COLLABORATIVE GOVERNANCE
CASE DATABASE

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

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

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

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

Content of survey

1. General case information

1. Please provide a unique name for the case you are describing.

2. Please provide your name, institutional affiliation, and email address.

Case author(s)	
Institution / University	
Email address first author	

3. Please specify the start and termination date of this collaboration.

Start of collaboration	End of collaboration

4. Please specify the period of the collaboration covered by your research data. Note: This is not about when you collected the data, but what period your data covers.

Start of period observed	End of period observed

5. Please specify the type of data collection methods you used.

Methods	Used
Documents	
Interviews	
Observations Social	
network data	
Surveys	
Other, namely:	

6. Please provide up to three weblinks to published reports, articles, or books that document this case (e.g. a peer-reviewed article or an evaluation report).

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

Level of collaboration	Start of period observed	Middle of period observed	End of period observed
Local			
Regional			
National			
International (across borders)			
Supranational (UN, EU, etc.)			
Multi-level (collaboration between levels)			

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

2. Main case characteristics

9. What was the policy domain of the case? Choose more than one if required.

☐ Agriculture ☐ Environment & Climate ☐ Social/Employment Policy
☐ Culture/Leisure ☐ Infrastructure & Planning ☐ Technology & Transport
☐ Economy & Trade ☐ Public Health ☐ Other, namely ………….
☐ Education ☐ Security & Public Safety

10. To what extent was the collaboration driven by any of the following ambitions? (1 = not at all an ambition, 5 = this was the core ambition)

Ambitions of collaboration	Start of period observed					Middle of period observed					End of period observed					Don't know
	1	2	3	4	5	1	2	3	4	5	1	2	3	4	5	
Develop a plan or policy for a shared problem or societal issue																
Develop a regulatory framework for a policy domain or industry																
Create innovative solutions in existing policies, programs, practices																
Increase efficiency by lowering costs or boosting benefits																
Increase effectiveness by increasing impact of interventions																
Increase legitimacy and support among different constituents																
Organize crisis and emergency planning, response and/or recovery																
Create holding environment to contain conflict among stakeholders																
Other, namely:																

11. To what extent did the collaboration aim to include any of the following forms of collaborative governance? (1 = not at all an aim, 5 = this was the core aim)

Purpose of collaboration	Start of period observed					Middle of period observed					End of period observed					Don't know
	1	2	3	4	5	1	2	3	4	5	1	2	3	4	5	
Co-initiation: Jointly identify required policies, services, or regulation																
Co-develop: Jointly create and arrange policies, services, or regulation																
Co-production: Implement policies, deliver services, or provide regulation																
Co-assessment: Jointly monitor and evaluate impact of policies, services, or regulation																

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

13. Please describe in max. 600 words the (a) societal challenges and organizational issues the collaboration sought to address, (b) the stated ambitions and desired outputs and outcomes, (c) how these challenges, issues and ambitions evolved during the period observed.

3. Starting conditions

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

Score					Don't know
1	2	3	4	5	

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

Score					Don't know
1	2	3	4	5	

16. How was the collaboration first initiated? Please select one option.

17. To what extent did the participants have more or less equal levels of resources, (e.g. knowledge, influence, skills) to bring to the collaborative process? (1 = Highly unequal, 5 = Highly equal)

Start of period observed					Middle of period observed					End of period observed					Don't know
1	2	3	4	5	1	2	3	4	5	1	2	3	4	5	

