

# TROPICO

Transforming into Open, Innovative  
and Collaborative Governments

## LITERATURE AND REPORT REVIEW

Work Package 2 – Deliverable 2.1

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## EXECUTIVE SUMMARY

This report constitutes the first deliverable of the project TROPICO (Transforming into Open, Innovative and Collaborative Governments), a project that between June 2017 and May 2021 comparatively examines how public administrations are transformed to enhance collaboration in policy design and service delivery, and advance the participation of public, private and societal actors. TROPICO investigates collaborative governance across five different European administrative traditions represented by ten European Union member states: Nordic (Norway, Denmark), Central and Eastern European (Estonia, Hungary), Continental (Netherlands, Germany), Napoleonic (France, Spain) and mixed (Belgium). This report is produced within Work Package (WP) 2, which is focused on the institutional conditions shaping collaboration in and by governments within the context of reform trajectories. It runs in parallel with WP3, which researches the transformations of individual drivers and barriers of collaboration. It precedes later work packages that will carry out empirical research on policy design and public service delivery within the context of internal and external collaboration (WP4 – WP7), and work packages that will look into the effects of collaboration on legitimacy, accountability and government efficiency (WP8 – WP9).

This report reviews both scholarly and grey literature, spanning several disciplines and consisting of several inter-related strands, on collaborative governance. Based on a quantitative text analysis of over 700 publications, it provides a systematic review of how the concept is interpreted in the academic literature, as well as a qualitative review drawing on a wide range of sources. We find that the term ‘collaborative governance’ is used to describe practices that differ in terms of five key dimensions: Participation (inside and/or outside government); agency (who drives these processes); inclusiveness (organizational and/or citizen participation); scope (time frame and stage of policy cycle); and normative assumptions (positive or neutral). Furthermore, the report derives from the literature a list of institutional factors that may facilitate or obstruct collaboration with some tentative propositions about the causal mechanisms behind these variables. Finally, the report confirms a gap in the scholarly and practitioner literature with respect to the nature and analysis of relevant rules and legal frameworks that structure collaborative practices (‘codes of collaboration’).



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## Chapter 1: Introduction

TROPICO comparatively examines how public administrations are transformed to enhance collaboration in policy design and service delivery, and advance the participation of public, private and societal actors, through different means – including the use of digital and ICT tools. This report contributes to the exploration of the institutional conditions shaping collaboration in and by governments within the context of reform trajectories, through an analysis of academic as well as grey literature (governmental and think tank reports). The aim is to tease out current understandings of collaborative governance across contexts as well as what institutional factors are highlighted in the literature as facilitating or obstructing collaboration. This report will be followed by an analysis of actual codes of collaboration in the countries of the TROPICO partners, due in May 2018.

The current report aims to provide state-of-the-art knowledge and added value to existing scholarship and practice in three key respects:

- By going beyond the traditional ‘literature review’ which conventionally reviews previous academic work in the field of interest and an integral part of academic research and texts, this report takes into account policy thinking that is produced outside, or alongside, traditional academic institutions.
- While there are several integrative frameworks of collaborative governance based on literature reviews (Bryson, Crosby, and Stone, 2006; Ansell and Gash, 2008; Emerson, Nabatchi, and Balogh, 2012; Bingham and O’Leary, 2015), this report recognizes the rapid development of the field by including recently published (up to July 2017) material, allowing us to map the state-of-the-art.
- Through the utilization of the combined expertise of the TROPICO consortium, the report to some extent avoids the Anglo-Saxon and/or Western Europe bias present in other reviews.

A few basic points that have bearing on the ground covered in the report should be stated at the outset. First, the aim of this report is not to offer the authors’ own conceptualisation of collaborative



governance. Rather, we disentangle the different strands and positions taken in the academic and grey literature to the extent that it helps us map what collaborative governance is understood to consist of, and be driven or obstructed by, in different contexts. The definition used in the TROPICO Grant Agreement gives the reader of this report an idea of what is at stake:

*[Collaborative governance is...] 'a relationship between organizational actors established to achieve distinct objectives, most notably in formulating government policies or delivering public services, for which different means are applied that can be distinguished regarding their scope, formality, and intensity'* (TROPICO Grant Agreement No. 726840, Annex 1 part B, p. 8).

The scope captures the stage of the policy process, the duration and the type of actors involved; formality captures the degree to which rules have been institutionalized and intensity the degree to which responsibilities, work and resources and information are shared.

Second, we understand institutions that drive or obstruct collaborative governance broadly. TROPICO applies a broad institutional approach, "encompassing formal rules but also informal norms, values, and culturally entrenched worldviews (TROPICO Grant Agreement, Annex 1 part B, p. 8-9, citing March and Olsen, 1989; Scott, 2012; Olsen, 2007, and Olsen, 2010). The distinction between formal (codified) and informal institutions, i.e. *de jure* and *de facto* factors, will reoccur frequently in the report. These may also be referred to as 'hard' and 'soft' institutions. Third, while we recognize the importance of digitalisation and e-governance for collaborative governance. This area of research and practice is not dealt with separately in this report but is mainstreamed into the general analysis.

The report is structured as follows: Following **Chapter 1** (this introduction), **Chapter 2** details the sources we rely on and the techniques used to analyse them. We justify choices made in the research process, and acknowledge the limitations that arose as a consequence of the research strategy. **Chapter 3** deals with the conceptualization and definition of collaborative governance. In section 3.1 we utilize material gathered from TROPICO partners to further analyse the usage of the term collaborative governance in different European countries and languages. In section 3.2 the



academic literature is covered, with attention to the contested linkage between collaborative government and New Public Management (NPM), and post-NPM, as well as how collaborative governance may be related to broader societal shifts debated in other fields, such as the emerging field of collaborative economy and collaborative art. In the same section we also situate the external dimension of collaborative government, i.e. how governments involve citizens and citizen groups in policy design and service delivery, and delineate it from other bodies of literature. This is followed by a section outlining the academic debate on collaborative governance, discussed from the disciplinary perspectives present in the TROPICO consortium (section 3.3). In section 3.4 we review examples of how collaborative governance is covered in various European government and think tank reports, i.e. non-scholarly work, assembled for this report. As will be noted, the extreme diversity of the covered material limits generalizability, but there are still findings that are illuminating in terms of how collaborative governance is seen and understood in EU countries today. Key findings and projection of trends into the future are laid out in section 3.5. **Chapter 4** starts with a more conventional review of key contributions to the academic literature (4.1) and then synthesizes knowledge with respect to institutional factors that have been suggested or found to be conducive for collaboration, thereby contributing to answering the question: What makes collaborative governance work? Section 4.2 focuses on collaboration within government and section 4.3 on collaboration with external actors. There are significant overlaps between these two dimensions and this is one of the reasons for including both dimensions in the TROPICO project. We still chose to make this distinction in order to note that they draw on different research traditions. We identify the formal and informal institutional factors affecting collaborative governance, for both internal and external collaboration, through theoretical reasoning – while acknowledging that most of these propositions have been tested only to a limited extent so far. **Chapter 5** concludes the report by revisiting the implications of the academic and grey literature review for future research and practice in member states and at the European Union level.



## Chapter 2: Material and analytical techniques

This report on the state-of-art on collaborative governance draws on different sources: (1) academic publications, (2) so called 'grey literature' (government and think tank reports), and (3) contributions by experts in the TROPICO consortium. Below we elaborate on the collection and analysis of these.

### 2.1 Academic literature

Partly due to technological developments, bibliographic research is a burgeoning field, not the least in the social sciences where meta-analytical studies have been less common than in natural sciences. We conducted the *review of academic literature* in two phases. In the first phase, we conducted the review organically by following the web of references emanating from the literature already forming an integral part of the TROPICO Grant Agreement No. 726840, Annex 1 part B. At this stage, we did not limit ourselves to references to the term 'collaborative governance', but also looked for inter-linked concepts that have been used over the past three decades.

In the second phase, we sought to validate and extend this review by conducting a systematic literature review. As argued by Bryman (2008), the increasing popularity of the concept of systematic literature reviews is a response to internal criticism towards traditional literature reviews being characterized as either random or as mirroring the biases of the researcher and the requirements of much hyped evidence-based policy-making processes (Bryman, 2008; Tranfield, Denyer and Smart, 2003).

In systematic literature reviews, transparency is a key and serves as a guiding principle throughout the process. The aim of the review should be explicitly stated, criteria for text selected clearly formulated and followed up upon, and results presented in a manner accessible to people beyond the core scholars of the field (Millar, 2004). Systematic literature reviews are sometimes distinguished from narrative reviews, which have been argued to be more focused on interpretation (Bryman, 2008; Tranfield, Denyer and Smart, 2003; Geertz, 1993). For the purposes of this report, this interpretative work was performed as part of the first phase, which we called organic above.



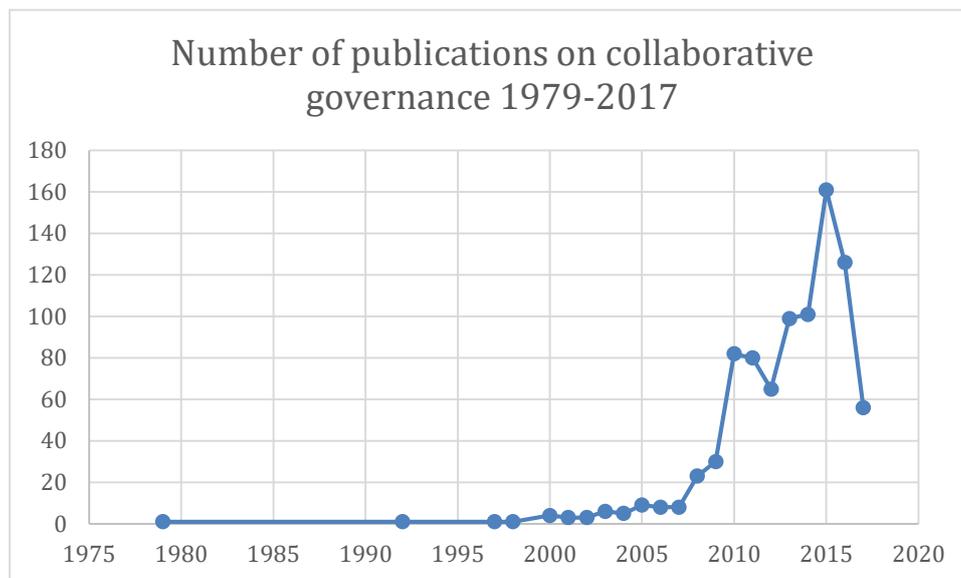
Below we focus on the systematic literature review.

There are various sources and tools that can be used for systematic literature researches. We used EBSCO Discovery Service, which provides a single-window search function across multiple data base sources (for more on how it functions, see Calvert, 2015, for an example of usage see Rawat et al. 2016). It captures relevant databases linked to English-language academic journals since the early 20<sup>th</sup> century. Annex 1 provides a full index of included data base sources. We searched for the term 'collaborative governance' in English-language academic journals, which led to 1,620 hits in peer-reviewed journals, the earliest from 1979. The decision to focus on articles rather than monographs or other publication forms in this phase was due to the importance of these for the publication of major research output (e.g. Larivière et al. 2006). However, in order not to miss important publication milestones, monographs and edited volumes were taken into account for the analysis of most cited definitions, and they were included in the first phase narrative literature review.

After an automatic filtering and manual cleaning of duplicates and some non-English sources, 704 articles remained from most relevant English-language social science journals. The global search encompasses all mentioning of the concept in the titles, abstracts, subject terms and author-supplied keywords from the beginning of the 20th century (to the extent that it has been digitalised). The earliest reference to 'collaborative governance' in works cited in studies from this search is from 1979, and is found in an article on in-service education of teachers, which identified a trend 'from a narrow control of in-service education programs to a collaborative governance' (Cruickshank, Loris and Thompson, 1979, p. 27). Figure 1 below shows the frequency of the concept. While the graph should not be interpreted too literally - the total size of digitalized text is certainly larger for recent years and there may be omissions in the period between 1979 and 1992 - it does show the increasing uptake of the concept and that it appears to become generally recognized only from the mid-1990s.



Figure 1: EBSCO Discovery Search for collaborative governance, sorted by relevance



Note: See Annex 2 for List of Journals included. The data on 2017 include only January-June.

Krippendorff (1980, p. 21) suggests that text analysis is a scientific method for “making replicative and valid inferences from data to their context”. Accordingly, we subjected the collected articles to both qualitative and quantitative text analysis. Regarding the qualitative analysis, we selected a limited number of the most cited (20) and the most recent (20) articles. The latter were all published in the years 2016 and 2017. Subsequently, we used traditional note-taking techniques for conceptual definitional exercise and we used the qualitative analytical software NVivo to code articles in the search for institutional and other variables.

We complemented the qualitative analysis with a computer-assisted text analysis (CATA) of all abstracts in the entire corpus of articles. CATA was used to quantify the existence of certain concepts of interest as well as the broader institutional context in which they are embedded (Berg, 2001). The web application Voyant Tools provides a variety of CATA tools (Sinclair and Rockwell, 2016). It allowed us, first, to visualize the word frequencies as word clouds. Second, trend analysis creates a line graph of word frequencies and helps to measure and compare the development of key collaborative governance concepts. Third, collocation analysis produces a network graph of words that appear in proximity with each other in the document or corpus.



These tools are useful to quantify and visualize text corpora in reliable and replicable ways. They are particularly helpful for uncovering and mapping out broader patterns of topics in large amounts of text. However, due to the immature state of theory building with relation to the importance of institutional factors in Europe, we did not see it justified in terms of expected added value to conduct a full-scale quantitative analysis.

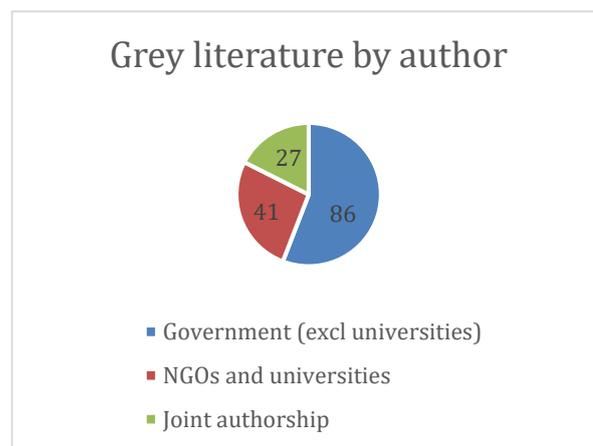
## **2.2 Grey literature**

Grey literature has been defined as documents 'produced on all levels of government, academics, business and industry in print and electronic formats, but which is not controlled by commercial publishers' (The Fourth International Conference on Grey Literature in Washington, DC, in October 1999). For the purpose of this report we focus on material produced by government and independent organizations (usually think tanks or NGOs), the latter of which may take perspectives of industry and business into account but more usually represents 'civil society' or sectoral 'civil society' perspectives. Vast amounts of such material are produced in any polity, and we were not aware of any previous systematic attempt to capture this. In order to get a sense of the availability and scope of grey literature for the countries under scrutiny, we asked each partner in the TROPICO project to provide a sample of documents that that the partner research team saw as important contributions to the field in their respective contexts, with a focus on recent additions but with older ones allowed if they had major impact in the field. Instructions were deliberately kept not too detailed, in order to capture potential varieties across and within countries. As expected, this resulted in a wide variety of documents.

In total, 154 documents were collected from the 10 countries. There was great variation in number per country, from only 3 (Spain) to 32 (Belgium). Out of the 154, only 24 documents were in English. All except 29 documents were in languages that could be read by the authors of this report. For documents in Estonian, Spanish and French, we had to resort to comments by the partners who sent them. Out of the 154 documents, most were produced or commissioned by governments (86, see Figure 2).

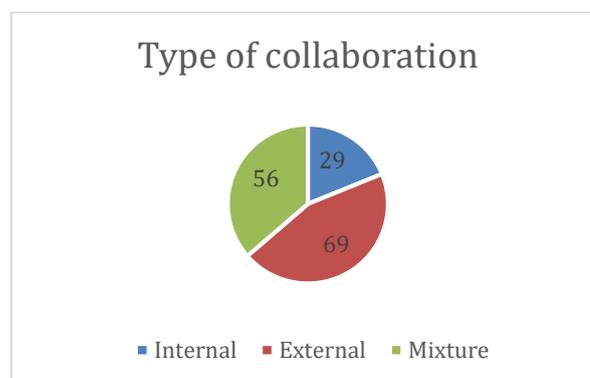


*Figure 2: Grey literature included in the analysis by author type (N=154)*



More documents dealt with external or a mixture of external/internal arrangements (125) than with internal collaboration (collaboration within government) (29; see figure 3). Furthermore, different country correspondents focused on different document types. For instance, whereas the team in Germany selected grey literature documents focusing on external collaboration, the Norwegian team selected documents focusing on internal collaboration. This pre-selection by the experts from the TROPICO consortium already signals the variation of governmental documents with regard to the importance of digital transformation for governmental collaboration: Whereas in some countries the ‘executive discourse’ – as expressed by governmental documents and reports by think tanks etc. addressing governments – is primarily focused on external collaboration and the interactions between the state and stakeholders or citizens, other countries are mostly engaged in an executive discourse on internal collaboration and how digital transformation shapes those interactions between governmental authorities. A strong link to the digitalisation agenda is present in some country material, but not all.

