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 case you are describing.

7. At which jurisdictional level did the collaboration occur? Choose more than one if necessary.

Level of collaboration	Start of period observed	Middle of period observed	End of period 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. M	lain d	case	cha	ırac	teris	stics									
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10. To what extent was the collabora	tion	driv	an hi	v an	v 04	ftho	foll	OWi	'na	amh	niti n	ne?	(1 -	= no	t at	all an
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Ambitions of collaboration			t of p	erio	d	Mi	ddle	of p	perio	bc	E	End	of pe	erio	d	Don't
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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 of	r															
boosting benefits																
Increase effectiveness by increasing impact of interventions																
Increase legitimacy and support amon different constituents	g 															
Organize crisis and emergency planning, response and/or recovery																
Create holding environment to contain conflict among stakeholders																
Other, namely:																
11. To what extent did the collaborat	ion s	aim t	o inc	بابيط	o ar	N O	f the	ı foll	low.	ina	forr	ne c	of co	ıllak	nora	tive
governance? (1 = not at all an air										9	.011			, iiuk	, O i d	
Purpose of collaboration			t of p			Mi	ddle	of	perio	od	E	End	of pe	erio	d	Don't
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Co-initiation: Jointly identify required policies, services, or regulation																
Co-develop: Jointly create and arrange)															
policies, services, or regulation																
Co-production: Implement policies,																
deliver services, or provide regulation																
Co-assessment: Jointly monitor and evaluate impact of policies, services, or regulation	r															
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?
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.

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
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	Mic	ldle of	period	lobser	ved	E	nd of p	eriod o	bserv	ed	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	ed	Mic	dle of	period	lobser	ved	E	nd of p	eriod o	bserv	ed	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	

2	1. 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.

		4. Instit	utional d	esign				
								. 16 1
Start of period observed	Midale	ot perioa	observed	End	or period	observed	DOI	n't know
Political organizations / politicians Public organizations / civil servants Private, for-profit organizations Citizens / informal citizen groups 24. To what extent were the procedural ground rules for the collaboration clearly explicated by and for the participants? (1 = Very little articulation of ground rules, 5 = Very detailed articulation) Start of period observed Middle of period observed End of period observed Don't known in the participants? 25. To what extent were the procedural ground rules observed and applied? (1 = Very rarely applied for period observed in the participants in the procedural ground rules observed and applied? (1 = Very rarely applied for period observed in the period observ								
		part in th	e collabo	oration. Pl	ease sele	ect the backg	round	ls of
		Start of	period	Middle o	f period	End of per	riod	Don't
		obse	rved	obse	rved	observe	d	know
Citizens / informal citizen grou	ps							
for the participants? (1 = Start of period observed	Very little Middle	articulati of period	on of gro observed	und rules End	, 5 = Very d of perio	detailed art d observed	iculati	ion)
1 2 3 4 5	1 2	2 3	4 5	1	2 3	4 5		
25. To what extent were the	rocodura	l around	rulae ahe	orvod and	l applied	2 (1 = Vory ra	roly a	nnlind
			iules obs	erveu and	аррпец	: (I - Very la	ii Giy a	ipplieu,
			observed	End	d of perio	d observed	Doi	n't knov
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		_			_ `			
26. To what extent was the c	ollaboratio	on inclusi	ve? (1 = \	ery few o	of the rele	evant and aff	ected	actors
					uded)			
	Middle	of period	observed				Doi	n't know
1 2 3 4 5	1 2	2 3	4 5	1	2 3	4 5		
Start of period observed		of period				d observed	Doi	n't know
1 2 3 4 5	1 2	2 3	4 5	1	2 3	4 5		

29.	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

	5. Leadershi	p		
30. Characterize the locus of leadershi	in roles in the colls	phorativo proces		
Locus of leadership	Start of period	Middle of period	End of period	Don't
	observed	observed	observed	know
One lead actor				
A few lead actors				
Shared collective among all actors				
31. What were the backgrounds of tho	se exercising lead	ership? Choose m	ore than one if	
necessary. Background of participants	Start of period	Middle of period	End of period	Don't
background or participants	observed	observed	observed	know
Political organizations / politicians Public organizations / civil servants Private, for-profit organizations Private non-profit organizations Citizens / informal citizen groups			00000	
		ctive) End of period		nt and Don't know
		hly ineffective, 5 = End of perio	Highly effective) Don't know
34. To what extent was the leadership (1 = Highly ineffective, 5 = Highly e	ffective)			
	of period observed			Don't know
1 2 3 4 5 1 2	2 3 4 5	5 1 2 3	3 4 5	
35. To what extent was the leadership creative problem-solving resolving	? (1 = Highly ineffe	ective, 5 = Highly 6		ities for
Start of period observed Middle	of period observed	End of perio	od observed [Don't know
1 2 3 4 5 1 2	2 3 4 5	5 1 2 3	3 4 5	
36. How confident do you feel the answreliable, and rooted in data and obs		to the questions i	n this section ar	e valid,

3	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.	

							6.	Collabo	orativ	e proc	cess					
														h hold	ing re	egular
					attend ed			Very in						y) bserve	d	Don't know
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								rocess ıs, 5 = `					t of int	erests	and v	values
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1	2		3	4	5	1	2	3	4	5	1	2	3	4	5	
								rocess · Very \							join	t problem
				bserve										bserve	d	Don't know
1	2		3	4	5	1	2	3	4	5	1	2	3	4	5	Bont know
44. To	o wh	at ex	ktent	did th	ne coll	aborat	ive p	rocess	expli	icitly f	ocus o	n pro	ducino	ı tangil	ole in	termediate
								focus,						, ,		
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								rocess /ery st				n pro	ducing	ı tangik	ole st	rategic
								period (d of p	eriod o	bserve	d	Don't know
1	2	•	3	4	5	1	2	3	4	5	1	2	3	4	5	
								s you p		ded to	the qu	estior	ns in th	nis sec	tion a	are valid,
			-													

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.

							7. Ac	coun	tabil	ity									
	what a																		
	art of p																		i't know
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 Secondary
 Secondary

Middle of period

End of period

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Start of period

Affected and/or concerned citizens

Actors

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	St		of p serv	erio ed	d	M	iddle ob	e of serv	•	od	E		of p ser\	erio ⁄ed	d	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.

Realized collaboration	S		of poserv		d	M		e of serv	perio red	bd	E		of poserv	eriod ed	b	Don't 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	М		e of serv	•	od	E		of poserv	erio ed	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)

outcomes going beyond stated am	.0, 0		, v. ,	າາາອ		9.0	,,,		too.		\sim \sim \sim	, 0110	4 011	4600	u	.0,
Type of innovation	S	tart	of p	erio	d	M	iddle	e of	peri	od	E	End	of p	erio	d	Don't
		ob	serv	/ed			ob	ser	/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		of p serv	eriod ed	b	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																

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.