18. To what extent were there incentives to collaborate for the participants, e.g. financial gain or increased influence? (1 = Very little incentives, 5 = Very strong incentives)
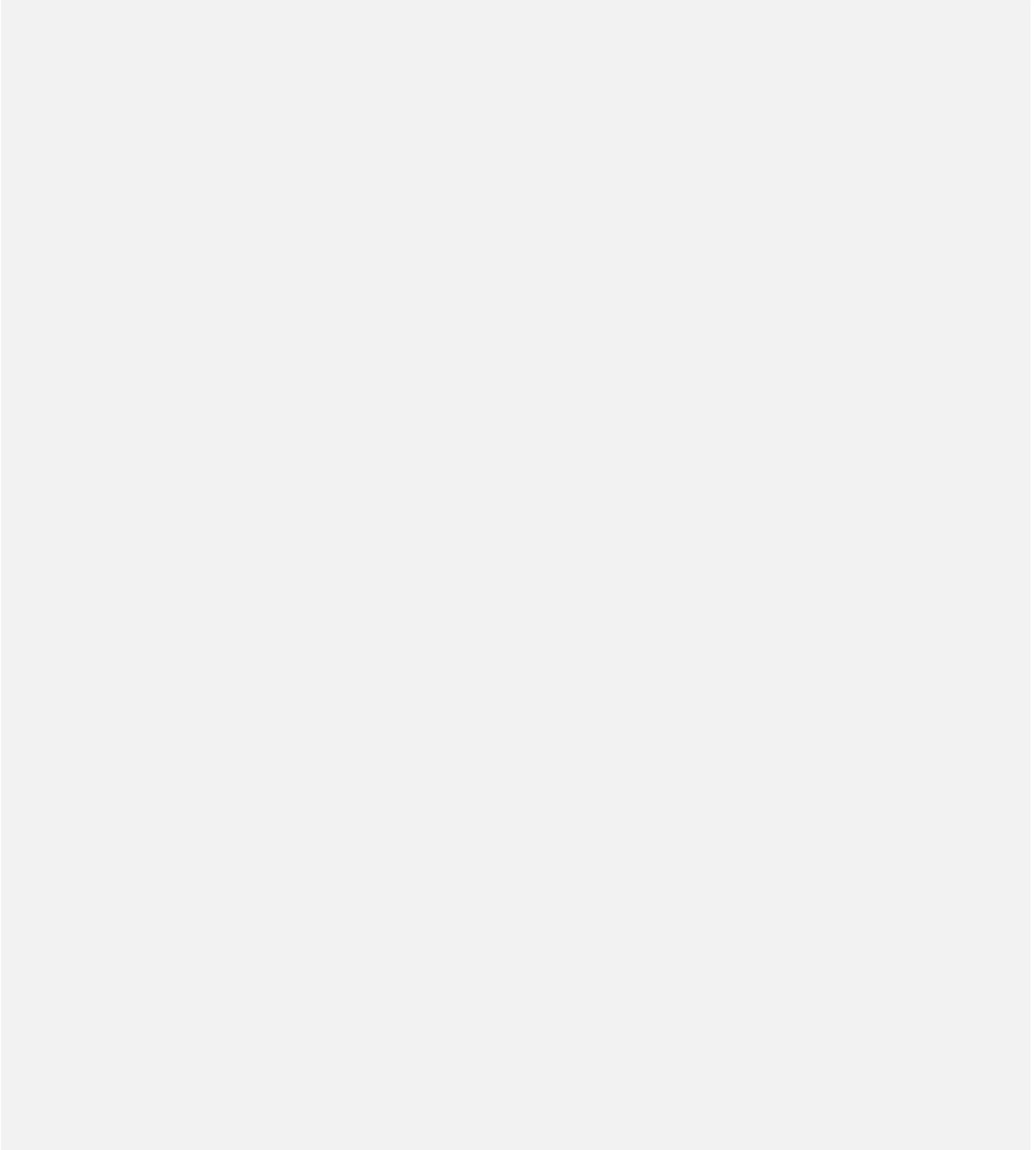
Start of period observed					Middle of period observed					End of period observed					Don't know
1	2	3	4	5	1	2	3	4	5	1	2	3	4	5	

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

Start of period observed					Middle of period observed					End of period observed					Don't know
1	2	3	4	5	1	2	3	4	5	1	2	3	4	5	

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

21. Please describe in max. 600 words the (a) the prehistory and past interactions of participants, (b) how the collaboration was initiated, (c) the sense of interdependence between participants and the incentives to collaborate, (d) any significant changes over time in the period observed.

4. Institutional design

22. How many (institutional/group) actors were involved in the collaborative process?

Start of period observed	Middle of period observed	End of period observed	Don't know

23. What different types of actors took part in the collaboration. Please select the backgrounds of the different participants.