*Figure 3: Grey literature included in the analysis by collaboration type (N=154)*



Since the diversity may not only stem from actual diversity document types, but may also be due to the experts' understanding of the term and research interests, the document collection should not be seen as a representative sample of available documents, and its generalizability is therefore limited. However, a cursory glance at the topics covered in these documents and how they are described, together with in-depth analysis of 20 selected documents (2 per country), for which we again used the NVivo qualitative analysis software, added depth to the academic literature search, as will be outlined in section 3.3 below.

## 2.3 Expert survey

To cross-check whether there may be significant European research conducted outside mainstream English-language journals, we also conducted a limited *expert survey* with academics from ten countries representing five different administrative traditions in Europe: Nordic (Norway, Denmark), Central and Eastern European (Estonia, Hungary), Continental (Netherlands, Germany), Napoleonic (France, Spain) and mixed (Belgium), and Anglo-Saxon (United Kingdom). The academics experts<sup>1</sup> were first asked to translate the term 'collaborative governance', explain if the translation is literal or not and provide related terms. They were then asked to comment on the term's usage by academics, policy makers and the broader public, explain if it is a 'new' or 'old' term, if it is seen as 'domestic' or 'foreign', and, finally, if it has negative or positive normative connotations and whether these normative connotations have changed over time. These assessments were checked against the 'grey literature' (government and think tank reports) provided by each project partner. Respondents were also asked to identify leading scholars publishing work in their own language, to see if there are scholars writing on this subject that would not have been captured by English-level searches. The gained material proved valuable for our analysis, but was limited in size, and could therefore be managed and analysed through systematization in Excel sheets. The limited amount of data made it unsuitable for quantitative analysis. However, systematic insights were incorporated in the next step of our analysis (see Chapter 3.1).

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<sup>1</sup> We thank TROPICO partners Peter Triantafillou, Sonia Royo, Koen Verhoest, Joachim Vandergraesen, Erik Hans Klijn, Tiina Randma-Liiv, Cerlin Pesti, Lise H. Rykkja, James Downe, Gerhard Hammerschmid, Kai Wegrich and Claire Dupuy for providing their expertise and some of the text for this and following paragraphs on behalf of their teams.



## Chapter 3: What is 'collaborative governance'?

Collaboration and digitalisation are reform trends that are currently high on the agenda for most European governments (Hammerschmid et al. 2016), and are key to European Commission activities with respect to the transformation of public administration at multiple levels (European Commission, 2016). This is not new: A long line of European politicians have stated the need for government units to overcome organizational cleavages and reach out to citizens in order to address difficult policy problems<sup>2</sup> and deliver public services more efficiently, and have emphasized the potential of information technology in these areas. This has also been a key component in the actual public sector reforms that have taken place across Europe especially in post-NPM reforms seeking to go beyond the emphasis of marketization in NPM and address organizational fragmentation (Lægreid, Randma-Liiv, Rykkja and Sarapuu, 2014; Lægreid, Sarapuu, Rykkja and Randma-Liiv, 2015; see also section 3.3). As demonstrated by the expert survey analysed below, there are many terms for this phenomenon, such as collaboration, coordination, cooperation, joined-up governance, network governance and metagovernance. In this chapter, we therefore discuss how these terms may overlap or differ, and how collaborative governance is understood across geographic, disciplinary and sector contexts.

### 3.1 The understanding and connotations of collaborative governance in EU countries

The term 'collaborative governance' may be interpreted normatively and culturally differently in various EU countries. As discussed previously (section 2.3), we conducted a limited expert survey with the TROPICO partners. The survey indicates considerable diversity in interpretations and that even translating the term is often fraught with difficulties.

- For instance, in **Denmark** the direct translation of collaborative governance translation is *samabejdende styring*. However, that term is very rarely if ever used to describe the phenomenon. Instead there are Danish terms that are fairly close (but not identical) with the

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<sup>2</sup> Often referred to as 'wicked' policy problems (Rittel and Webber, 1973; Head, 2008). A case inventory of coordination practices in Europe carried out within the 7th Framework Programme 'COCOPS - Coordinating for Cohesion in the Public Sector of the Future' showed that coordination practices indeed typically dealt with such problems (see Lægreid et al. 2013).



term collaborative governance: *netværksstyring* (network governance); *samskabelse* (= co-production); *tillidsbaseret ledelse* (= trust based management) or *samarbejdsdrevet innovation* (=collaborative innovation). All these terms have increasingly been used since around 2005 to indicate various forms of collaborative governance. It can be noted that *samarbejde* (cooperation or collaboration) always has had a positive value in Danish society where institutionalized dialogue and cooperation between state and various interest groups and civil society has been a strong norm. Since the mid-2000s, the term has also increasingly been regarded as something that has been eroded internally in the public sector due to NPM reforms, and has thereby gained new attention with the so-called Post-NPM reforms. Accordingly, municipal leaders, public sector unions, the regional leaders, and partly some ministries are calling for renewed forms of cooperation/collaboration to improve the outcomes and value of the public sector activities.

- In **Norway** similar terms are used - *samstyring*, *nettverksstyring*, *samordning*, *samvirke*, *samhandling* and *samarbeid* - with perhaps the difference of Danish having another term for co-production (*samskabelse*) whereas Norwegian has *samordning* as a word that is close to 'coordination'. In addition, *samvirke* has been used increasingly, especially in the area of societal security and crisis management after the 2011 terrorist attacks that killed 77 persons (for an analysis conducted of how the events exposed weaknesses in crisis management coordination that have only partly and incrementally been addressed in terms of organizational changes, see Christensen, Lægreid, and Rykkja, 2015). *Samhandling* has been an important concept in a recent reform relating to primary health care and secondary health services. In addition, the use of the word *partnerskap* (partnership), which was used extensively in a welfare reform (the NAV reform) taking place in the first decade of the 21<sup>st</sup> century (see Lægreid and Rykkja, 2014), may indicate European influence. Notably, different Norwegian terms are used in different documents, sometimes meaning the same thing and sometimes not. There is sometimes a distinction between vertical and horizontal relations, and sometimes not. It varies whether collaborative governance refers to internal relations within a single organization, or external relations between different organizations. Collaborative governance is sometimes seen as a process. and sometimes as an end-result.



Often, these distinctions are not spelled out clearly, hence the term is often vague and ambiguous.

- Just as in the Nordic countries, collaborative governance is a well-researched topic in the **Netherlands**, but, as pointed out by the country expert, documents and publications often discuss collaborative governance with different terms and without using the (academically) 'correct' definitions, which would be *collaboratieve governance* for collaborative governance, *netwerk governance* for network governance, *netwerk* for network and *samenwerking* for collaboration. In the Dutch-speaking parts of **Belgium** *netwerk management* and *managen van samenwerking* are the most frequently used terms, but also uses *horizontale samenwerking*, *samenwerking*, *netwerk governance*, *netwerken*. Another term is *transversale samenwerking* (transversal governance), which might show influence from the French, see below.
- In **Germany** the literal translation is *kollaborative Governance*, but in use are also *Governance* as a stand-alone concept, *Kooperation*, *Public Private Partnership/Öffentlich-private Partnerschaften*, *Kooperative Verwaltung*, *Beteiligung*, *Zusammenarbeit (in Netzwerken)*, and *partizipative Governance* if the focus is on democratic participation. It should be noted that the literal German translation of collaborative is *kollaborativ*, which can mean 'working-together', but which also has a negative connotation in Germany associated with 'collaborating with the enemy' during the world wars, and is not commonly used in the meaning of 'collaborative governance'. 'Governance', on the other hand, is used in diverse settings and has a rather positive and modern connotation, used in many different contexts, describing a diverse range of social coordination mechanisms.
- In **Spain**, the literal translation of the term would be *gobernanza colaborativa*. This term (and the associated phenomenon) is perceived as relative new and generally viewed positively, although rarely used by the general public. Its use in academic papers and the political discourse is also limited when compared to other related terms, such as *gobierno abierto* (open government) or *gobernanza multinivel* (multilevel governance).
- In **France**, collaborative governance is mainly referred to as *gouvernement ouvert* (open government) in relation to the issues of *modernisation de l'Etat* (literally state modernization



or public administration modernization) and *simplification*, after a reform launched by President Hollande. The term 'modernisation' is nothing new - it could be argued that it goes back to the post WW2 period when the French government launched several reforms to reorganize the private and the public sector as well as the public administration. But the 2007 reform (*Révision générale des politiques publiques* - General review of public policies) led to a wide discussion around the issue of state modernisation, in particular the transformations of public administration toward increased cooperation between state services and better quality of public service for users. Simplification measures were launched by President Hollande in March 2013. Governmental communication emphasized the idea of a 'simplification shock'. The measures aim at simplifying the relationships between public administration and citizens on the one hand, and firms on the other hand. Collaboration is mentioned in line with the open government initiative and has a positive connotation. A term used in **French** is also 'transversalisation'.

- In **Estonia**, no direct translations of 'collaborative governance' are in general use. While in Estonia the terms 'collaboration' and 'governance' are widely used separately, there is no literal translation of the combination, and Estonian instead has the term *ühtne valitsemine* (united governance). This refers to coordination and collaboration mostly within the central government. The emergence of this term was related to the OECD country report in 2011, which strongly motivated this discussion.
- In **Hungary**, collaborative governance can be translated as *együttműködő kormányzás*, but it is not used by academics, practitioners or the general public. It can be found in some documents that have been translated from EU English sources, or which have heavy EU influence, such as in documents about 'e-governance'. However, at the same time it should be noted that the term *együttműködés* (cooperation-collaboration) has been an important term in the discourse of the Hungarian government coming into power in 2010. In this context, it refers to the type of unity that a nation can achieve by working together and mobilizing its various resources for the national interest. There are other terms that would be a part of 'collaborative governance' that are used frequently, such as *társadalmi egyeztetés*, which is mostly translated as 'public consultation', but could more literally be



translated as 'societal agreement [procedure]'. *Együttműködés* generally has the usual positive connotations. In government discourse it has gained a more specific meaning and connotations. As explained above the term on its own has been used in prominent places over the past years, see for instance the document on cooperation published in the month after the government coming into power. The term 'system of national cooperation', as used by the Orban government, has heavy nationalist connotation, so whether this is seen as 'positive' or 'negative' would, in the current polarized Hungarian political landscape, partly depend on political party preferences. The term *részvételi demokrácia* (participatory democracy) is also in use by academics and policymakers, although a tendency to use it both to indicate 'direct democracy' and the more recent forms of deliberative democracy experiences can be detected.

To sum up, the term collaborative governance has somewhat of a chameleonic character in English, and capturing its essence in one term in other languages causes even more difficulties due to the tendency of English-language academic and policy language to dominate international discourses and thereby be an object of transfer. On the direct question if the literal term is used by academic writers in their local context, a clear 'yes' was provided only by the UK and Spanish partners, and even in the latter country other terms are more common. Thus, scholars usually use terms that are related to collaborative governance and in turn take on different connotations in the local language. However, different versions of the terms networks, steering, governance and coordination seem ubiquitous. The usage among policy-makers and broader public discourse appears more mixed to the extent that while the literal translation 'collaborative governance' is largely absent (including in English-speaking UK), some countries have prominent and long-standing discussions around related concepts (e.g. *Zusammenarbeit*, *Partizipation* or *Beteiligung* in German, *samstyring* or *samordning* in Norwegian), in other countries this discussion is relatively new (e.g. Spain, France) and/or not of high salience in public discourse (e.g. Estonia, Hungary). Overall, collaborative governance is generally viewed positively: collaboration is seen as something that enhances government's ability to reach diverse policy goals.



### 3.2 Collaborative governance in the academic literature

Table 1 lists the ten most cited articles on ‘collaborative governance’ and ‘collaborative public management’ according to Google Scholar (search conducted August 2017), in order to tease out the main commonalities and differences in the most influential sources in the recent literature. The overlapping usage of collaborative public management and collaborative governance was noticed by Kapucu, Yuldashev, and Bakiev (2016), who reviewed 22 articles and based on that drew the conclusion that there are more significantly similarities and differences between the two concepts. However, a tendency can be discerned in which collaborative governance is a broader concept where the phenomenon in question tends to be explained by global forces and technology, whereas collaborative public management takes more a strategic actor approach and uses more literature from new public management (Kapucu et. al 2016).

**Table 1:** *Definitions of collaborative governance and collaborative public management in the ten most cited articles*

Article	Google Scholar citations Aug 2017	Definition
Ansell and Gash 2008, p. 544	2390	‘[Collaborative governance is a] governing arrangement where one or more public agencies directly engage non-state stakeholders in a collective decision-making process that is formal, consensus-oriented, and deliberative and that aims to make or implement public policy or manage public programs or assets’
Agranoff and McGuire 2003, p. 4	1614	‘Collaborative management is a concept that describes the process of facilitating and operating in multi-organizational arrangements to solve problems that cannot be solved, or solved easily, by single organizations. Collaboration is a purposive relationship designed to solve a problem by creating or discovering a solution within a given set of constraints (e.g. knowledge, time, money, competition, and conventional wisdom: Schrage 1995). The term ‘collaboration’ should not be confused with ‘cooperation’. The latter refers to working jointly with others to some end, as does the former, but the more accepted definition of cooperation means that those working jointly seek to be helpful as opposed to hostile.’
Bingham, Nabatchi, and O’Leary, 2005, p. 547	779	‘Leaders in public affairs education [...] identify horizontal networks of public, private, and nonprofit organizations as the new structures of governance as opposed to hierarchical organizational decision making. We argue here that there is another face of the new governance, one that involves the citizenry—the tool makers and tool users—and the processes through which they participate in the work of government.’
McGuire, 2006, p. 33	779	‘Collaborative public management is a concept that describes the process of facilitating and operating in multiorganizational arrangements in order to remedy problems that cannot be solved — or solved easily — by single organizations.’
Freeman 2011 (1997)	902	‘Collaborative governance is characterized by the following features: 1. A problem-solving orientation. [...] 2. Participation by interested and affected parties in all stages of the decision-making process. Broad participation has an independent democratic



		value and may facilitate effective problem solving. It may take different forms in different contexts. 3. Provisional solutions. [...] 4. Accountability that transcends traditional public and private roles in governance. [...] 5. A flexible, engaged agency.'
Emerson, Nabatchi, Balogh, 2012, p. 2	687	'The processes and structures of public policy decision making and management that engage people constructively across the boundaries of public agencies, levels of government, and/or the public, private and civic spheres in order to carry out a public purpose that could not otherwise be accomplished.'
Huxham et al. 2000, p. 339	395	'In this article, the terms "collaboration" and "collaborative governance" are taken to include all forms of, and labels for, governance that involves people in working relationships with those in other organizations.'
Newman et al. 2004	371	No explicit definition, but: 'The role of the state shifts from that of "governing" through direct forms of control (hierarchical governance), to that of "governance", in which the state must collaborate with a wide range of actors in networks that cut across the public, private and voluntary sectors, and operate across different levels of decision making.'
Cooper, Bryer and Meek 2006, p. 76	360	'This kind of collaborative public management represents a form of governance that extends beyond "the process of facilitating and operating in multiorganizational arrangements to solve problems that cannot be solved, or solved easily, by single organizations" (Agranoff and McGuire 2003, 4). We intentionally use the phrase <i>citizen-centered collaborative public management</i> to emphasize the role of the public in collaborative management processes, which have not always recognized the value of citizenship.'
Bingham and O'Leary 2015, p. 3	279	'Collaborative public management is a concept that describes the process of facilitating and operating in multiorganizational arrangements to solve problems that cannot be solved or easily solved by single organizations. Collaborative means to co-labor, to achieve common goals, often working across boundaries and in multisector and multiactor relationships. Collaboration is based on the value of reciprocity.' (Drawing on Agranoff and McGuire 2003)

Source: Citations listed by Google Scholar.

As is clear from Table 1 and as pointed out by Emerson et al. (2012, p. 1), 'Collaborative governance has become a common term in the public administration literature, yet its definition remains amorphous and its use inconsistent'. The currently most cited article was published in 2008 by Ansell and Gash in the *Journal of Public Administration*. The article has been cited 2,390 times according to Google Scholar and offers a fairly restrictive definition in that it requires participation by non-state actors: 'a governing arrangement where [...] public agencies directly engage non-state stakeholders' (Ansell and Gash, 2008, p. 544 see also Table 1). Coordination within government, among government-sector actors is hence excluded. As noted by Ansell and Gash this should not be controversial, since the popularity of the term 'governance' partly comes from it capturing blurring boundaries between the public and private sectors (Stoker, 1998). Importantly, the definition also emphasizes that it is the government that is the primary actor, taking the formal initiative for reaching out to non-governmental actors. This excludes advocacy and lobbyism efforts, for instance,



where contact is typically initiated by private actors. It also excludes purely consultative practices where participants' engagement is limited to filling questionnaires or submitting opinions.

The definitions by Emerson et al. (2012) and Agranoff and McGuire (2003) are in that sense broader, since collaborative processes in their understanding also can be initiated from below. The influential citation of Agranoff and McGuire also stands out due to its emphasis on the nature of the policy problem itself, collaborative management is a process dealing with 'problems that cannot be solved, or solved easily, by single organizations' (Agranoff and McGuire 2003, p. 4 see Table 1). The work of Blomgren Amsler (formerly Bingham) appears twice on the top-10 list (Bingham, Nabatchi, and O'Leary, 2005; Bingham and O'Leary, 2015), and can also be found later down the list. This approach also stresses the nexus between public and private, combining the concepts of collaborative public management and participatory governance to describe and explain the increasing volume of public policy processes involving collaboration with, as they see it, mostly successful outcomes. A definition not included in Table 1 but worth citing here due to its reference to 'co-labor' is the description of collaborative governance 'to co-labor, to cooperate to achieve common goals, working across boundaries in multisector relationships. Cooperation is based on the value of reciprocity' (O'Leary, Gerard, and Bingham, 2006, p. 7).

