolving Start of period observed Middle | ng? (1 = Highly inef | | effective) | ities for Don't know |
| 1 2 3 4 5 1 | | | 3 4 5 | 2011 CIGIOW |
| 36. How confident do you feel the ar reliable, and rooted in data and c | · · | d to the questions | in this section ar | e valid, |

| 37 | 7. Please describe in max. 600 words the (a) the form and style of leadership within the collaboration, (b) the dynamics and impact of leadership on the collaborative process (c) changes in the leadership dynamics in the period observed. | |
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| 40. | | | | | | | | the co | | ative p | oroces | s inve | st in j | oint fac | ct find | ding? (1 = |
| | | | | bserve | | | | | | ved | Fr | nd of n | eriod o | bserve | h | Don't know |
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| 41. | | | | | | | | | | | oroces | s inve | st in k | nowle | dge s | haring? (1 |
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| 43. | | | | | | | | | , iocu | 5 UII JU | יוע אוווע | Juieiii | -201411 | | . 101111 | LDIODIEIII |
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| 44. | 1 . To v outp | 2 vhat e | eriod o 3 extent quick | did th | 5 ie coll ? (1 = | Midd 1 aborat Very v | dle of 2 tive p | period 3 rocess focus, period | obser 4 s expli 5 = Ve | focus, ved 5 icitly foery str | 5 = Ve Er 1 ocus o | nd of p 2 n proc cus) | eriod o 3 ducing | bserve 4 | ed 5 ble in | Don't know |
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| 47. | Please describe in max. 600 words (a) the collaborative process in terms of how the actors interacted with each other, (b) how they formulated and achieve shared outcomes, (c) how the process changed over the period observed. |
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| | 1 | 2 | 3 | 4 | 5 | 1 | 2 | 3 | 4 | | | 1 | 2 | | 3 | 4 | 5 | 5 | | |
| 49 | | | | | goals o | operationals) | onali | zed? (1 | l = Ve | ery li | ttle | ope | ratio | naliza | ation | of g | goals | s, 5 | = V | ery |
| | Sta | rt of pe | eriod o | observ | /ed | Midd | dle of | period | obsei | rved | | E | End o | f perio | od ok | serv | /ed | | Dor | i't know |
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| 51 | | | | | | ticipan ing, 5 : | | | | | | | | ration | to t | he fo | ollov | ving | g ac | tors? |
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| | | ciety | | | | , 000.10 | | | | | | | | | | | | | | |
| | | | | | ed citiz | ens | | | | | | | | | | | | | | |
| | . To \ | what e | extent | t did t | he foll | owing ofluenc | | | tors h | | | | | | | | | - | | - |

7. Accountability

53. How confident do you feel the answers you provided to the questions in this section are valid, reliable, and rooted in data and observation?

Start of period

observed

2 3 4 5 1

Middle of period

observed

2 3 4 5 1

End of period

observed

2 3 4 5

Don't

know

Actors

Oversight bodies (e.g. auditors, courts)

Affected and/or concerned citizens

Elected politicians

Civil society organizations

| 54. Please describe in max. 600 words (a) how the goals of the collamonitored, (b) how participants, elected officials, oversight bod collaboration to account, (c) how these dynamics changed over | lies, and citizens held the |
|---|-----------------------------|
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8. Outputs and outcomes of collaboration

55. To what extent did the collaboration produce the following outputs or outcomes? (1 = Very low, 5 = Very high). Note: This question mirrors the ambitions formulated in question 10.

| Produced outputs and outcomes | S | Start ob | of p serv | | d | M | | e of serv | peri ⁄ed | bc | E | End ob | Don't know | | | |
|--|---|-------------|--------------|---|---|---|---|--------------|-------------|----|---|-----------|------------|---|---|--|
| | 1 | 2 | 3 | 4 | 5 | 1 | 2 | 3 | 4 | 5 | 1 | 2 | 3 | 4 | 5 | |
| Develop a plan or policy for a shared | | | | | | | | | | | | | | | | |
| problem or societal issue | | | | | | | | | | | | | | | | |
| Develop a regulatory framework for a | | | | | | | | | | | | | | | | |
| policy domain or industry | | | | | | | | | | | | | | | | |
| Create innovative solutions in existing | | | | | | | | | | | | | | | | |
| policies, programs, practices | | | | | | | | | | | | | | | | |
| Increase efficiency by lowering costs or | | | | | | | | | | | | | | | | |
| boosting benefits | | | | | | | | | | | | | | | | |
| Increase effectiveness by increasing | | | | | | | | | | | | | | | | |
| impact of interventions | | | | | | | | | | | | | | | | |
| Increase legitimacy and support among | | | | | | | | | | | | | | | | |
| different constituents | | | | | | | | | | | | | | | | |
| Organize crisis and emergency | | | | | | | | | | | | | | | | |
| planning, response and/or recovery | | | | | | | | | | | | | | | | |
| Create holding environment to contain | | | | | | | | | | | | | | | | |
| conflict among stakeholders | | | | | | | | | | | | | | | | |
| Other, namely: | | | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | | |

56. To what extent did the collaboration use any of the following forms of collaborative governance? (1 = Very low extent, 5 = Very high extent) NB: This question mirrors question 11.

| (. = 10.) 10.11 extent, 0 = 10., 1g | | , | | | 4 | | | | . • . • | 7 7 - | | • | | | | |
|---|---|------|--------|------|---|---|-------|------|---------|-------|---|-----|------|------|---|-------|
| Realized collaboration | S | Star | t of p | erio | d | M | iddle | e of | peri | od | E | End | of p | erio | d | Don't |
| | | ok | ser | /ed | | | ob | serv | /ed | | | ob | serv | 'ed | | know |
| | 1 | 2 | 3 | 4 | 5 | 1 | 2 | 3 | 4 | 5 | 1 | 2 | 3 | 4 | 5 | |
| Co-initiation: Jointly identify required | | | | | | | | | | | | | | | | |
| policies, services, or regulations | | | | | | | | | | | | | | | | |
| Co-develop: Jointly create and arrange | | | | | | | | | | | | | | | | |
| policies, services, or regulation | | | | | | | | | | | | | | | | |
| Co-production: Implement policies, | | | | | | | | | | | | | | | | |
| deliver services, or provide regulations | | | | | | | | | | | | | | | | |
| Co-assessment: Jointly monitor and | | | | | | | | | | | | | | | | |
| evaluate impact of policies, services, or | | | | | | | | | | | | | | | | |
| regulations | | | | | | | | | | | | | | | | |

57. To what extent did the collaboration produce innovations, such as novel solutions, systems, and processes? (1 = Very little innovation, 5 = Very highly innovative).

| Type of innovation | S | | of p | | d | M | | e of serv | | bc | E | end ob: | of poserv | | b | Don't know |
|--|---|---|------|---|---|---|---|-----------|---|----|---|------------|-----------|---|---|------------|
| | 1 | 2 | 3 | 4 | 5 | 1 | 2 | 3 | 4 | 5 | 1 | 2 | 3 | 4 | 5 | |
| Develop <u>novel</u> products or services for clients and partners | | | | | | | | | | | | | | | | |
| Develop <u>novel</u> production processes for producing products or services | | | | | | | | | | | | | | | | |
| Novel ways of coordinating between roles and/or services of participants | | | | | | | | | | | | | | | | |

58. To what extent did the collaboration create outcomes beyond its stated aims? (1 = Very little outcomes going beyond stated aims, 5 = Very high degree of outcomes beyond stated aims)

| Type of innovation | S | tart | of p | erio | d | M | iddle | e of | peri | od | Ē | End | of p | erio | d | Ďon't |
|--|---|------|------|------|---|---|-------|------|------|----|---|-----|------|------|---|-------|
| | | ob | serv | /ed | | | ob | serv | ⁄ed | | | ob | serv | ed | | know |
| | 1 | 2 | 3 | 4 | 5 | 1 | 2 | 3 | 4 | 5 | 1 | 2 | 3 | 4 | 5 | |
| Built support and legitimacy for | | | | | | | | | | | | | | | | |
| investing in future collaborations | | | | | | | | | | | | | | | | |
| Built joint operational capacity for | | | | | | | | | | | | | | | | |
| solving future problems and challenges | | | | | | | | | | | | | | | | |
| Created positive unintended societal | | | | | | | | | | | | | | | | |
| consequences | | | | | | | | | | | | | | | | |
| Created negative unintended societal | | | | | | | | | | | | | | | | |
| consequences | | | | | | | | | | | | | | | | |

59. To what extent did the collaboration achieve support among the different constituents of the collaboration? (1 = Very little support, 5 = Very extensive support)

| Constituents | S | | of p | erio ⁄ed | d | M | | e of serv | peri ⁄ed | od | E | end ob | Don't know | | | |
|--|---|---|------|-------------|---|---|---|--------------|-------------|----|---|-----------|------------|---|---|--|
| | 1 | 2 | 3 | 4 | 5 | 1 | 2 | 3 | 4 | 5 | 1 | 2 | 3 | 4 | 5 | |
| Participants in the collaboration | | | | | | | | | | | | | | | | |
| Elected politicians | | | | | | | | | | | | | | | | |
| Oversight bodies (e.g. auditors, courts) | | | | | | | | | | | | | | | | |
| Civil society organizations | | | | | | | | | | | | | | | | |
| Affected and/or concerned citizens | | | | | | | | | | | | | | | | |

60. How confident do you feel the answers you provided to the questions in this section are valid, reliable, and rooted in data and observation?

| 61. | Please describe in max. 600 words (a) the output of the collaboration in terms of results produced by the collaborative governance process, (b) the outcomes in terms of the impact on problem solving, goal achievement and legitimacy, taking into account any unintended consequences, (c) the changes to collective outputs and social outcomes over time. |
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