Background of participants	Start of period observed	Middle of period observed	End of period observed	Don't know
Political organizations / politicians				
Public organizations / civil servants				
Private, for-profit organizations				
Private, non-profit organizations				
Citizens / informal citizen groups				

24. To what extent were the procedural ground rules for the collaboration clearly explicated by and for the participants? (1 = Very little articulation of ground rules, 5 = Very detailed articulation)

Start of period observed	Middle of period observed	End of period observed	Don't know
1 2 3 4 5	1 2 3 4 5	1 2 3 4 5	

25. To what extent were the procedural ground rules observed and applied? (1 = Very rarely applied, 5 = Almost always applied ground rules)

Start of period observed	Middle of period observed	End of period observed	Don't know
1 2 3 4 5	1 2 3 4 5	1 2 3 4 5	

26. To what extent was the collaboration inclusive? (1 = Very few of the relevant and affected actors included, 5 = Almost all of the relevant and affected actors included)

Start of period observed	Middle of period observed	End of period observed	Don't know
1 2 3 4 5	1 2 3 4 5	1 2 3 4 5	

27. To what extent were the decision-making processes in the key collaborative forums transparent? (1 = Rarely clear to participants how decisions were taken, 5 = Almost always clear)

Start of period observed	Middle of period observed	End of period observed	Don't know
1 2 3 4 5	1 2 3 4 5	1 2 3 4 5	

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

29. Please describe in max 600 words (a) the ground rules of the collaboration, (b) the inclusiveness of the collaborative forum(s), (c) the transparency of decision making within the collaborative forum(s), (d) any significant changes in the institutional architecture of collaboration over time
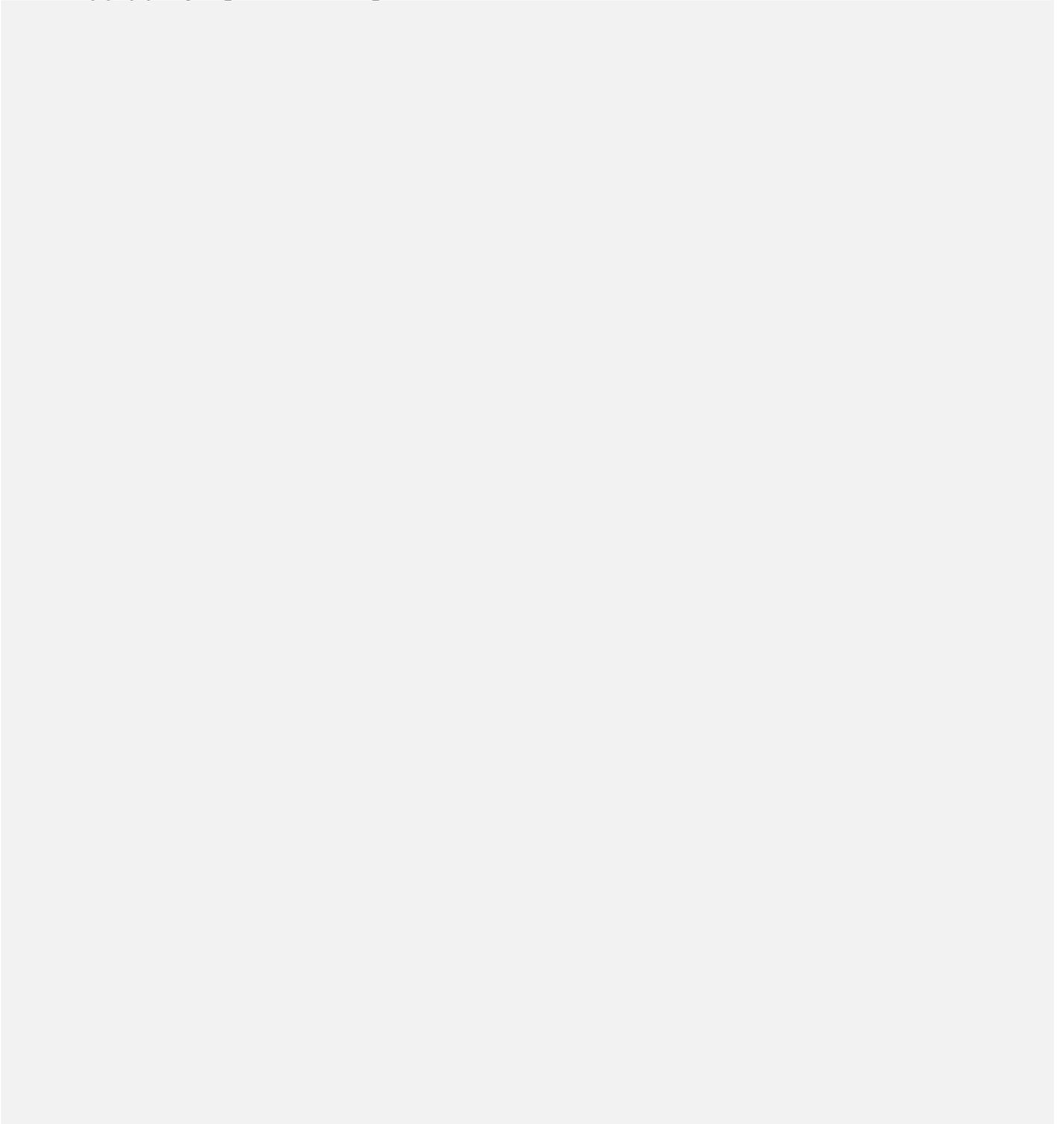
30. Characterize the locus of leadership roles in the collaborative process