The influential body of work mentioned above can perhaps be seen as representative of US scholarship, which tends to emphasize the external dimension of collaboration rather than internal (within government) collaboration. In contrast, European scholarship, especially public administration scholarship, tends to view coordination among public bodies also as collaborative government, or other closely related concepts such as integrated governance, interorganizational government, joined-up governance or collaborative public management (e.g. Lægreid et al. 2014; Verhoest and Bouckaert, 2005; McQuaid, 2010), and for some recent empirical studies focusing on inter-agency collaboration (Plotnikof, 2016; Bodin and Nohrstedt, 2016; Qvist, 2016). However, this distinction should not be overstated: There is of course much North American and European cross-fertilization (see for instance Torfing and Ansell, 2017 and Ansell and Torfing, 2015). There are also many European scholars focusing on the non-state participatory dimension, such as Bartoletti and



Faccioli (2016) and (Benedetto, Carboni, and Corinto, 2016).

Beyond the external and internal collaborative governance division, the differences among these influential definitions of collaborative governance indicate at least five **dimensions** along which the term can be conceptualised,<sup>3</sup> ranging from narrower (restrictive) to broader, more diffuse notions of collaboration.

- The first of these taps into the **public-private** divide, and essentially interrogates whether collaboration is primarily seen as bringing together governmental and non-governmental actors or, alternatively, this bridging function is not seen as essential or left unspecified.
- The second dimension concerns **agency**, i.e., whether collaborative processes are seen to be initiated and/or controlled by public actors (typically government agencies), with non-governmental actors playing more or less important roles, or not.
- The third, closely related dimension is whether collaborative governance is conceptualised as **multi-directional**. Is it a multi-*organisational* process, i.e. whether it is restricted to organized interests (stakeholders that take an organizational form) and public bodies or whether the notion also allows for broad public involvement of *individual*/citizens?
- The fourth dimension concerns the **scope** of collaboration with relation to time (permanent versus task-oriented) and within the policy process, with some definitions assuming collaboration throughout the stages of a programme or project, while others anticipate collaborative arrangements that are specific to for instance policy design, decision-making or service delivery.
- Finally, the last dimension taps into the **normative** assumptions (or their absence) behind collaborative governance. Some scholars leave the objective of collaboration open, while others assume or explicitly require that collaboration is undertaken with a public purpose, in order to create public value. It is also common to assume that in the collaboration participants are driven by a constructive, problem-solving agenda.

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<sup>3</sup> Beyond these conceptual dimensions derived from the most cited definitions, any specific collaborative governance arrangement can of course be analyzed in other dimensions, such as depth and task portfolio (see for instance Boston and Gill, 2011), use and integration of instruments, participant structure (see for instance Askim, Fimreite, Moseley and Pedersen, 2011) or whether it is voluntary or mandatory, some of which constitute institutional factors that will be returned to in Chapter 4.



Moving from the 10 most cited definitions of collaborative governance and the five basic dimensions that define the term in this body of influential work, we broadened our analysis of the scholarly literature by analysing the abstracts of all 704 academic articles (see elaboration on how these were identified in section 2.1.). Together they form a word corpus of 141,449 words and 12,780 unique word forms. We used this data, first, to gain a graphic representation of the context in which collaborative governance is discussed in the academic literature. To this end, we conducted a collocation analysis on the entire text corpus and changes over time. The results are depicted in Figure 4. Unsurprisingly - since that is what the articles were selected on - the most common and most closely related words are *governance* and *collaborative*, but also *management*. The analysis shows that the terms collaborative and governance are closely linked to *public* and have been so for some time. However, while the term *collaborative* is also related to *process*, the term *governance* is linked more to *arrangement*. This suggests that collaboration is generally depicted as the procedural dimension and governance is depicted as the structural dimension. In addition, *integrated natural management* emerges as a key topic.



Figure 4: Collocation Analysis 2001-2017

2001-2005



2006-2010



2011-2015



2016-2017



2001-2017



Figure 5 on the next page depict the 100, 250 and 500 most common words in the articles as conventional word clouds. The relationship depictions and the word clouds both indicate the centrality of environment as a public policy field where collaborative governance takes place and is studied. The word clouds with a higher quantity of words better highlight the importance of the word 'social', which is likely to capture both popularity in social policy and that social factors matter both as drivers and outcomes of the processes and phenomena analyzed in these articles. The concept appears across a diverse set of journals, but beyond public administration, public policy and political science journals one sector-specific observation is that there is a high frequency of usage of the collaborative governance concept in environmental journals (see Annex 2). This is mirrored in the content of the articles. Further analysis of all articles published in 2016 and 2017 show that the environmental field is dominant, even though the collaborative governance concept has been applied to policy sectors from sports management (Shilbury, O'Boyle and Ferkins, 2016) to health (Bretas and Shimizu, 2017). This analysis also shows that the empirical focus of most articles is Europe, followed by North America.<sup>4</sup>

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<sup>4</sup>In 107 of the 148 articles in the search covering 2016 and the first half of 2017 it was clear from the title, keyword or abstract that the article was based on empirical evidence from a specific context. Most of the case studies dealt with Europe (42), followed by North America (29), Asia (19), Australasia (8), Africa (6) and South America (3).





Secondly, we used our database of 700 abstracts to check whether the type of words that appeared in the abstracts had changed over time, by dividing those written in the 21<sup>st</sup> century into three five-year-periods and ‘most recent’ documents (the 1.5 years preceding the data collection in July 2016). While the core words are similar, this revealed distinctive words compared to the rest of the corpus, which partly shows what concerned public debates in those times (Table 2). For instance, in 2001-2005 ‘Iraq’ ‘war’ and ‘reconstruction’ were distinctive words clearly reflecting world and Middle East politics at the time, whereas ‘risk’ is a distinctive word of the most recent period, as is ‘collaboration’ itself (which was not searched for in the corpus formation).

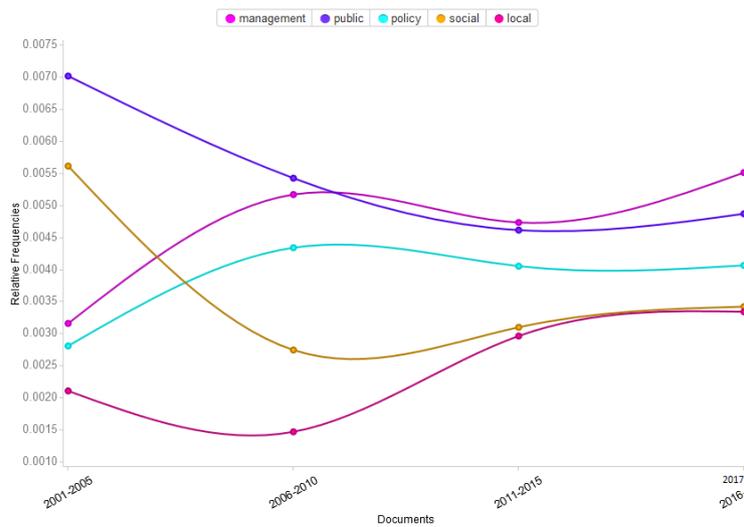
**Table 2:** *Evolution of covered themes over time*

Period	Distinctive words (compared to the rest)
2001-2005	subgroups (6), reconstruction (12), bond (6), Iraq (10), war (6)
2006-2010:	nursing (11), nurses (11), collaboration (44), chain (8), antecedent (8)
2011-2015	collaboration (137), branding (28), tour (21), model (76), rights (75)
2016-2017	collaboration (100), indigenous (24), flood (53), pasture (10), risk (47)

The *trend analysis* shows that the frequencies of words converge somewhat over time (Figure 6), but the changes do not seem dramatic. One exception is the change in the frequency of the word ‘social’, which is, however, hard to interpret without closer reading. Some of the words may signal the research interests in different fields as well as the empirical turn in these. Moreover, considering the steep rise in publications in the 2006-2010 period (see Figure 1) the observed convergence may indicate the consolidation of the academic field. In other words, a limited number of mayor *themes* in the academic study of collaborative governance appear to take shape and to assume similar importance in the field.

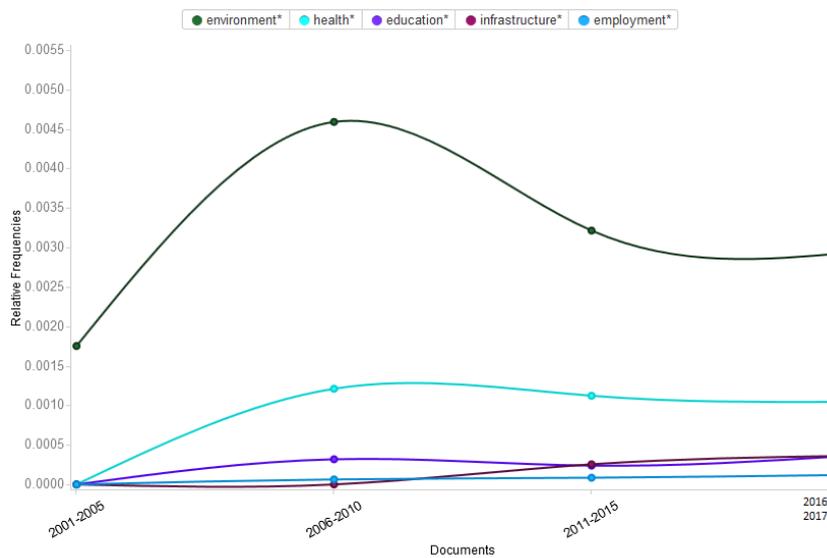


Figure 6: Change over time in the use of the most frequent words in the analyzed abstracts



This evaluation is supported by a comparison of the frequency of words per *policy sector*. In this context, the study measured the frequencies of the terms *environment*, *health*, *education*, *infrastructure* and *employment*. We have previously mentioned the dominance of the environmental policy field, but the comparison over time displayed in Figure 7 shows a significant decrease in the 2011–2015, and 2016–2017 period, compared with 2006–2010. Moreover, the steep rise of the *health* term comparing the 2001–2005 and the 2006–2010 period stagnates and regresses in the 2011–2015 and 2016–2017 period. The other policy fields are relatively stable, with just minor increases.

Figure 7: Change over time in frequency of words per policy sector



In sum, the analysis of the abstracts shows a great diversity in the usage, an increasing uptake over time, and some sector-related developments. Moreover, there is some tentative evidence that the field of collaborative governance has begun to consolidate and crystallize around a number of core issues after 2010. However, it is clear from the earlier section on how collaborative governance is discussed in the European context (section 3.1) that the scholarly debate also takes place using other terms and that it is impacted by broader societal developments. The next section, therefore, reviews its relation to such developments, and how that is mirrored in academic literature.

### **3.3 Inter-relations with other disciplines and social developments**

Public policy and public administration do not exist in societal vacuums, and are influenced by what happens in other spheres. In this section we discuss how collaborative governance can be linked to relevant contemporary debates in other disciplines and sub-disciplines, and how it is commonly defined.

Following up research on shared economy models in the economic sciences and psychology, academic debate has emerged about the extent and potentials of the *collaborative economy*, particularly following the success of platforms such as Uber and AirBnB. Questions include why people engage in collaborative economic behaviour (e.g. Hamari, Sjöklint, and Ukkonen 2016), whether the consequences are mainly good or bad for efficiency, the environment and social equality (Schor, 2016; Scholz, 2016; Sundararajan, 2014; Schor et al. 2016; Reisch and Thøgersen, 2015) and how it should, and could, be regulated (Cannon and Summers, 2015). There is also literature that solely focuses on networked and collaborative behaviour between businesses and how that can be managed (e.g. the highly cited book Camarinha-Matos, Afsarmanesh and Ollus, 2008). A related literature with much bearing on public administration and political science debates is the research on what local and regional governments can do to spur economic growth. The literature around innovation and technology clusters and especially how they grow around a triple-helix of universities, governments and business is extensive (Feser and Bergman, 2000; Etzkowitz and Leydesdorff, 2000; Chapman, 2005; Ahedo, 2004).

Perhaps less researched but still with a lot of public resonance is *collaborative arts* which has also



become more common since the 1990s (Conrad and Sinner, 2015; Kester, 2011; Clennon et al. 2016). In 2011, Kester asked why so many artists since the mid-1990s were drawn to the collaborative mode of production, sketching a historical development from modernism's focus on the individual to post-modernism (partially) reconnecting with mediaeval collaborative practices. Kester also highlighted how the term collaboration can have a darker ring to it, something that is also worth noting in the public administration context. '[The primary meaning of collaboration] ... is straightforward enough: "to work together" or "in conjunction with" another, to engage in a "united labour."' It is shadowed, however by a second meaning: collaboration as betrayal, to 'cooperative treasonably, as with an enemy occupation force' (Kester, 2011, p. 1–2). This link to the 'shadow' of collaboration is, to the best of our knowledge, unexplored in the public administration literature, where discussion of negative aspects tends to refer to potential detrimental effects on efficiency or problems of accountability rather than the negative images associated with the concept historically.

Political theory and especially lessons from research on *participatory and deliberative democracy* have also much bearing on the collaborative governance literature – and the practice of collaborative governance. Some of this literature seeks to operationalize these concepts for practical interventions, to the extent that deliberative governance scholar Antonio Florida talks of a 'policy-oriented turn' in his field (Florida, 2017). In his recent chapter in the *Oxford Handbook of Governance* Fischer (2012) entitled his chapter 'Participatory governance: from theory to practice'. Fung and Wright's work on how to conduct deliberative democracy in practice (Fung, 2003; Wright, 2010; Fung, 2005; Fung and Wright, 2003) has also inspired much following. Recent European examples include for instance citizen assemblies in the UK (Flinders et al. 2016), and Swedish National Forest Programs, which are 'forums for joint deliberation by the state, private companies and NGOs that are intended to resolve conflicts over forestry and enhance sustainability' (Johansson, 2016, p. 137). Florida refers to his native Tuscany Region as 'one of the first attempts to institutionalise a deliberative and participatory view of policy-making' (Florida, 2017, p. 10).

In the public policy/public administration-literature, debates around collaborative governance are closely interlinked to those around some of the alternative concepts mentioned in the beginning of



this chapter. While the systematic literature review was limited to collaborative governance, we have also scoured key works using these terms when reviewing the literature around institutional factors to be discussed in chapter 4. The research on *network governance* departed from the observation that non-hierarchical (horizontal) multi-organizational processes have increasingly been used to tackle complex problems (Sørensen and Torfing, 2006). This strand of the literature has focused on external collaborative governance processes, i.e. processes that include various types of non-state actors. More recently, the complexity of networks has also received more emphasis as both a key characteristic and focus for research. European researchers are driving this agenda,<sup>5</sup> including attention to how different types of complexity (substantive, strategic and institutional) can explain both progress and stalemate in these processes (Klijn and Koppenjan, 2014; Klijn and Koppenjan, 2016). Attention to how these networks can be governed or managed goes back to the 1990s (e.g. Kickert, Klijn, and Koppenjan, 1997) and has continued to receive attention (e.g. Provan and Kenis, 2008). The specific challenges and skills associated with governing or managing networks, as opposed to hierarchies or single-organizations, is sometimes referred to as metagovernance, even though that term can also cover broader concepts such as 'self-steering' (Sørensen and Torfing, 2006; Klijn and Edelenbos, 2007).

With respect to the internal dimension, collaborative governance tend to be situated in discussions about its (possible) relationship with *New Public Management* and *post-NPM* reforms. NPM is often seen to have led to increased specialization and structural fragmentation, in turn prompting governments to address these negative effects through joining up government agencies (Lægreid et al. 2015, p. 928). Instead of 'collaborative governance', this literature often uses the term 'coordination' when referring to efforts to increase the coherence of public policy design and service delivery (sometimes labelled post-NPM), even though the latter may imply more hierarchical relationships than those aimed for in collaborative governance practices (Lægreid and Rykkja, 2015). A major research undertaking on this topic was the COCOPS project<sup>6</sup>, which assessed the impact of

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<sup>5</sup>Leading to for instance the foundation in 2014 of the journal *Complexity, Governance and Networks*, a high-quality peer-reviewed open access journal available at <http://ubp.uni-bamberg.de/ojs/index.php/cgn/index> [accessed November 20, 2017].

<sup>6</sup>Coordinating for Cohesion in the Public Sector of the Future (COCOPS) was funded within the European Commission's 7th Framework Programme 2011-2014, see <http://www.cocops.eu/>.



NPM-style (and post-NPM) reforms in European countries, with one part looking specifically at coordination (and collaboration). The project found through qualitative and quantitative (survey) research that coordination is seen as important in across different European countries and that a number of different new instruments have been introduced, but that the process is often frustrating for those involved who frequently do not see the results they would wish for (Lægreid et al. 2013, p. 25). In short, 'new coordination arrangements cannot be considered to offer an instant panacea or even a quick fix. Although new coordination practices are often based on simple ideas, they seldom result in simple arrangements' (Lægreid et al. 2015, p. 350). Results also showed that types of coordination vary extensively and that there cannot be said to be any 'typical' European arrangement (Lægreid et al. 2013, p.25, see also Lægreid et al., 2014 for variation across European contexts).