Locus of leadership	Start of period observed	Middle of period observed	End of period observed	Don't know
One lead actor A few lead actors Shared collective among all actors				

31. What were the backgrounds of those exercising leadership? Choose more than one if necessary.

Background of participants	Start of period observed	Middle of period observed	End of period observed	Don't know
Political organizations / politicians Public organizations / civil servants Private, for-profit organizations Private non-profit organizations Citizens / informal citizen groups				

32. To what extent was the leadership effective in convening / bringing together the relevant and affected actors (1 = Highly ineffective, 5 = Highly effective)

Start of period observed	Middle of period observed	End of period observed	Don't know
1 2 3 4 5	1 2 3 4 5	1 2 3 4 5	

33. To what extent was the leadership effective in guarding the focus and integrity of the collaborative process intended in this case? (1 = Highly ineffective, 5 = Highly effective)

Start of period observed	Middle of period observed	End of period observed	Don't know
1 2 3 4 5	1 2 3 4 5	1 2 3 4 5	

34. To what extent was the leadership effective in resolving or mitigating conflicts between actors? (1 = Highly ineffective, 5 = Highly effective)

Start of period observed	Middle of period observed	End of period observed	Don't know
1 2 3 4 5	1 2 3 4 5	1 2 3 4 5	

35. To what extent was the leadership effective in creating and realizing concrete opportunities for creative problem-solving resolving? (1 = Highly ineffective, 5 = Highly effective)

Start of period observed	Middle of period observed	End of period observed	Don't know
1 2 3 4 5	1 2 3 4 5	1 2 3 4 5	

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

37. Please describe in max. 600 words the (a) the form and style of leadership within the collaboration, (b) the dynamics and impact of leadership on the collaborative process (c) changes in the leadership dynamics in the period observed.
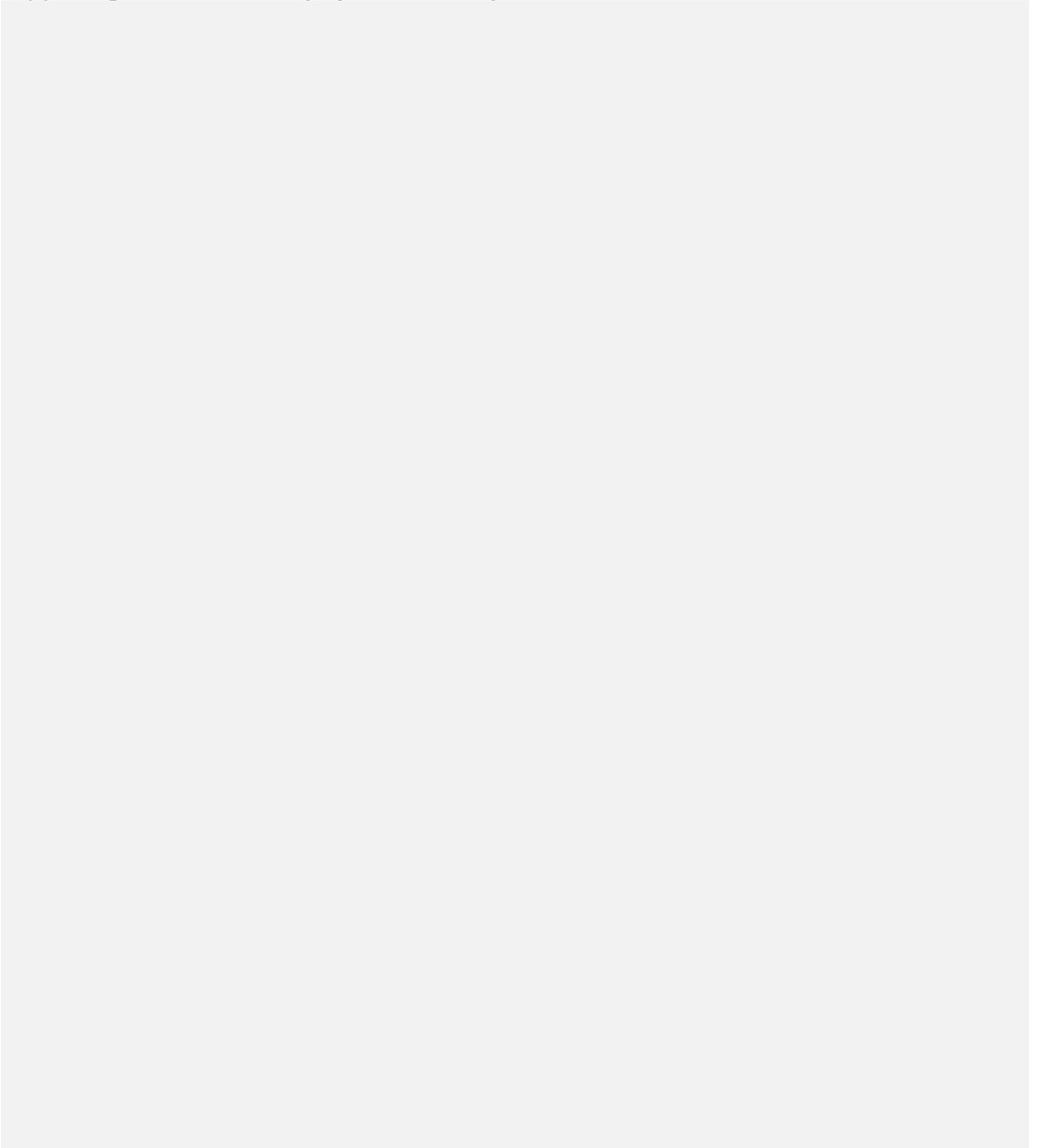
6. Collaborative process