The focus on collaborative/cooperation aspects in the NPM and post-NPM literature is rooted in efficiency rather than normative considerations – namely to address a practical concern with 'turf battles' or 'managerial' public agencies' reluctance to share responsibilities or 'talk to one another'. Indeed, calls for collaborative governance (with the involvement of external partners) are to some extent rooted in reactions to what many came to see as excessive managerialism brought by NPM and post-NPM. In terms of distinguishing between collaborative public management and collaborative governance, some argue that the former has a more local approach, focusing on substantive issues, whereas the latter deals more with issues of global reach (Kapucu et al. 2016). Others discuss the problem of scale, or 'scaling up' from local to global, within the context of collaborative governance alone (Ansell and Torfing, 2015).

### **3.4 Collaborative governance in non-scholarly work**

The purpose of this section is to establish whether government and independent reports in public administration, public service delivery and policies reveal different understandings of what collaborative governance is seen as than that is the case in academic articles. There is much public debate about lack of use of social science research by policy-makers (e.g. Stone, 2002), and if that is the case, including this 'grey' literature may give different perspectives. We also take note of the influence, if any, in these policy documents, of academic analysis.



For this purpose we collected 154 documents from the 10 countries participating in TROPICO (see section 2.3). While the documents are not statistically representative of policy writing on collaborative governance in the EU, they give a good indication of variety and general trends (see Annex 3 for the example of a specific country collection – the Netherlands). Based on the analysis of these documents we make the following observations:

First, there are clear links between research and policy. Work that has been done by public administration, public policy and political science scholars over the past decades seems to have informed the policy documents, although the relation is not always direct (academic pieces read by the author of the report in case), but filtered down through layers within and between countries. Thus, an Estonian report on Open Government produced for the OECD, in the section on whole-of-government contains reference to the academic work on institutions by March and Olsen (March and Olsen, 1983) and the public administration work of Christensen and Lægreid (Christensen and Lægreid, 2007). What has caught the eye of the author of the Estonian report is the analogy between creating a collaborative (whole-of-government) working culture and the work of a gardener, in the sense of needing long-term thinking, patience and careful nurturing (OECD, 2011). Norwegian scholars Lægreid and Rykkja are referred to in Norwegian policy texts (e.g. Direktoratet for forvaltning og IKT, 2016). The impact of European Union funded and supported projects can sometimes be directly traced in policy text as in the following example: 'In the last years coordination has become more and more on the agenda. A project which has looked at administrative reforms in Europe is COCOPS [which] shows that that top leaders in Norway and ten other European countries see coordination as a big challenge, and that they perceive little or no improvement in the area' (Direktoratet for forvaltning og IKT 2017, p. 2).

Second, collaborative governance as such is not a dominant topic of policy writing, but it generally appears in other writings on networked governance, steering, coordination etc., as indicated by the country experts (section 3.1). Often terms are not clearly defined, but when they are, they show strong signs of having been influenced by scholarly discourses. Table 3 showcases five examples.



**Table 3: Terms and definition examples in their country policy writing context**

Country and document reference	Key term in English and Original Text	Key term/s and approximate translation
<p>ESTONIA. OECD Public Governance Reviews. Estonia. Towards a Single Government Approach. Paris. (OECD 2011)</p>	<p><i>Joined up government/whole-of government</i></p> <p>Joined-up government” or “whole-of-government” approaches are associated with a desire to ensure the horizontal and vertical co-ordination of government activity in order to improve policy coherence, better use resources, promote and capitalise on synergies and innovation that arise from a multi-stakeholder perspective, and provide seamless service delivery to citizens and businesses. It requires government bodies, regardless of type or level, to work across portfolio boundaries to achieve shared goals and to provide integrated government responses to policy issues. Such an approach applies to both formal and informal working methods, and to the development, implementation, and management of policies, programmes and service delivery. A capacity to genuinely collaborate fundamentally enables a public administration to be more responsive to the needs of government and citizens</p>	<p><i>Joined up government/whole-of government</i></p> <p>Original in English</p>
<p>Denmark. Sammenhængsreform, (Regeringen Copenhagen 2017)</p>	<p><i>Cohesive government</i></p> <p>Regeringen vil skabe bedre sammenhæng for borgere og medarbejdere gennem en klogere og mere sammenhængende styring samt bedre overgange mellem sektorer. Vi skal gentænke styringen ud fra, hvad der giver værdi for borgeren. Regeringen vil desuden styrke samarbejdet på tværs af den offentlige sektor. Det betyder bl.a., at opgaver skal løses med afsæt i, hvordan borgeren oplever størst sammenhæng snarere end ud fra, hvordan vi plejer at løse dem. Det betyder også, at der skal ses på, om der er opgaver, hvor man kan få mere velfærd for pengene gennem eksempelvis samarbejde og fælles løsninger på tværs af sektorer.</p>	<p><i>Cohesive government</i></p> <p>The government will create better coherence for citizens and employees through smarter, more coherent management and better cross-sectoral transition. We must reconsider the governance based on what gives value to the citizen. The government will also strengthen cooperation across the public sector. This means, among other things, that tasks must be solved based on how the citizen experiences the greater context rather than how we usually solve them. It also means looking at whether there are tasks where you can get more welfare for money through, for example, cooperation and common cross-sectoral solutions.</p>
<p>Germany Engagementstrategie BMFSFJ Strategische Ausrichtung der Engagementpolitik</p>	<p><i>Citizen participation</i></p> <p>Bürgerschaftliches Engagement bezeichnet die freiwillige, nicht auf materielle Gegenleistungen ausgerichtete und meist</p>	<p><i>Citizen participation</i></p> <p>Citizenship is the voluntary, non-material counter-performance and usually collective activity of people for</p>



<p>(German Federal Ministry for Family Affairs, Senior Citizens, Women and Youth 2016)</p>	<p>kollektive Tätigkeit von Menschen für das jeweils subjektiv definierte allgemeine Wohl. Der Begriff umfasst auch den klassischen Begriff Ehrenamt, ergänzt diesen aber durch eine in einem allgemeinen Sinn politische Komponente und steht insofern in enger Verbindung zum Begriff des Bürgers/der Bürgerin (citoyen/citoyenne) im Sinne eines allgemeinen Weltbürgertums.</p>	<p>the subjectively defined general well-being. The concept also includes the classical concept of honorary office, but supplements it by a political component in a general sense, and is therefore closely connected with the concept of the citizen (citoyen / citoyenne) in the sense of a general world citizenry.</p>
<p>Netherlands A place in society where everybody/all actors can participate. (The Social and Economic Council of the Netherlands 2017)</p>	<p><i>Participatory society</i></p> <p>Vanuit de overheid worden Nederlanders de laatste jaren aangespoord allerlei zaken zelf op te pakken in plaats van ze aan de staat over te laten: de participatiesamenleving. Bij dergelijke aansporingen ligt de nadruk vooral op het zelf dingen doen als Nederlands burger in plaats van op meedenken en meebeslissen met politici en ambtenaren (Van Houwelingen et al. 2014). Gemeenten proberen – onder invloed van de decentralisaties en de bezuinigingen – op allerlei manieren hun inwoners te bewegen taken op zich te nemen en meer zorg te gaan dragen voor zichzelf en elkaar. Zo lijkt het erop, hoewel harde cijfers ontbreken, dat er her en der in het land op lokaal niveau nieuwe burgerinitiatieven ontstaan op het gebied van de (informele) zorg (Mensink et al. 2013). Dit is ook wat door de overheid van burgers in de toekomst verwacht wordt: niet de minister, maar de burgemeester of wethouder moet het eerste aanspreekpunt worden voor allerlei zaken. We zullen inderdaad aanwijzingen vinden dat de maatschappelijke en politieke inzet zich de afgelopen jaren meer heeft gemanifesteerd op het lokale niveau.</p>	<p><i>Participatory society</i></p> <p>Dutch people have been encouraged in the last few years by the government to tackle all sorts of things by themselves instead of leaving them to the state: the participatory society. In such incentives, the emphasis is primarily on having things done by Dutch citizens instead of attending and mediation with politicians and civil servants (Van Houwelingen et al., 2014). Municipalities try – in the context of decentralization and cuts – in various ways to encourage their residents to take on tasks and to take care of themselves and each other. Thus, although hard numbers are missing, there are new citizenship initiatives immersing in the field of (informal) care in the country at local level (Mensink et al., 2013).</p>
<p>Wales. Making the Connections - Delivering Beyond Boundaries: Transforming Public Services in Wales Welsh Assembly Government. Cardiff. (Welsh Assembly Government 2006)</p>	<p><i>Collaboration</i></p> <p>Through collaboration, organisations can make best use of specialised resources, overcome problems arising from limited capacity and provide an integrated service that is focused on the citizen. Collaboration needs to take place at the appropriate level and in the appropriate form. Some services need a national approach (e.g. bus passes), some a regional approach (e.g. transport planning), some a local approach (e.g. Communities First).</p>	<p><i>Collaboration</i></p> <p>Original in English</p>



Third, the reviewed documents say relatively little about causal processes and concrete factors that need to change. Instead, the texts are often at quite high level of abstraction, and emphasize general 'needs' to cooperate, come together, engage citizens, etc. However, some variety in terms of how government can be re-structured, or how current structures (organizational units) can be used to enhance collaboration, could be detected. A non-exhaustive list of structures/institutions mentioned as important to establish or to further develop collaboration include:

- Collaboration through collaboration frameworks: from bilateral partnerships to very complex networking (Belgium 2016, A Stretched Out Hand 2030, original in Dutch, Sociaal-Economische Raad van Vlaanderen 2016)
- Social Impact Bonds (Denmark 2017, Sammenhaengsreform – borgeren forest)
- Investment Pools (Denmark 2017, Sammenhaengsreform – borgeren forest)
- Unified Ombudsman Service accompanying a unified collaborative government (UK Wales, 2006, Making the Connections)
- Cross-sectoral Working Groups (Estonia, 2011, OECD report)
- Formalizing networking in government, modelled on EU Secretariat in the Government office (Estonia, 2011, OECD report)
- Non-elected Village and District Councils operating as private law associations or foundations (Netherlands 2015, The Social State)
- Open Government Forum – a structured space for consultation and debate, composed of representatives of the three levels of Public Administration and representatives of Civil Society (Spain 2017, 3rd Action Plan on open government)
- A council of civil society shareholders (The Netherlands Scientific Council for Government Policy, 2015)

Fourth, government and think tank reports show more interest in intertwining the concepts of collaborative government with digital means and e-governance than the academic literature. While academic articles, as seen above, have not engaged much on a theoretical level with what the introduction of new ICT technologies mean for the dynamics of collaborative arrangements, it is clear that among policy-makers much hope is placed on this. Many, if not most, documents seemed



to have specific sections highlighting the importance of investing in ICT and exploring its potential. For instance, a German document discusses how 'with the help of on-line petitions, the democratic participation of citizens is strengthened' and how new formats like 'hackathons' can lead to software products of use for democracy, while this also entails challenges like 'protection of minors, or the support of senior citizens' (Germany 2016, Strategy for Engagement Politics at the Federal Ministry for Family Affairs, Senior Citizens, Women and Youth). Another German policy document hopes that ICT will 'offer possibilities for informing and allowing the participation of young people. They can be used to exchange a wide variety of information, and thanks to their inter-activity, to increase the participation of young people' (Brocke and Karsten 2007, p. 186). The different functions of digitalisation for coordination is emphasized in a Norwegian policy document, which sees it as an external driver for public administrative development, as a tool, and as something which contributes to the creation of new knowledge. Through enabling sharing of knowledge, it may also contribute to coordinating policy content to a higher degree than before (Direktoratet for forvaltning og IKT, 2017).

Finally, the reviewed documents rarely if ever include discussions of potentially negative aspects of collaborative governance. For instance, Estonian material highlighted the strong informal networks in the country, and the need to formalize those, but did not turn this into a discussion of issues such as risk of corruption, clientelism or lack of accountability.

To sum up, the grey literature review points to understandings of collaborative government that largely overlap with academic writing, although often without using the specific term 'collaborative governance'. This is also to say that conceptual confusion is not limited to academia. Even within the same country contexts, multiple terms are often used for describing similar practices. Notably, external and internal collaborative governance is discussed both in conjunction and separately. There is relatively little attention to drivers and obstacles, even though texts with policy recommendations often contain implicit theories of change at the general level.



### 3.5 Key findings

Despite its popularity in both academic and practitioner circles, collaborative governance remains a fuzzy concept. The analysis of the most influential academic sources demonstrated that the term is used to describe practices that differ in terms of five key dimensions: participation (inside and/or outside government); agency (who drives these processes); inclusiveness (organizational and/or citizen participation); scope (time frame and stage of policy cycle); and normative assumptions (positive or neutral). A wider pool of academic work, based on a database of article abstracts, indicates that collaborative governance tends to be discussed in the context of public management, and that even though the most covered field of application is environmental policy, it is researched across broadly varying sectors including sports and culture. The small expert survey to the TROPICO partners shows how the concept's application gets further blurred when used in differing country contexts, used in languages that sometimes have long-rooted terms that are frequently used, and sometimes have imported the concept of collaborative governance in a way that remains outside daily public and discourses. Finally, the grey literature seems to have developed in parallel with scholarship: it rarely taps into the academic literature directly, but it is informed by it, and practitioners' perspectives on collaborative governance do not differ markedly from those employed in academic analysis. At the same time, digital means/ICT appears to be more prominent in the grey literature than in the academic literature. This indicates a research gap: The use of digital tools and means to ensure/promote collaboration remains relatively under-researched by public admin/public management scholars.



## Chapter 4: What makes collaborative governance work (better)?

The previous chapter used a systematic review approach to showcase the varying definitions and uses of the concept collaborative governance in European societies and by scholars. In this chapter we present the results of a more conventional narrative literature review in order to map the state-of-the-art knowledge on how collaborative governance works. We do this first by outlining the dominant theoretical approaches to understanding collaborative governance, followed by a separate discussion of distinct institutional factors that matter for both internal collaboration within government and external collaboration that includes societal stakeholders and citizens.

### 4.1 Understanding collaborative governance – state of play

This section reviews the theoretical perspectives and empirical contributions of key international and European researchers in the field, starting with the most cited contributions. This includes the ten papers we used for discussing definitions of the concept in section 3.2, but here they are presented thematically instead of according to this ranking list. The purpose is to give an overview of the state of the art in the field, before narrowing down to what factors are seen to matter most for structuring collaborative governance.

As noted by Ansell and Gash, authors of the most cited definition of collaborative governance, the literature on collaboration has an ‘untidy character [which] reflects the way it has bubbled up from many local experiments, often in reaction to previous governance failures’ (Ansell and Gash 2008, p. 544). As a result of that, their efforts to systematically code approaches and explanatory variables for the purpose of meta-study testing were initially ‘frustrating [since] the language used to describe what was happening was far from standardized [and there was] a severe problem of “missing data”’ (Ansell and Gash, 2008, p. 549). Nonetheless they were able to use existing research on 137 cases to create a model of collaborative governance incorporating starting conditions, process conditions, institutional design and leadership. We will return to these in the section 4.2 and 4.3. While originating with US-American research, their model incorporates global research, and both scholars before and subsequently cooperated with European researchers (see for instance Ansell



and Torfing, 2015).

Bingham et al. (2005) started from a new governance approach, assuming that more complex governing arrangements are needed, and to some extent emerge naturally, to solve complex policy problems. Clearly departing from an American perspective, they mapped ongoing quasi-judicial and quasi-legislative processes taking place at international, federal, state and local level, highlighting the importance of participatory governance experiments including citizens. They called for both research and curricula in public affairs and public administration academic centres to cater to the need for more knowledge about the choices and time-lines of these processes, together with more knowledge on impact, implementation and institutionalization. (Bingham et al. 2005). Bingham and O'Leary's most recent edited volume is situated in the public administration and management discipline and literature. The purpose of the volume was to encourage lateral thinking, the incorporation of knowledge from other disciplines and theoretical traditions, in order to understand more about the antecedents, processes and outcomes of collaborative governance (Bingham and O'Leary, 2015).

Discussions on the concept of collaborative governance are offered in a working paper by Donahue in 2004, written in the context of a research project on social corporate responsibility. In the paper, he called attention to how one could move from a parsimonious definition of collaborative governance as 'some amalgam of public, private, and civil-society organizations engaged in some joint effort' to more elaborate characterizations, taking a number of features into account, such as formality, duration, focus, institutional diversity, valence, stability and initiative. The paper further pointed out the need for more conceptual, empirical and evaluative research, along with thinking on how to teach this material to students and practitioners (Donahue 2004) This was later followed up with other research on collaborative governance and the involvement of private sector (Donahue, Zeckhauser, and Breyer, 2012).