38. To what extent did the participants engage in face-to-face dialogue through holding regular meetings with good attendance? (1 = Very infrequently, 5 = Very frequently)

Start of period observed					Middle of period observed					End of period observed					Don't know
1	2	3	4	5	1	2	3	4	5	1	2	3	4	5	

39. To what extent was the collaborative process concentrated in a single forum/arena/group? (1 = Very low concentration; 5 = Very high centralization in a single forum/arena/group)

Start of period observed					Middle of period observed					End of period observed					Don't know
1	2	3	4	5	1	2	3	4	5	1	2	3	4	5	

40. To what extent did the participants in the collaborative process invest in joint fact finding? (1 = Very little investment, 5 = Very high investment)

Start of period observed					Middle of period observed					End of period observed					Don't know
1	2	3	4	5	1	2	3	4	5	1	2	3	4	5	

41. To what extent did the participants in the collaborative process invest in knowledge sharing? (1 = Very little investment, 5 = Very high investments)

Start of period observed					Middle of period observed					End of period observed					Don't know
1	2	3	4	5	1	2	3	4	5	1	2	3	4	5	

42. To what extent did the collaborative process focus on the alignment of interests and values among all actors? (1 = Very weak focus, 5 = Very strong focus)

Start of period observed					Middle of period observed					End of period observed					Don't know
1	2	3	4	5	1	2	3	4	5	1	2	3	4	5	

43. To what extent did the collaborative process focus on joint problem-solving (e.g. joint problem framing, co-designing solutions)? (1 = Very weak focus, 5 = Very strong focus)

Start of period observed					Middle of period observed					End of period observed					Don't know
1	2	3	4	5	1	2	3	4	5	1	2	3	4	5	