Other influential and highly cited US-American authors that also focus on external collaboration, i.e. between the public sector and non-profit organizations, are Agranoff and McGuire, scholars within public administration and political science. In their 2003 book, they offered a framework for



explaining why and how the extent and purpose of collaborative arrangements vary between and within cities. Their core hypothesis concerned variety and pluralism. Using case studies from a number of US-American cities, they tested, and confirmed, that many approaches can exist in parallel within the same city, and that structural and administrative strategic actions matter alongside political and economic reasons for collaboration. Given this room for strategic action, they emphasized that public managers need to be more equipped in order to be able to “manage across rather than within organizations” (Agranoff and McGuire 2003, p. 8). McGuire’s subsequent well-cited literature review focused on the extent to which collaborative governance is a new topic (McGuire, 2006), highlighting how classical public policy scholars such as Pressmann, Wildawsky (1984) and Hull and Hjern (1987) looked into collaboration within the different policy cycle stages already in the 1960s, 1970s and 1980s, and how classical US-American federalism studies always dealt with this topic (e.g. Elazar, 1962).

Using a broad definition of collaborative governance (see section 3.2), Emerson et al. (2012), argued that research on collaborative governance and related concepts had advanced enough to enable the creation of an integrative framework for understanding, developing and testing theory, and improving practice. Based on a synthesis of different literatures, they depict collaborative dynamics as depending on shared motivation, capacity for joint action and principled engagement, which all happen within a broader collaborative governance regime that is embedded within a particular system. The framework incorporates feedback loops in that actions have an impact on the collaborative dynamics, which in turn will affect further action as well as societal impact. The article was followed by a full-length book in 2015 (Emerson and Nabatchi, 2015), which not only further developed this framework but also offered of advice to managers and recommendations to policy-makers. Going beyond the US, they broadened the scope to be North American, including cases from Canada and Mexico. Such advice concerned for instance frameworks to manage multiple accountability relationships, and how to do situation assessments borrowing from mediation theory (Emerson and Nabatchi, 2015). This latter attention to assessment and accountability was especially welcome as a much-needed contribution to the field (Gash, 2016, p. 213).



Early UK-based contributions to the field include work by Huxham et al. (2000) on inter-organizational relationships from a management perspective. Based on a decade of research on collaborative actions primarily in the UK, a co-authored review article from 2000 is the most cited. They introduced the concept *collaborative advantage* to denote action that could not be achieved by an organization alone, and discussed this within a governance framework focusing on problem solving and opportunity creation along with institutional conditions. Huxham et al. argues that while diversity, for instance in resources, is essential for collaborative advantage to be created, it also creates many difficulties. Likewise, structural complexity, for instance deriving from uncertainty who the members of the collaboration actually are, and what relationships they have to each other, create a sense of confusion that has been empirically demonstrated in numerous studies (Huxham et al. 2000). Therefore, the potential collaborative advantage is often not generated in practice. An interesting recent empirical effort to measure the collaborative advantage was carried out in Canada by Doberstein, where decision-making in a collaborative governance for the handling of policies related to homelessness was studied in detail. The research found that 50% of the of the decisions would be different or not take place in a conventional bureaucratic setting, and that the civil society participants indeed brought different perspectives that were transformed into policy (Doberstein, 2016).

Focusing on how to improve democracy in terms of solving local concrete policy problems, Newman et al. (2004) draw on governance and social movement theory to discuss the constraints on citizen involvement in collaborative governance. Findings were based on qualitative research on deliberative democracy projects in the UK, carried out in the early 2000s. The paper gave numerous examples of frustration among citizens to the effect that little practical change resulted from these collaborative projects – an assessment shared by interviewed officials. On a theoretical level, the authors argued that the (new) governance theory underestimated the continued strength and dominance of the state, and proposed that the concept of ‘political opportunity structure’ derived from social movement theory can help to overcome these constraints. Their research also showed that many people involved in deliberative democracy projects had prior exposure to social movements in the broad sense, and that this shaped their perspectives and expectations.



Cooper, Bryer and Meek (2006) deal with citizen engagement in American historical and contemporary practice, and suggests a scaled typology of citizen engagement going from adversarial engagement (social movements), electoral (voting etc.), information exchange, civil society (general social capital) and deliberative focused. While these forms are increasingly closer to core values of civic engagement, Cooper et al. argue that there is space for initiating and improving civic engagement in collaborative public management in all five forms (Cooper, et al. 2006). Citizen engagement is also discussed by Ghose (2005), who looked at the potential of collaborative governance for marginalized citizens through a case study of neighbourhood strategic planning in Wisconsin, US. She found that such opportunities have indeed opened up through collaborative governance, but that constraints such as reduced funding, and participation being conditioned upon performance were also characteristic (Ghose, 2005). Resonating these concerns about negative effects or negative sides of collaborative governance, Purdy (2012) suggested a framework through which power in collaborative governance processes can be assessed. The framework consists of three sources of power – authority, resources and legitimacy – which can be used to influence the participants, process design, and content of a collaborative process. The framework was developed in an iterative process with empirical data from energy regulatory sector in the US, using data from the early 2000s (Purdy, 2012).

An example of how collaborative governance is studied in the important field of environment can be seen in a special issue of *Environmental Science & Policy* on the California water management system CALFED (Kallis, Kiparsky, and Norgaard 2009), which the authors believe to be the most innovative *and* the most researched collaborative engagement in the world. Beyond the usual factors that are conducive for collaboration (see more on this in section 4.2. and 4.3.) they put emphasis on the creation of ‘boundary organizations’, that is institutions where participants in the collaborative arrangements come together to align and bridge their different cognitive frameworks in order to create the conditions of trust and cognitive alignment necessary for collaboration. Kallis et al. name ‘The Science Program’ as an example of such a boundary organization. In the article, and the special issue, they also explore the ‘dark sides’ of collaborative governance. This mode of



governance is not the solution to everything, and common problems include long-term institutionalization, inability of collaborative governance to create durable distribution mechanisms for finite resources, and issues of legitimacy (Kallis et al. 2009).

While the most influential scholarship comes from the closely related disciplines or fields of political science, public administration and public management, a paper from a legal studies perspective also appears among the most cited sources on collaborative governance. Freeman (1997) proposes a normative model of collaborative governance and investigates what the obstacles are in the way of introducing such a model in the area of regulation. Arguing that collaborative governance is characterized by a problem-solving focus and participation (see section 3.2) the study considers issues around accountability as the more serious threat to collaborative governance and suggests that the discretion of regulatory agencies to act therefore needs to be restrained. (Freeman 2011, originally 1997).

To briefly reflect on this small body of most influential scholarship, four points are worth mentioning:

- The most influential research in terms of citations is primarily US-American. Eight out of the ten most cited sources are written by US-based scholars and/or deal primarily with US empirical examples, with the remainder from the UK.
- This scholarship is dominated by the public administration field, with influences from political science and public policy.
- Almost all contributions emphasize the importance of combining theoretical approaches.
- Collaborative governance in this tradition revolves around 'external collaboration', either on how to engage citizens directly or how to engage the private, often non-profit, sector. Internal collaboration, i.e. collaboration between different organizations or levels of the state, is generally not covered, although UK-based scholarship is to some extent an exception in this respect probably because of the new public management developments of the 1990s.



Beyond the global top-citation rankings, scholarship from a number of European researchers should be mentioned, primarily due to this work's relevance for TROPICO.<sup>7</sup> For instance, Scandinavian researchers are well represented in international journals. Coming mainly from a new governance perspective and using qualitative methods, Triantafillou and his co-authors' research sheds light on the politics of self-governance and collaborative governance (Sørensen and Triantafillou, 2013; Sørensen, Triantafillou and Damgaard, 2015). Petersen has written extensively on public-private partnerships and outsourcing, using empirical data going beyond his native Denmark (Petersen, 2011) and also co-operating with other European scholars to study how government policy can incentivize or hinder private-public partnerships (Verhoest et al. 2015). Using primarily qualitative methods and case studies, Agger and Andersen have both researched issues related to participation and democracy, Agger with a focus on urban governance and citizen participation and Andersen focusing on local democracy and co-production (Agger and Löfgren, 2008; Andersen and Loftager, 2014). Earlier (1990s and early 2000s) Klausen and Selle observed the development of the third sector in Scandinavia, and the new interaction styles with local public management that seemed to grow out of NPM spurred changes (Klausen, 2001; Klausen and Selle, 1996).

Norway has a rich tradition of research on collaborative governance that serves as academic outlet and which is also used by the national policy and practitioner community, with specific focus on internal collaborative governance. An extensive reform of the labour and welfare administration taking place 2001-2011 is a prominent example of (attempted) internal collaborative governance transformation that represented both horizontal (merged services across sectors) and vertical (state and municipal partnership) coordination. It meant to address those 'wicked' and crosscutting problems that scholarship for some time already had identified being important for driving such transformation, but results both in terms of that and general efficiency have been ambiguous (Christensen, Lægreid and Rykkja, 2015; Lægreid, and Rykkja, 2015; Askim et al. 2011). Later, a large-scale coordination reform of primary and secondary health care has also met a number of challenges (Lægreid, Nordø and Rykkja, 2013, p. 45; Grimsmo, Kirchhoff and Aarseth, 2015).

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<sup>7</sup> We thank TROPICO partners for pointing us to significant scholarship in their national languages.



Røiseland has contributed to both theory-building and empirical data gathering on Norwegian cases. Especially the work on co-governance in local contexts has had impact on national and international research and practice (Røiseland, 2011; 2010; Vabo and Røiseland, 2012). Several full-length books and edited volumes have been published in Norwegian only in recent years (Rommetvedt et al. 2014; Røiseland and Vabo, 2016; Fimreite et al. 2014). In addition to previously cited work by Rykkja, Læg Reid and Røiseland, scholarship by Hovik, Aars and Andersen is worth mentioning (see for instance Aars and Fimreite, 2005; Hovik and Hanssen, 2015; Andersen and Loftager 2014).

Significant European research has originated from the Netherlands and Belgium (especially its Flemish part). In addition to previously cited work by Verhoest, Kennis and Provan, important studies include Molenveld and Verhoest (2014), Pestoff, Brandsen and Verschuere (2013) and De Rynck and Voets (2006). Another example is the contribution to empirical work on new governance in the Flemish health care sector by Eijk and Steen (2014).

Focusing on the UK development in the 1990s and first decade of the 2000s (Entwistle and Martin, 2005), Entwistle has empirically demonstrated that cross-sectoral partnerships deliver if they are internal (public organizations working with other public organizations), but that they do not add value in terms of efficiency and equity when the partners are non-profit and that the result is negative for private-partnerships (Andrews and Entwistle, 2010).

In Estonia, Randma-Liiv and Sarapuu conducted single-authored and co-authored research in the field of public administration with some publications on collaboration/coordination (e.g. Læg Reid et al. 2015; Sarapuu, 2012). The country's infatuation with e-governance has been mirrored in academia, with for instance Lember, Karo and Kalvet writing on the topic, often with relation to innovation policy and how it can be linked to participatory or networked models (Karo and Kattel, 2010; Kalvet, 2012; Kattel, Randma-Liiv and Kalvet, 2011; Lember, 2004).

Finally, to capture the latest developments in the field, below we showcase some recent publications on collaborative governance, selected from the abstract collections of articles dealing with



collaborative governance, published in 2016 and 2017. While it is still too early to substantiate patterns, they show how integrated frameworks are coming into use and how calls for various niche and previously neglected topics are being followed up.

For instance, the gender aspect is under-researched in collaborative governance, but a recent article by Karen Johnston (2017) investigates the meaning of gender in public service collaborative arrangements in the UK. Her main finding is that collaborative governance does not ameliorate but reinforces gender roles and patterns of behaviour. Men tend to be in leadership roles, and women are more likely to think that decision-making is not collective even if they can voice their concerns. Women also tend to be less trusting and see collaborative arrangements less efficient (Johnston, 2017).

Empirical studies to estimate the extent to which collaboration takes place are rare, but a recent Dutch study sought to remedy this by investigating how much time managers spend on traditional (internal organizational) tasks versus orchestration (tasks that are inter-organizational and collaborated). They find that managers are still preoccupied with traditional tasks, but that orchestration is an important part of the work nonetheless (Bartelings et al. 2017).

Relying on the American collaborative governance frameworks outlined above (Ansell and Gash, 2008; McGuire, 2006; Emerson et al. 2012; Johnston et al. 2011; Bingham et al. 2005) Philip Jos focuses on how social equity can be advanced through ensuring fair and inclusive procedures when designing collaborative governance activities. The article, which synthesizes previous research including that on deliberative governance (e.g. Fung and Wright, 2003) draws the conclusion that government needs to take the lead in this and that there are substantive opportunities for such enhanced social equity (Jos, 2016).

Gugu and Dal Molin (2016) apply the Ansell and Gash (2008) framework to the local cultural policy sector in Italy, but complements that with important insights from European scholarship. In addition to citing Huxham (outlined above), they rely much on theory of network governance and network



management, using especially the work of Provan and Kenis (e.g. Provan and Kenis, 2008; Provan et al. 2013) and Sørensen (e.g. Sørensen, 2005; Sørensen, Triantafillou and Damgaard, 2015). Gugu and Dal Molin's work show that actor diversity will indeed matter, but that the categorization of actors with reference to for instance resources and size is not static but develops along with the collaborative governance partnership. Their work includes several recommendations to policy makers in the local cultural field, for instance that decision-makers should make sure to include mixed sets of actors, that those that have experience of collaboration should be designated facilitators of the networks and that there should be clear leadership roles alongside targeted incentives for participation (Gugu and Dal Molin, 2016).

While culture is understudied, environment stands out a primary laboratory for collaborative governance arrangements and research. Recently many of these studies incorporate advanced modelling techniques. Bodin Sandström and Crona (2017) studied five regional collaborative arrangements for coastal environmental areas in Sweden. Using social network analysis, they found among other things that high connectedness among actors made solving compound problems more likely, and that integration required coordination leadership (Bodin, Sandström, and Crona, 2017).

Many of the themes that appear from the reviewed classical and newer, global and European, pieces that have been mentioned in this and previous chapters will reappear as we now move on to identifying distinct institutional factors that may affect – promote or inhibit – institutions and practices of collaboration. Most of these are on macro level, by which we mean factors that affect all or most of the public sector and are more difficult for public actors to change than those on micro-level. Policy-makers might intuitively be less interested in these factors than academic researchers, since no 'quick fixes' are offered. Nonetheless, macro-level institutional variables are important so that reasonable scope for change and transformation can be set, and by devoting space to each of these we also make clearer where more knowledge development is needed. Moreover, while they are often perceived as factors that cannot be changed easily, there may be many points open for intervention upon closer scrutiny.



It is important to note that much of what is covered below is derived from theoretical reasoning, and while some of the propositions have empirical support (indicated with references) it is a task for future research to test the actual and relative relevance of each factor in the context of specific cases. The distinction between factors affecting internal versus external collaboration is aligned with the structure of the TROPICO project, and responds to partially different bodies of literatures; moreover it is recognised that there may be institutional context features that can shape internal and external collaboration differently.

## 4.2 Institutional factors affecting collaboration within government

In terms of formal institutions, several dimensions of state and government structure can be expected to affect the scope and extent of collaboration within government. First, at a constitutional level it matters whether a state is **unitary or federal** (strongly regionalized states might be equal with federal ones in this respect, e.g. Spain<sup>8</sup>), and more broadly the degree of decentralisation can be expected to be an important factor. A highly centralized state is likely to have less need for vertical internal collaborative arrangements. A federal state where authority is dispersed across levels might have more need for coordination, although one should be careful with this expectation. As has been shown in studies in the EU, a federal state with clear divisions of competences may have less need to open up for new actors. This was made clear in a study comparing a set of English and German local governments in how they navigated the EU level: 'English local government [...] faces frequent changes of competences, jurisdictions and capacities and experiences the EU as an enabling rather than a constraining impact. NRW [North Rhine Westphalia] municipalities, in contrast, operate under stable conditions. They prefer clear demarcations of competences and a stronger formalisation of their role at European level.' (Guderjan, 2015, p. 951).

Secondly, the **structural organization of government** matters (Wright, 1994; Christensen and Lægreid, 2001; De Vries, 2000). The existence and type of mechanisms for inter-ministerial coordination will impact the potential for collaboration. As seen also in the European grey literature reviewed in this report there is great variety in this respect. There may be inter-ministerial

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<sup>8</sup> Pollitt and Bouckaert (2011, p. 50) see state structure as a key predictor of public management reform and point out the diversity of seemingly unitary states.



committees convened by prime minister's offices, horizontally organized committees convened in task specific ways, committees led by for instance Ministries of Finance that may be particularly powerful in times of austerity, or ministries responsible for innovation or economic development. Further, some states work with government 'plenipotentiaries', commissioners, task forces etc. The existence of such transversal functions is not new (Bezes, Bertels, and Viallet-Thevenin, 2017), but the attention and creativity in relation to this may have increased in recent time. They can take the form of 'matrix structures' (Brocke and Karsten, 2007) or Presidential Colleges (Vlaamse Raad voor Wetenschap en innovatie, 2015), and without such dedicated functions a central government office may struggle to achieve the internal collaboration needed to deal with 'difficult social and economic challenges' (Uudelepp and Sarapuu, 2015 p. 244) and to acquire the 'strategic agility' needed to deal with those (Doz and Kosonen, 2014). Unified ombudsman services may accompany a unified collaborative government. The shape and density of these types of arrangements should have implications for both where (which policy areas/policy problems or tasks) and with whose participation (involvement of the range of actors) collaboration may take place. For instance, the appointment of a government commissioner or minister with the mandate to draw on expertise or resources in any government agency for tackling a particular high-profile problem is likely to spur joint action that otherwise may not have taken place. In general, a state's 'strategic agility'.

In terms of institutions (rules) structuring public administration, the availability of **incentives for collaboration** can be expected to have an impact. These can consist of funding opportunities that is contingent on teaming up with other government units (Emerson, Nabatchi and Balogh, 2012, p. 9) or be linked to formal work expectations and integrated into regular progress evaluations of individuals or units (Donahue, Zeckhauser, and Breyer, 2012). Flexible pathways for employees to rotate among different government functions may create personal links that enhance collaboration. Requirements for multi-agency case teams or liaison officers in public agencies should similarly facilitate networked governance arrangements. The grey literature review reveals awareness around this in many countries<sup>9</sup>, but that this awareness stays at general level and more precise

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<sup>9</sup> The Ministry for Family Affairs in Germany suggests in a report on civic engagement that a committee be set up to investigate the legal basis to promote democracy and engagement further (German Federal Ministry for Family Affairs, Senior Citizens, Women and Youth, 2016). The OECD report on the single-government approach in Estonia mentions the



knowledge on available types of arrangements and their consequences in different contexts would be needed.

Further, embeddedness in inter- and transnational contexts matter. In states where international or supranational organizations play a significant role, multiple levels of decision-making may be added beyond those on national level in several policy sectors. EU membership in particular has necessitated and but also spurred the creation of complex coordination mechanisms within member state governments. Different and partially overlapping literatures on Europeanization has documented this (e.g. Kassim et al. 2001; Kassim, 2003). Vertical collaboration in terms of coordination among different levels of policy-making within the member state and with EU institutions has been studied under the label of multi-level governance arrangements (e.g. Benz and Eberlein, 1999; Hooghe and Marks, 2001; Jachtenfuchs, 2001; Bache et al. 2011). Horizontal collaboration has been studied as public private partnerships (e.g. (Mörth, 2009) and social partnerships (Warleigh, 2001; Iankova, 2007), especially with relation to the member states that accessed in 2004 and 2007 (e.g. Dabrowski, 2013; Dabrowski, 2014; Dimitrova and Toshkov, 2007; Zubek, 2011; Zubek and Staroňová, 2012). These transformations have not always been easy, with demonstrated difficulties arising from competing logics with respect to for instance process legitimacy and accountability (e.g. Mörth, 2009; Lodge and Wegrich, 2011 and Jessop, 2016).

A number of additional properties may structure collaborative practices. These may relate to the policy problem itself. If any issue could not be solved in conventional ways, then collaborative solutions may be more sought, i.e. it is the existence of 'wicked' or difficult policy problems without natural organizational alignments between problem and solutions that push actors that would

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need to develop framework agreements for co-operation, ICT procurement guidelines, and basic step-by-step guideline for action, as well as look into experiences from other countries when it comes to requirements for formal agreements: [In Australia] national-level agreements are made on how to achieve cross-cutting national objectives. The agreements are negotiated among the various actors, roles and responsibilities are established, performance indicators identified and expected outputs/outcomes articulated that could be used for performance measurement and evaluation (OECD, 2011). A Danish report mentions the need to coordinate and collaborate around public procurement (Danish Ministry of Finance, 2017). In Norway the availability (and underuse) of both hierarchy-based and voluntary instruments for coordination are emphasized, and recommends the combination of both (Direktoratet for forvaltning og IKT, 2016). An early Welsh call for action highlights the need to provide a legal framework for more citizen centered inspection and regulation and the local level (Welsh Assembly Government, 2006).



perhaps otherwise not collaborate (Rittel and Webber, 1973; Head, 2008; Bryson, Crosby and Stone, 2006; Lægreid et al. 2013). This idea that modern policy problems are difficult or complex and therefore require collaboration was prominent in the reviewed grey literature, together with the view that outdated structures stand in the way of these developments (e.g. Danish Ministry of Finance, 2017). This is related to issues of resource inter-dependences, in which actors' need for what others can bring push forward collaboration (e.g. Ostrom, 1990). The seminal book on collaboration by Barbara Grey in 1989 stated that 'problems are piling up as new problems are cropping up daily, while yesterday's problems often go unsolved' and that 'under these circumstances it is difficult for individual organizations to act unilaterally to solve problems without creating unwanted consequences for other parties and without encountering constraints imposed by others' (Gray, 1989, p. 1). Torfing and Ansell engage with the argument that modern policy problems require collaborative solutions, and argue that while politicians today generally acknowledge this, there are still so many barriers built into the political system that innovation driven by collaboration does not take place as often as would be expected (Torfing and Ansell, 2017).

In general, **historic levels of conflict** among recognized interests as well as histories of cooperation may be important (Radin, 1996; Thomson and Perry, 2006). Similarly, the existence and strength of informal networks among civil servants is an important factor for propensity for collaboration. There must also be work processes that are acceptable to those involved including shared understandings of structures and protocols for the administration and management of work (Emerson et al. 2012, p. 9).

These networks and processes are key for the generation of well-known factor of **trust**, which both theoretically and empirically has demonstrated importance for the outcome of collaborative governance arrangements (Klijn, Steijn, and Edelenbos, 2010; Willem and Lucidarme, 2014). Recently Klijn et al. used survey data to show that this is valid across such different contexts as Netherlands, Spain and Taiwan (Klijn et al. 2016). Sometimes this is referred to as forms of social capital (networks, trust and norms) that is utilized in the formation, process and outcome of collaborative governance (Oh and Bush, 2016, p. 220).



However, not all networks are benign in nature. **Clientelistic networks**, for instance, do not co-labour for an explicit public purpose – and therefore fall outside the scope of most definitions of collaborative governance – but they may nonetheless have implications for cooperation patterns, for instance by substituting or supplementing formal channels for initiating joint action. We have similar expectations in the case of a highly politicized civil service, where civil servants may have extensive party (or at least partisan) links that transcend governmental units and the narrow definition of the state sphere, which may (also) be utilized for engaging in both internal and external collaboration that otherwise would not necessarily take place. This is rarely acknowledged by those directly or indirectly involved in those systems, but in Estonia it has been debated within the context of the country's participation in the Open Government initiative. It has been stated that Estonian public administration 'rests strongly on informal networks and practices', something which is claimed to have both negative and positive consequences (OECD, 2011; Randma-Liiv, Uudelepp, and Sarapuu, 2015).

Some **administrative traditions** may be more conducive for collaborative governance arrangements. By this we mean not only formal administrative institutions, but also the informal arrangements and practice which are inter-related with these. A classical division is between states with a *rechtstaat* culture, where law is emphasized, and states with a 'public interest' culture, which are sceptical of state interference and where civil service is dominated by generalists. Even though this distinction is not so clear anymore and many states display hybrid characteristics (see Pollitt and Bouckaert, 2011; Page, 1992; Peters, 2008) it can be expected to matter for collaboration in that the motivation, power and possibility for manoeuvre of different actors are affected and thereby patterns of interaction (Dyson, 2010; Painter and Peters, 2010; Yesilkagit, 2010; Peters, 1997). 'Public interest' cultures may foster result-orientation and consequently willingness to collaborate, and possibly also 'a culture of trial and error that is tolerant of mistakes and accepts local differences' (Brocke and Karsten, 2007). These administrative traditions may also foster certain individual styles of leadership. Distinctions between legalistic as opposed to managerial administrative systems may also display different patterns, with the former reasonably expected to be more prone to utilizing



(only) formal, mandated coordination venues. Conversely, managerial (especially NPM) systems may be more prone to excessive competition among government agencies that can impede information sharing and collaboration within the public sector.

Like-wise politico-administrative and party political traditions matter, in that the willingness and motivation of politicians to prioritize coordination and collaboration across units (Direktoratet for forvaltning og IKT, 2016), to endow resources and the frequency of needs to navigate minority or coalition government situations vary from country to country.

### 4.3 Institutional factors affecting collaboration with external actors

In this section, we turn to additional macro-level institutional factors that may promote or hinder collaborative governance arrangements, with the involvement of external actors, such as the private sector, civil society actors, interest group representatives etc. These variables are specific for external collaboration, whereas many of the factors listed above for internal collaboration are also relevant here, which is also to say that the causal mechanisms structuring internal and external collaboration are not entirely distinct.

As noted by Lisa Blomgren Amsler (formerly Lisa Blomgren Bingham), law has been absent from most of the research on collaborative governance. Amsler encourages future research to incorporate legal frameworks in research on collaborative governance, and has sought to do so herself for the US context (Bingham and O'Leary 2015; Amsler, 2016). Thus, most important for this category are the **legal requirements for collaboration** in a broad sense, for instance as laid down by procedural law on the legislative process nationally or on local level – referred to as 'codes of collaboration' in the context of the TROPICO project. They may range from requirements for seeking input from the public or professional bodies for legislative proposals or by-laws with stakeholders, to true collaborative arrangements. The way collaboration takes place on a more everyday-basis is likely to be effected by whether there is a specified requirement to collaborate included in the constitution, in basic public administration laws, in sector-specific or other laws and/or in the by-laws by public agencies. It can be assumed that this tool is under-used. A recent legal analysis of



both EU and German legislation regarding public participation for policies relating to the prevention and handling of floods situations showed that even when member states have the possibility to set the detailed rules, such as length of consultation, under EU legislation, they often do not exercise that authority (Albrecht 2016). While the use of overly detailed regulations for consultation and participation might be questioned, this analysis shows that member states have significant leeway to be more stringent even in fields with significant EU competence.

Rules can also be developed on a voluntary basis within the external collaborative setting. As demonstrated by Markovic, decentralized networks can use 'formalized coordination mechanisms to define the relationships among network participants and specify and assign tasks as well as responsibilities to certain agencies in order to coordinate joint efforts towards a common goal. In this sense, formalization is used to ensure reliable and uniform provisioning of services to the public in network settings that through a widely scattered structure of participants had problems coordinating otherwise. Furthermore, such contractual agreements and formalized network rules are often used as a basis to divide decision-making competences horizontally and equally among a broader set of network participants' (Markovic 2017). Markovic also highlights how this can be done through for instance contractual definitions of the relationship and other core issues.

It is worth noting that the extent to which there are formal requirements for collaboration,<sup>10</sup> may vary across sectors. In EU countries the disbursement of cohesion funds has necessitated setting up structures encompassing different sectors of society (e.g. monitoring committees, required by EU legislation for overseeing structural funds distribution; Batory and Cartwright, 2011) the existence of which may increase the likelihood for collaborative practices to emerge elsewhere. There may be benefits for the quality of policy formation arising from forcing firms to cooperate within the field of regulation. By virtue of the fact that they are mandatory, these policies are applicable to the entire regulated community (rather than a select few) and thus may lead to greater social benefits than those achieved in a voluntary program. (Kim and Darnall, 2016). This perspective was also shared by Ulibarri and Scott, who stated that 'These considerations suggest that a centralized, mandated

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<sup>10</sup> We can note here that coerced coordination and collaboration may also come up as an issue for internal collaboration (Direktoratet for forvaltning og IKT 2016).



approach to collaboration might be beneficial to ensure that everyone engages early in the permitting process and that collaboration is applied consistently (rather than depending on an applicant or agency's prior experience or resources.' (Ulibarri and Scott, 2017, p. 14). Especially in the American context, it makes sense to distinguish between quasi-legislative and quasi-judicial processes that involve the public (Bingham et al. 2005). Less coercive formal instruments include charters for volunteering (Danish Government, 2013).

However, there is a serious shortage of systematic and comparative research on the role and importance of both coerced collaboration and legal frameworks in general (Amsler 2016). Reviewed European grey literature reports mention issues such as rules for tax deductions for volunteering and government schemes to promote these, and how these rules have often developed in non-strategic ways (German Federal Ministry for Family Affairs, Senior Citizens, Women and Youth, 2016; Danish Government Ministry of Finance, 2017; Danish Government 2013).

In the previous section we explained how the **organization of government** matters for internal collaboration, and government structures matter for external collaboration too albeit in slightly different ways. As shown by the reviewed grey literature material, a variety of new structures for collaboration with external stakeholders are being developed in the European context, such as social impact bonds or investment pools, while 'old' forms such as bilateral partnerships, non-elected councils village and district, open government forums etc. are advanced further. An assessment framework for different types of participatory collaborative arrangements has been suggested by Skelcher and Torfing (2010). In Belgium, the 'societal penta-helix model' is promoted for government collaboration with enterprises, knowledge centres, societal and financial actors, and see 'mindlabs' or 'policylabs' as examples of how social responses to problems and social innovation can be practically incentivized (Vlaamse Raad voor Wetenschap en Innovatie, 2015, p. 4).

While the networks between actors in collaborative governance often have fuzzy boundaries with frequent changes in who is part and who is not, the core structure of the network in terms of the composition of its participants also can be expected to matter, including issues of size and diversity



(Cooper et al. 2006). Often the virtues of flat networks have been emphasised, but scholarship points to some advantages of centralizing certain functions within a collaborative network. Using extensive empirical data and theory, Markovic found that support for the hypotheses that centralization positively affects network outcomes, and that, if nonetheless networks are decentralized, a higher degree of structural integration among those participating in the network positively affect outcomes (Markovic, 2017). To some extent this was already highlighted by McGuire (2006): 'Recent empirical research suggests that a clear distinction between hierarchies and collaborative management is not always accurate. Indeed, there is evidence to suggest that a blending of the two management approaches in practice is not uncommon. Instead of a completely flat, self-organizing network, the presence of a lead organization, acting as system controller or facilitator, is often a critical element of effectiveness in collaborative management' (McGuire, 2006, p. 36).

The existence of **freedom of information** legislation may also positively affect the occurrence of collaboration, since they to some extent may compensate for the extreme information asymmetry that always exist between the arms of government and the citizens. The practice of freedom of information requests that citizens or journalists prompt governmental actors to seek to more directly communicate, and one step further, to collaborate with non-governmental actors. The availability, development and penetration of e-government can be expected to play a role. This may go from the existence of passive government platforms to web 2.0 interactivity structures, which not only facilitate but also require extensive input from external actors (Sandoval-Almazan and Gil-Garcia, 2012; Reddick 2010; Allen et al. 2005; Reddick, 2005; Reddick and Norris, 2013).

As in the case of intra-government collaboration, in the case of reaching out to non-governmental partners **administrative traditions** matter as well. In countries where a 'history of consultations', i.e. well-established forums and mechanisms for structured dialogue with interest-representation such as neo-corporatist arrangements, exist, this is easier to turn into extensive collaborative practices than for countries starting from scratch. The latter group of countries – newcomers to collaboration – perhaps institutionalize collaborative governance arrangements as a result of policy transfer or



externally imposed obligation, as is the case with, for instance, obligations established by particular international treaties or EU legislation. In this case we can expect these practices to be more superficial or even symbolic in nature (Batory, Cartwright, and Stone, in press/forthcoming).

The importance of pre-existing networks in relation to response in emergency situations was recently demonstrated by (Nohrstedt, 2016; Bodin and Nohrstedt, 2016) drawing on empirical data from Sweden.<sup>11</sup> Ansell and Gash emphasized the impact of prehistory of antagonism and cooperation with partners (Ansell and Gash, 2008), and recent Dutch research on collaborative governance through the use of social impact bonds reinforced the importance of existing networks (Smeets, 2017).

Other recent research has shown through advanced network analysis that common ground that is established separately *before* the collaboration starts is also highly influential on subsequent results (Spekkink and Boons, 2016). Previous experience of exposure to the problem, such as emergencies, can matter (McGuire & Silvia, 2010), even though recent research by Nohrstedt did not find any relationship between prior experience of natural hazards and involvement in collaborative activity (Nohrstedt, 2016).

**Histories of collaboration** increase the capacity to bridge differences in language and culture that may be significant when it comes to the state interacting with both individuals and non-state organizations. How problems are framed will affect who is likely to respond (Schattschneider, 1960; Koontz, 2004; Nohrstedt, 2016), including the possibility to reach marginalized groups. Huxham writes about how the embedded professional language and culture differs between organizations. 'There are some obvious, stereotypical differences between, for example, the language and culture of the police force as compared to the language and culture of social work as compared to that of economic development. Not-for-profit organizations may be stereotyped as different again, with values associated with empowerment and equality embedded' (Huxham et al. 2000). This can be exacerbated by different compositions in terms of gender (Johnston, 2017). When interacting with

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<sup>11</sup>The networks mapped in this research were relatively recent, but it is worth mentioning that in countries such as Sweden with a several century long history of independent implementation institutions and monitoring offices (e.g. ombudsman) there are longer historical trajectories that can be expected to matter as well.



individuals many have reacted to the NPM-influence practice of talking about 'clients' of public service, and for instance Sirianni recommends instead the use of the word 'partner' or 'citizen', and writes: 'First and foremost is changing the language the organization uses to characterize the public. The term client, while appropriate in some ways, often signals dependence and deference to professional norms and bureaucratic routines. Clients get diagnosed, then served and saved; they generally are not expected to act as empowered members of communities mobilizing their assets and making' (Sirianni, 2010). Digitalisation can help with bridging different 'languages' and 'cultures' through enhancing potentials for information sharing but is not a panacea in itself. There is understanding today in policy-documents that the development of joint problem formulations and problem understanding at an early stage is important (Direktoratet for forvaltning og IKT, 2017).

The importance of managing knowledge through for instance the provision of education to those involved is emphasized by Booher (2004). This is also supported by the research of Arwin Buuren on the **role of knowledge** even though he adds that 'managing inclusive knowledge is as much a matter of conscious strategies as it is the result of an emergent interaction process between stakeholders, experts, and officials' (Buuren, 2009, p. 208). Likewise, knowledge is iterative in that collaboration in itself creates knowledge (OECD, 2011), and conscious effort to provide education suitable for collaboration is made more complex if competence training in general is conducted in silo-settings (Welsh Assembly Government, 2006).

The extent to which governments interact and use **media and social media** may also contribute to, or undermine, collaborative practices. Is government communication/outreach done via spokespersons or centralized communication offices, or is it decentralized to ministries, agencies or the level (regional, local) where the potential interaction takes place. In the reviewed grey literature, this opportunity has been mentioned consistently going back to the early 2000s (see for instance Welsh Assembly Government, 2006). A recent study investigated how collaborative platforms can be used, consisting of 'an interactive forum, joint database, collaborative modelling exercise with TOPSIS and multi-criteria analysis, and maps presented in Google Earth. The CM approach works with an interactive participatory process, supported by technical tools and models, for identifying



objectives and alternatives, and for evaluation and testing alternatives within scenarios' (Evers et al. 2015).

Finally, **party politics** may play a significant role. Newcomers to the political scene might be more inclined to view 'representative democracy [...] as too hierarchical, bureaucratic and party bound to be able to deal effectively with questions of identity in a multi-cultural and global/local world' (Newman et al. 2004, p. 204). Taking this logic further, established parties with strong preferences for representative democracy may be less keen on external collaborative governance than parties that on various grounds distrust or side-line representative democracy's traditional mechanisms to 'capture the will of the people' (a popular mandate conferred by elections) – a tendency particularly evident with respect to populist parties (Clark, 1998; Canovan, 2002). The latter may be more open to relying on less orthodox methods – either in an effort to renew and rejuvenate democracy, for instance, by trying to ensure stronger grassroots involvement and community input, or because in the guise of collaboration they want to manipulate public opinion. Therefore, the ideology of the ruling party/parties may matter less with respect to the conventional right/left dimension of European party systems and more with respect to a distinction between established, mainstream parties and new, extreme or populist parties. As high-lighted in a Norwegian policy document, the most demanding societal challenges can only be solved through political leadership that is there to support collaborative processes (Direktoratet for forvaltning og IKT, 2017).

#### **4.4 Key findings**

In this section of the report, we have presented the state-of-the-art conceptualizations of what collaborative governance is and how it works, with a specific attention to institutional drivers and barriers to collaborative governance. We found that the literature focuses more on external than on internal collaboration, but there are significant overlaps when it comes to the factors that matter for both dimensions. Much attention has been given to the capacity of different agents to cooperate and how that is related to existence of various types of trust and cognitive alignments. Likewise we have seen a focus on the importance of government structure and administrative traditions. The relative lack of attention to legal factors and rules is especially of significance for TROPICO. Here we see the need for systematic empirical and theoretical advancement, especially in the EU context. We also



see a need for more research on the use of digital means and ICT tools to enhance collaboration, since there seems to be less integration between public administration research and policy agendas in this area.

Finally, we want to highlight here that most of the reviewed institutional factors could be distinguished as formal (codified) and informal institutions, i.e. *de jure* and *de facto* variables. They may also be referred to as 'hard' and 'soft' institutions. Of course, we recognize that most institutions are mixtures of formal and informal rules. Take for instance the structure of interest mediation. Neo-corporatism, which can be classified as a form of collaborative governance (Ansell and Gash, 2008), rests both on formal, codified rules on when particular organizations representing certain pre-defined interests should be consulted, and on routine (and routinized) consultations with no formal rules on when, how often, and within what timeframe they should take place – simply because such consultations have become ingrained as 'ways of doing things'. Nonetheless, the presence or absence of a clear, written, codified rule (legal requirement) for collaboration is a relatively clear benchmark, which we will revisit in our next project report discussing 'codes of collaboration'.



## Chapter 5: Concluding remarks and implications for research and practice

Already at the outset, the TROPICO consortium was aware that collaboration is an elusive concept that is 'often used interchangeably with other terms such as coordination or cooperation' (Grant Agreement No. 726840, Annex 1 part B. p. 8). Hence the objective for this first deliverable was to pin down and elucidate how collaborative governance is conceptualised in academic and policy circles. To this end, in this report we have reviewed a large and complex body of literature, spanning several disciplines and consisting of several inter-related strands. We conclude that, despite varying and overlapping usages of terms, scholarship has made significant progress in terms of identifying important mechanisms of governing styles where multiple organizational actors together work towards distinct objectives.

The TROPICO consortium also observed already at the outset that collaboration is, to some extent, a 'holy grail' (TROPICO Grant Agreement No. 726840, Annex 1 part B. p. 8, see also Jennings and Krane 1994; Peters 1998), which practitioners profess to want – but perhaps do not believe exist. It is thus widely recognised that the transformation into 'governments by citizens', with 'citizens representing their states', and these states being capable of letting their various constituencies interact and coordinate to reach objectives, can never be complete. At the same time, major current public sector reform trends do put collaboration in the center and there is wide-spread recognition both among politicians and practitioners that it is important, yet often frustrating in practice (as demonstrated by the 7<sup>th</sup> Framework COCOPS Project, see Lægreid et al. 2013:25, Lægreid et al- 2014; Lægreid et al. 2015). Thus, there is clearly a need to understand better what makes the shift towards collaborative governance more likely and, in turn, what makes collaborate governance work better. The second part of this report laid some groundwork in this respect, by creating an 'inventory' of institutional factors that may facilitate or obstruct collaboration. This review also revealed a considerable gap in the literature with respect to our knowledge of relevant rules and legal frameworks that structure collaborative practices. The forthcoming TROPICO review of these codes of collaboration in the EU context will go some way towards mapping the diversity of collaborative governance arrangements and informing policy.



Finally, while a so called 'dark side' of collaboration has not been entirely neglected, and potential adverse effects of collaborative arrangements have been explored (e.g. Kallis, Kiparsky and Norgaard, 2009; Kester, 2011; Purdy, 2012), both policy writing and the academic literature tend to presume that the above-mentioned transformation towards collaborative governance is genuinely desired by policy-makers. However, in light of recent developments in the EU, it is perhaps time to revisit this assumption.



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## Annex 1: List of sources in EBCO Discovery Search – Global Search, July 2017

- Academic Search Complete (EBSCO database)
- ACLS Humanities E-book
- Alexander Street Press
- Archive of European Integration (<http://aei.pitt.edu/>) (Open Access repositiorium)
- Arts & Humanities Citation Index (Web of Science)
- ArXiv (Open Access)
- Britannica Online
- Business Source Complete (Ebsco database)
- Business Source Premier (EBSCO database)
- Cambridge Journals
- CEU Library entire catalog (including print books, e-books, dvds, etc)
- DBPIA
- Directory of Open Access Journals
- EconLit (EBSCO database)
- eHRAF World Cultures
- Emerald Insight
- European Union Open Data Portal (Open Access)
- European Views of the Americas: 1493 to 1750 ( Ebsco database)
- Europeana
- Financial Times (FT.com)
- GreenFILE ( Ebsco database)
- HathiTrust
- HeinOnline
- Index Islamicus ( Ebsco database)
- JSTOR journals
- Korean Studies Information Service System (KISS)
- KRpia
- LexisNexis Academic: Law Reviews
- Library, Information Science & Technology Abstracts ( Ebsco database)
- MathSciNet via EBSCOhost
- MEDLINE (Ebsco database)
- New Palgrave Dictionary of Economics Online
- NORA (Norwegian Open Research Archive)
- OAlster (Open Access)



- OAPEN Library (Open Access)
- Open Textbook Library (Open Access)
- OpenAIRE (Open Access)
- ORBi (Open Repository and Bibliography) <https://orbi.ulg.ac.be/>
- Oxford Scholarship Online
- Oxford University Press Journals
- Persée (Open Access)
- Project MUSE
- PsycARTICLES (Ebsco database)
- PsycINFO (Ebsco database)
- RACO [www.raco.cat/index.php/raco](http://www.raco.cat/index.php/raco) - Open Access repository
- RAMBI The Index of Articles on Jewish Studies - Open Access source
- RECERCAT - <http://www.recercat.cat/> - Open Access repository
- Regional Business News (Ebsco database)
- Sage - Social Science and Humanities Journals, Sage Research Methods Online
- Science Citation Index (Web of Science)
- ScienceDirect
- SciTech Connect
- Shamaa - free source <http://www.shamaa.org/en/component/About/about.asp>
- Social Sciences Citation Index (Web of Science)
- Springer journals and e-books
- SSOAR - Social Science Open Access Repository
- SwePub - open access repository
- Taylor and Francis journals
- TOXNET TOXLINE - free source



## Annex 2: Journals publishing articles on 'collaborative governance'

	Journal Title	Number
1	Public Administration Review	32
2	Environmental Science & Policy	29
3	Journal of Public Administration Research & Theory	25
4	Collaborative Governance Regimes	22
5	Ecology & Society	22
6	Collaborative Governance in Extractive Industries in Africa	16
7	Public Management Review	16
8	Public Performance & Management Review	15
9	Environmental Policy & Governance	14
10	American Review of Public Administration	13
11	Perspectives on Politics	13
12	Policy and society	13
13	Collaborative Governance : Private Roles for Public Goals in Turbulent Times	12
14	administration & society	11
15	society & natural resources	11
16	sustainability	11
17	International Public Management Journal	9
18	Investing in Democracy : Engaging Citizens in Collaborative Governance	9
19	Environment & Planning B: Planning & Design	8
20	Land Use Policy	8
21	Policy Studies Journal	8
22	Public Organization Review	8
23	Journal of Environmental Planning & Management	7
24	Journal of the American Planning Association	7
25	Environmental Management	6
26	Optimum Online	6
27	Public Manager	6
28	Innovation Journal	5
29	International Journal of Public Administration	5
30	Journal of Environmental Management	5
31	Mountain Research and Development	5
32	Conservation & Society	4
33	Corporate Governance: The International Journal of Effective Board Performance	4
34	Indiana Journal of Global Legal Studies	4
35	Journal of Place Management & Development	4
36	Korean Journal of Policy Studies	4
37	Public Administration	4
38	Public Administration & Development	4
39	The Future of Public Administration around the World : The Minnowbrook Perspective	4
40	Urban Studies	4

Note: Forty journals with most usage of collaborative governance 1979-2017 EBSCO Discovery Searches.



## Annex 3: Country example of grey literature: The Netherlands

### Introduction

Collaborative governance has become a common term in the public administration literature. Van Buuren and Edelenbos (2007, p. 105-106) describe collaborative governance as “a reaction to traditional planning and policy-making approaches that are primarily top-down oriented, focusing on the government instead of the governed, mainly technocratic ally oriented and adversarial organized”. This idea fits well with the critique on traditional Public Administration and the shift from government to governance. As knowledge becomes increasingly specialized and fragmented, the demand for collaboration increases (Gibson, 2014, Ansell and Gash, 2007: 544). Collaborative governance engages multiple actors with different and complementary knowledge and experience. It is about involving non-traditional policy actors in decision-making (Gibson, 2014, p. 47). Emmerson, Nabatchi and Balogh (2011) describe collaborative governance as *‘the processes and structures of public policy decision making and management that engage people constructively across the boundaries of public agencies, levels of government, and/or the public, private and civic spheres in order to carry out a public purpose that could not otherwise be accomplished.’*

Based on this definition of collaborative governance, the following **search terms** were used to find out about collaborative governance in The Netherlands. These terms were selected because of the chance that documents and publication might discuss collaborative governance without using the ‘right’ definition.

- collaborative governance (collaboratieve governance)
- network governance (netwerk governance),
- governance, network (netwerk),
- collaboration (samenwerking),
- business (bedrijfsleven)
- society (maatschappij<sup>12</sup>).

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<sup>12</sup> Various forms of the chosen search terms were used to guarantee finding the needed results. For example for the term ‘society’ the form societal would be considered as well.

## Part 1 – Think tanks

The following think tanks were considered in the search for ‘collaborative governance’ in the Netherlands:

- a) **Wetenschappelijke Raad voor het Regeringsbeleid (WRR) / The Netherlands Scientific council for government policy:** The Netherlands Scientific Council for Government Policy (WRR) is an independent advisory body for government policy. The task of the WRR is to advise the Dutch government and Parliament on strategic issues that are likely to have important political and societal consequences<sup>13</sup>.
- b) **Sociaal en Cultureel Planbureau (SCP) / The Netherlands Institute for Social Research:** The Netherlands Institute for Social Research | SCP is a government agency that conducts research into the social aspects of all areas of government policy. The main fields studied are health, welfare, social security, the labour market and education, with a particular focus on the interfaces between these fields. The reports published by SCP are widely used by government, civil servants, local authorities and academics.<sup>14</sup>
- c) **Sociaal-Economische Raad (SER) / The Social and Economic Council of the Netherlands:** The Social and Economic Council of the Netherlands advises the Dutch Government and Parliament on key points of social and economic policy. It also undertakes activities arising from governance tasks and self-regulatory matters, and functions as a platform for discussions of social and economic issues. The Council consists of independent Crown-appointed members, employers, and employees<sup>15</sup>
- d) **Het Rathenau Instituut / The Rathenau Instituut:** The Rathenau Instituut stimulates public and political opinion forming on social aspects of science and technology. The organization performs research and organize debates relating to science, innovation and new technologies<sup>16</sup>.

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<sup>13</sup> WRR - <https://english.wrr.nl/>

<sup>14</sup> SCP - <https://www.scp.nl/>

<sup>15</sup> SER - <https://www.ser.nl/>

<sup>16</sup> Rathenau Instituut - <https://www.rathenau.nl/en>



**General results:** None of the documents and/or publication on the websites of the considered think tanks had matches with the search term 'collaborative governance' itself. The other search term did however provide some useful information. Even though the literal term is not used, The Netherlands is obviously using 'collaborative governance' in two different ways.

1. **Internationally** in reaching the goals of the Paris Agreement: On 5 October 2016, the Paris Agreement entered into force, starting a new course in the global climate effort. For the first time all nations came together with a common cause: to combat climate change and adapt to its effects. The collaboration takes place between public, private and societal actors, but on different levels as well.
2. **Nationally** in terms of civic participation (especially in the area of care). Citizens are becoming more resilient and the participation society is rising. Public, private and societal actors are increasingly working together to achieve a common goal or solve a common problem.

The shift from government to governance is rarely mentioned, but can be seen in the transition of the Dutch government from a welfare state (concept of government in which the state plays a key role in the protection and promotion of the social and economic well-being of its citizens) to a civil society (*participatiesamenleving*), or literally a participatory society, in which all citizens take care of each other and society (and the government thus delegates a lot of former tasks).

The term governance is used a lot in the researched documents, only the term is often not meant in the collaborative governance way, but as "to govern, to manage or to control".

#### **a) The Netherlands Scientific council for government policy (WRR)**

The Netherlands Scientific Council for Government Policy (WRR) is an independent advisory body for government policy. The task of the WRR is to advise the Dutch government and Parliament on strategic issues that are likely to have important political and societal consequences. The search on the term 'collaborative governance' generates 3 results.



However, none of the publications on the website actually uses the term literally. The term governance is usually used as 'corporate governance, or simply as management. Only a few documents seem to be relevant as Gray literature when it comes to the transition from government to governance. All relevant document for collaborative governance found on the WRR website can be found in Table 1.

*Table 1: Relevant documents for collaborative governance found on the WRR website*

Theme/subject	Type of document	Author	Year	How collaborative governance was used	Language document	Url
Security in a world of connections – a strategic vision of the defense policy	Report	WRR	2017	<p><b>Collaborative governance:</b> -</p> <p><b>Collaboration:</b> meant as in development cooperation, military cooperation and cooperation within the NAVO and EU -&gt; international collaboration on global defence issues.</p> <p><b>Governance:</b> meant as in developing/creating a new role assignment, division and coherence between actors on the EU and global level (global governance).</p>	NL	<a href="#">link</a>
The public core of internet	Report	WRR	2015	<p><b>Collaborative governance:</b> -</p> <p><b>Collaboration / governance:</b> meant as realizing global public cooperation in the field of internet governance.</p>	NL	<a href="#">Link</a>
Food policy	Report	WRR	2014	<p><b>Collaborative governance:</b> -</p> <p><b>Networks:</b> mentioned as 'global food network', which is described as a complex network of chains.</p> <p><b>Collaboration:</b> meant as: enhancing a more intensive collaboration in the food chain (chain management), on a global level. Also enhancing a broader chain collaboration by accepting (new) societal actors.</p> <p><b>Governance:</b> as in food governance and management.</p>	NL	<a href="#">link</a>
The strengthening of internal check and balances of	Report	WRR	2014	<p><b>Collaborative governance:</b> -</p> <p><b>Governance:</b> a "good governance framework": if self-regulation does not produce the enough results: a good</p>	NL	<a href="#">link</a>



semi-public organizations.				governance framework should be developed, with basis norms and standards and principles that the domestic governance within the semi-public sector should meet.		
Administrative arrangements for dealing with framing differences: illustrations from climate change policy	Working paper	WRR-M. Vink & A. Dewulf	2015	<p><b>Collaborative governance:</b> -</p> <p><b>Networks:</b> meant as the mobilization of a large network of public and private participants, which should allow for broad societal participation by creating (ad-hoc) administrative arrangements.</p>	NL	<a href="#">link</a>
To a learning economy: invest in the earning power of the Netherlands.	report	WRR	2013	<p><b>Collaborative governance:</b> -</p> <p><b>Networks:</b> meant as: innovation increasingly takes place in networks. Internal connections within organizations are increasingly replaced by external connections. Innovation is thus increasingly the result of the interplay of several actors. Thus if innovation takes a network form, an appropriate form of governance is needed.</p> <p><b>Governance:</b> talks about the shift from government to governance, but not literally: the new role of the government that fits the contemporary problems that we are faced with needs new, rather than old constitutions. The government is becoming less hierarchical it has become a player among other players.</p>	NL	<a href="#">link</a>
A realistic perspective of citizens resilience	Report	WRR	2017	<p><b>Collaborative governance:</b> -</p> <p><b>Governance:</b> the contemporary society has higher demands than before when it comes to the resilience of citizens. However there is a big gap between what is expected of citizens, and what they can actually do. The bar is high in this so called 'participation society'. And what should the new role of the government be in this participatory society?</p>		<a href="#">link</a>



## b) The Netherlands Institute for Social Research (SCP)

The Netherlands Institute for Social Research (SCP) is a government agency that conducts research into the social aspects of all areas of government policy. The main fields studied are health, welfare, social security, the labour market and education, with a particular focus on the interfaces between these fields. The reports published by SCP are widely used by government, civil servants, local authorities and academics.

The SCP is mainly known for two publications: 1. The Social and Cultural Report, and 2. The Social State of the Netherlands. In neither of the two documents, collaborative governance plays an important role. The only way in which it appears is the shift from government to governance (although implicitly), through the rise of the participation society (and the changing role of the government, which can no longer act as a welfare state). All relevant documents for collaborative governance found on the SCP website can be found in Table 2.

*Table 2: Relevant documents for collaborative governance found on the SCP website*

Theme/subject	Type of document	Author	Year	How collaborative governance was used	Language document	Url
learning, working, caring, living and consuming in the Netherlands of the future	Report	SCP	2016	<b>Collaborative governance:</b> -  <b>Collaboration/network:</b> The report speaks of the so called participatory society and social networks relating to the ageing / care of the Dutch society/state. A greater role should be given (and taken) by the citizens and social networks in caring for each other. It's about the self-organization of the citizens (because the government is no longer a welfare state).	NL	<a href="#">link</a>
The social state of the Netherlands	Report	SCP	2015	<b>Collaborative governance:</b> -  <b>Network:</b> In order for citizens to become more resilient the personal social network that one has around him/her, plays an important role. The Dutch society is leaning more and more on the resilience of its citizens.	NL	<a href="#">link</a>
Civil power by its	report	SCP	2016	<b>Collaborative governance:</b> -	NL	<a href="#">link</a>



own force: becoming more resilient as citizens.				<p><b>Governance:</b> Resilient society.. in the shift from government to governance. In this shift to governance the role of the participating citizen is explicitly acknowledged. Self-governance is becoming more popular: local residents initiate and carry out project as far as possible by themselves (because the government fails to do so or because the citizens think they can do a better job)</p> <p><b>Network:</b> New form of institutions that makes citizens participation projects or initiative possible are needed.</p>		
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### c) The Social and Economic Council of the Netherlands (SER)

The Social and Economic Council of the Netherlands (SER) advises the Dutch Government and Parliament on key points of social and economic policy. It also undertakes activities arising from governance tasks and self-regulatory matters, and functions as a platform for discussions of social and economic issues. The Council consists of independent Crown-appointed members, employers, and employees.

The search on the term 'collaborative governance' generates some results. However, none of the publications on the website actually uses the term literally. The term governance is usually used as 'corporate governance', or simply as management and control. Only a few documents seem to be relevant as grey literature when it comes to the transition from government to governance. All relevant document for collaborative governance found on the SER website can be found in Table 3.



*Table 3: Relevant documents for collaborative governance found on the SER website*

Theme/subject	Type of document	Author	Year	How collaborative governance was used	Language document	Url
Annual report SER 2016	Annual report SER	SER	2017	<p><b>Collaborative governance:</b> -</p> <p>Co-determination/participation &amp; governance: particularly seen as participation in the decision making and the enhancement of collaboration between parties.</p>	NL	<a href="#">link</a>
Governance Energy-climate policy	Advisory letter	SER	2017	<p><b>Collaborative governance:</b> -</p> <p><b>Governance:</b> To fulfil the international climate goals through governance -&gt; “the institution and (financial) arrangement for the transition of governments, social partners, and societal stakeholders and knowledge organizations”. This means decision making with involvement of societal actors, and the deviating and more flexible use of the existing rules.</p>	NL	<a href="#">link</a>
A place in society where everybody/all actors can participate.	Magazine	SER	2017	<p><b>Collaborative governance:</b> -</p> <p><b>“Inclusive Society”:</b> This is the common thread of the SER’s advices to the Lower House of Parliament. Whether it is about the transition to sustainable economy or another subject, the most important is that everyone is able to participate to the process.</p> <p><b>Collaboration:</b> Mostly meant as in collaborating with other countries in Europe. ‘Brexit’ is forcing the Netherlands to seek new allies.</p>	NI	<a href="#">Link</a>



The Rathenau Instituut stimulates public and political opinion forming on social aspects of science and technology. The organization performs research and organizes debates relating to science, innovation and new technologies. None of the documents/publications from the Rathenau Instituut used the term collaborative governance literally. Only two documents seem relevant as grey literature when it comes to collaborative governance and the transition from government to governance. These documents reflect the importance of the contribution of social actors and citizens. It is recognized that societal challenges do not stop at the border and that international cooperation/collaboration at several levels and between private, public and societal actors is important. These documents can be found in Table 5 and are also available in English.

**Table 4:** *Relevant documents for collaborative governance found on the Rathenau Instituut website*

Theme/subject	Type of document	Author	Year	How collaborative governance was used	Language document	Url
Science, technology and society	Annual report	Rathenau Instituut	2017	<b>Collaborative governance:</b> -  <b>Collaboration:</b> The documents mentions that the Rathenau instituut values the input of experts and citizens in policy and political decision-making.	NL/ ENG	<a href="#">link / link</a>
Science, technology and society	Working program 2017-2018	Rathenau Instituut	2016	<b>Collaborative governance:</b> - <b>Attention for Governance:</b> To address the EU challenges: this does not only require cooperation between state actors, but also including cities, universities, businesses, citizens and other parties in society (multiple public private and nonprofit actors) -> the emphasis is on co-creation: to achieve joint impact -> strengthening the Rathenau network in collaboration.	NL/ ENG	<a href="#">link / link</a>

## Part 2 - Government of the Netherlands



In order to get a better picture of what the Dutch government is doing with respect to collaborative governance we need to look at the separate ministries. The Dutch government consists of 11 ministries. At the end of a budget period, all ministries make up an annual report. The annual report indicates whether the ministry has spent more or less than budgeted. In the annual reports, the ministries thus account for their spending over the past year. The annual reports of all ministries have been analysed for the year of 2016.<sup>17</sup>

## 2.1 Annual reports of the Dutch ministries

It is clear that collaborative governance is not a major priority for the Dutch Government (at least not on State level). In addition, the transition from government to governance to meet the requirements to solve the societal challenges of this time is not as important in all ministries. Consequently, not all ministries are engaged in cooperation or collaboration between different public, private and societal actors (or at multiple levels). The Ministry of Infrastructure and the Environment, the Ministry of the Interior and Kingdom Relations and the Ministry of Economic Affairs seem to be the most involved when it comes to collaborative governance.

*Table 5: Collaborative governance within the Dutch ministries*

Theme/subject	Type of document	Year published	How collaborative governance was used	Language document
Ministry of Health, Welfare and Sport	Annual Report 2016	2017	<b>Collaborative governance: - governance-</b> <b>Collaboration:</b> not often with societal actors. However, subsidies exist for volunteers and carers.	NL
Ministry of Foreign Affairs	Annual Report 2016	2017	<b>Collaborative governance: - From government to governance (implicit):</b> The world is structurally changing: Problems do not stop at the borders. International collaboration is needed to address challenges such as terrorism, migration or climate change. These global challenges lead to strong joint action in EU, NATO, UN & OVSE relations.	NL

<sup>17</sup> For information in English on all Dutch ministries: <https://www.government.nl/ministries>



Ministry of Finance and the National Debt	Annual Report 2016	2017	<p><b>Collaborative governance: - governance:</b> “manage/ govern/ control”</p> <p><b>International collaboration:</b> The international fiscal agenda has, among other things, been a sign of commitment within the framework of cooperation within the European Union. International collaboration is of great importance.</p>	NL
Ministry of the Interior and Kingdom Relations	Annual Report 2016	2017	<p><b>Collaborative governance: - networks:</b></p> <ul style="list-style-type: none"> <li>* Make better use of the Dutch city network to strengthen growth and innovation in Dutch cities.</li> <li>* Collaborate with many governments and social networks on transition to more democracy</li> </ul> <p><b>Participation:</b> Also focus on developing tools that promote participation: involve citizens more in policy.</p> <p><b>Do-democracy:</b> Transition - through the Local Democracy Agenda and Agenda City - is being promoted to innovative forms of participatory democracy, government participation in social value creation, and the eradication of all kinds of bottlenecks for social initiative and social entrepreneurship.</p>	NL
Ministry of Infrastructure and the Environment	Annual Report 2016	2017	<p>Focus on EU and national level.</p> <p><b>National:</b> Some parts are mapped in consultation with public, private and social actors (and citizens). For example, in terms of: water quality, NOVI, integrated water policy, climate-resistant gardens (water coalition), roads &amp; road safety, SVIR, strategic road safety, climate agenda. This ‘collaborative governance’ thus seems very important and is stimulated in different ways.</p> <p><b>International:</b> Resilience the world against water problems, involving governments, business, knowledge institutes and civil society organizations.</p>	NL
Ministry of General Affairs	Annual Report 2016	2017	<p><b>Collaborative governance: - Governance: -</b></p> <p>The ministry strives to offer better accessible public information -&gt; could enhance collaborative governance, or at least civilian participation.</p>	NL



Ministry of Economic Affairs	Annual Report 2016	2017	<p><b>Collaborative governance:</b> -</p> <p><b>Integrated cooperation:</b> The ministry is in collaboration with civil society, business, knowledge and education institutions, co-operatives and EU and other international partners in the field of: sustainable improvement economy, energy dialogue (energy transition), food agenda (discussed with citizens)</p> <p><b>Importance of collaborative governance:</b> To realize energy transition only if citizens, companies, knowledge institutions, social organizations and governments contribute to solving it.</p> <p><b>Stimulating:</b> Promoting social, political and administrative support for the multiannual program and of social participation in its implementation and contributing to restoration of trust.</p>	NL
Ministry of Defence	Annual Report 2016	2017	<p><b>Collaborative governance:</b> -</p> <p><b>Network:</b> strengthen international networks. Networks to promote knowledge and innovation (SKIA).</p> <p><b>Collaborate:</b> International Defence Cooperation (Global Strategy). Supranational level, between countries, and between EU, NATO, UN, etc.</p>	NL
Ministry of Education, Culture and Science	Annual Report 2016	2017	<p><b>Collaborative governance:</b> -</p> <p><b>Social dialogue:</b> What students should learn in the future was transformed into a policy advice.</p> <p><b>Collaborate:</b> * in the field of language between Flanders, Suriname and the Netherlands (network). * program library renewal. * Co-operation between schools and business is being stimulated (financially). Efforts to strengthen cooperation in the area between education, business / care &amp; welfare and local authorities. Efforts on alliances in education.</p>	NL
Ministry of Security and Justice	Annual Report 2016	2017	<p><b>Collaborative governance:</b> -</p> <p><b>Governance / network:</b> To take the step of implement legal institutions for the collaboration in networks to tackle wicked problems</p>	NL



			<p><b>Collaboration:</b> With corporate life &amp; OM, police, local governments in prevention high impact crimes. Intended for smarter and better information exchange.</p> <p><b>Collaboration:</b> Prevention of burglaries due to investment in prevention by a large number of actors (municipalities, corporations, business, police, citizens).</p> <p><b>International cooperation:</b> Trafficking in human beings and other themes</p>	
Ministry of Social Affairs and Employment	Annual Report 2016	2017	<p><b>Collaborative governance:</b> -</p> <p><b>Collaboration:</b> Giving children a promising future: In cooperation with foundations, funds, municipalities. In the area of refugee flow coming from Africa: SZW with other ministries (V &amp; J, OCW, VWS).</p> <p><b>Collaboration:</b> Especially between professional organizations and not with citizens.</p>	NL

Collaborative governance is probably easier to find in the Netherlands when you look at a regional or local level (municipalities). The annual reports thus only form a limited representation of what is happening in the Netherland concerning collaborative governance.

## 2.2 The number of times that 'collaboration' is mentioned: 2012 versus 2016

The term collaborative governance or network governance is not mentioned literally in the annual reports of the ministries. Just searching on 'collaboration' gives results that are too general and broad to conclude something meaningful about collaborative governance. However, it is interesting to see if the term collaboration has been mentioned more often than a couple of years ago. This way we could determine if maybe collaboration has become more important. In order to cover all the forms that the word collaboration could form we insert the word: *collaborat-* in the search (*samenwerk-*).

- It was not possible to find all annual reports of the ministries from before the year 2012. This is why 2012 was chosen as the year to compare with the annual reports of 2016.

*Table 6: Amount of times that collaborat- (samenwerk-) was mentioned in the annual reports of the ministries*



Ministry (DUTCH)	Ministry (English)	Samenwerk 2012	Samenwerk 2016
Volksgezondheid, welzijn en Sport	Ministry of Health, Welfare and Sport	41	33
Buitenlandse zaken	Ministry of Foreign Affairs	71	77
Financiën	Ministry of Finance	14	11
Binnenlandse Zaken en Koninkrijksrelaties	Ministry of the Interior and Kingdom Relations	49	30
Infrastructuur en milieu	Ministry of Infrastructure and the Environment	60	85
Algemene Zaken	Ministry of General Affairs	6	6
Economische Zaken	Ministry of Economic Affairs	57	83
Defensie	Ministry of Defence	33	47
Onderwijs, cultuur & wetenschap	Ministry of Education, Culture and Science	33	64
Veiligheid & Justitie	Ministry of Security and Justice	85	55
Sociale Zaken & Werkgelegenheid	Ministry of Social Affairs and Employment	6	13

It is remarkable that the amount of times that the term *collaborat-* is mentioned in one of the annual reports is low when you compare it to the amount of pages of the documents, which is around 200 pages per annual report. The ministry of Finance, General Affairs and Social Affairs and Employment have a strikingly low amount of times *collaborat-*. The ministries of Health, Welfare and Sports, Interior and Kingdom Relations, Finance, and Security and Justice even used the word *collaborat-* less than in the documents of 2012. Counting the amount of word *collaborat* does not seem a good way to see how important collaborative governance or collaboration has become. The term is just too general, and often other terms are used to describe collaborative activities such as network, participation, co-creation etc.

\* According to the Annual Report of the Ministry of the Interior and Kingdom Relations this department seems to really value collaborative governance activities and would like to enhance them where possible, while the amount of times that the word *collaborat-* has been mentioned decreased.

### Part 3 – Other



### 3.1 Binnenlands Bestuur (domestic governance)

Binnenlands Bestuur or Domestic Governance is a publication that focuses on news and background information about management, organization, space, environment and social affairs within the Dutch Government. Their website offers various interesting professional publications and whitepapers on these topics. Only a few documents seem to be relevant as grey literature when it comes to the transition from government to governance. All relevant document for collaborative governance found on the Binnenlands Bestuur website can be found in Table 7.

*Table 7: Relevant documents for collaborative governance found on the Binnenlands Bestuur website*

Theme/subject/title	Type of document	Author	Year	How collaborative governance was used	Language document	Url
Fourth periodic review of the intergovernmental relations after decentralizations in the social and physical domain.	White Paper	The Council of State	2017	<p><b>Collaborative governance:</b> -</p> <p><b>Multi level governance:</b> municipalities and provinces work together in many different ways: in regional context together with other governments and societal partners to achieve the desired goal. This is done in a completely different form of layered management: intersectional and multi-actor.</p> <p><b>network:</b> Creating a social network to enhance participation and self-reliance of citizens.</p>	NL	<a href="#">Link</a>
Change capacity of municipalities regarding the relationship between citizens and government.	Report	BDO	2017	<p><b>Collaborative governance:</b> -</p> <p><b>governance:</b> -</p> <p><b>network:</b> Municipal organizations are part of a network that focuses on the citizen's living environment. Government is actively collaborating with stakeholders such as healthcare institutions and housing corporations.</p>	NL	<a href="#">link</a>



				<p>together all parties are looking for new solutions.</p> <p><b>society changes:</b> society is changing at a rapid pace and regulation is changing as well. Policy implications include matters such as self-reliance, self-responsibility and active participation in society. There is a real transformation of the relationship between government and citizens (government to governance).</p>		
The importance of networks for the government in solving contemporary societal issues	Chapter in book	Ellie Potiek	2017	<p><b>Collaborative governance:</b> municipalities can achieve their goals by executing policy themselves, by outsourcing is to the market ... or through networks. Networks are becoming increasingly important (government to governance transition).</p> <p><b>Network:</b> The municipality is no longer the only player in the field. It has become more common to have multiple actors in the field in a network working together to achieve a common goal (co-creation by network organizations).</p>	NL	<a href="#">link</a>

## References

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