44. To what extent did the collaborative process explicitly focus on producing tangible intermediate outputs (quick wins)? (1 = Very weak focus, 5 = Very strong focus)
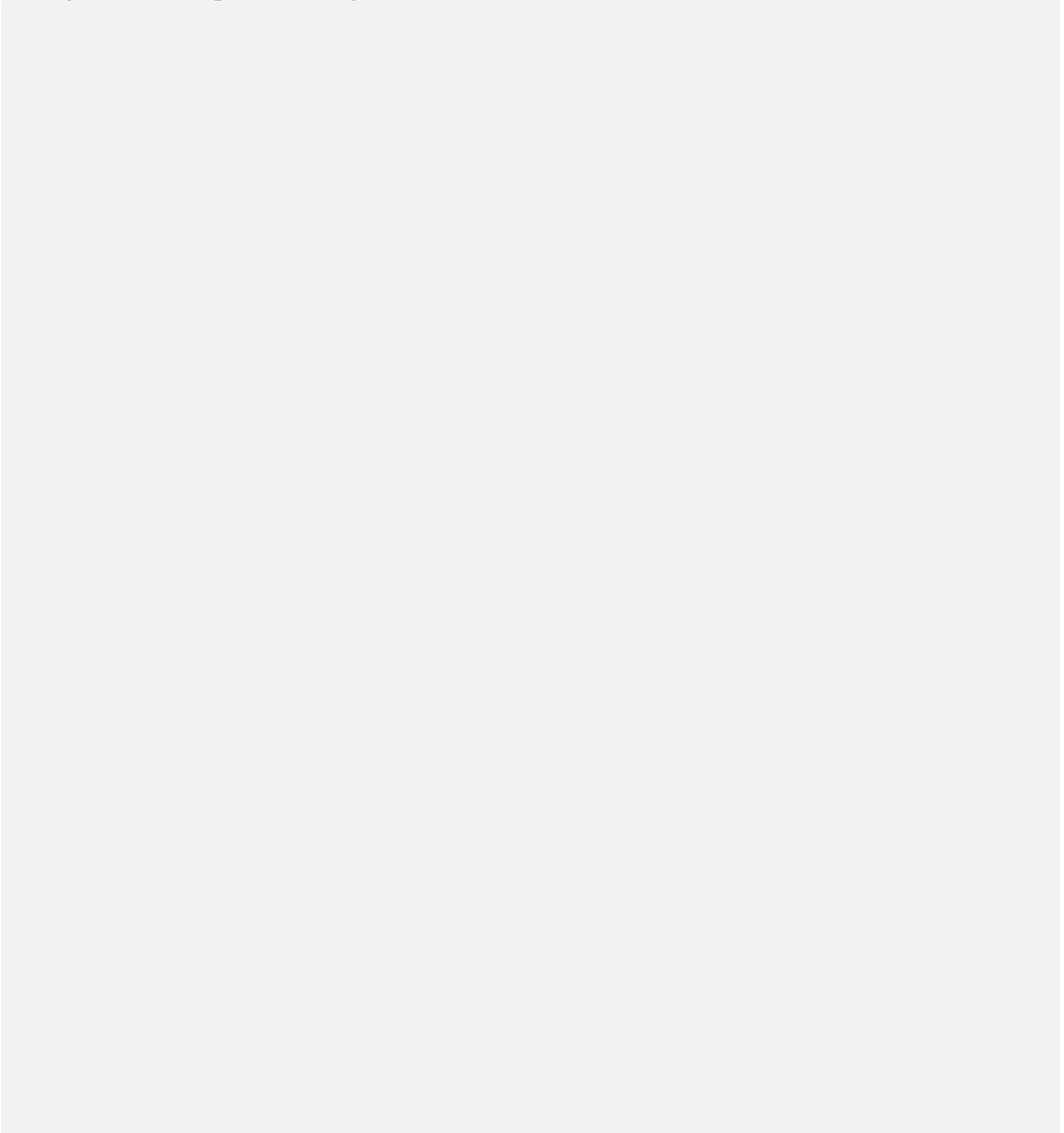
Start of period observed					Middle of period observed					End of period observed					Don't know
1	2	3	4	5	1	2	3	4	5	1	2	3	4	5	

45. To what extent did the collaborative process explicitly focus on producing tangible strategic outcomes? (1 = Very weak focus, 5 = Very strong focus)

Start of period observed					Middle of period observed					End of period observed					Don't know
1	2	3	4	5	1	2	3	4	5	1	2	3	4	5	

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

47. Please describe in max. 600 words (a) the collaborative process in terms of how the actors interacted with each other, (b) how they formulated and achieved shared outcomes, (c) how the process changed over the period observed.

7. Accountability

48. To what extent were explicit joint goals articulated through statements of intent, memoranda, strategic plans, etc.? (1 = Very little explication of goals; 5 = Very highly explicated goals)

Start of period observed	Middle of period observed	End of period observed	Don't know
1 2 3 4 5	1 2 3 4 5	1 2 3 4 5	

49. How were the joint goals operationalized? (1 = Very little operationalization of goals, 5 = Very highly operationalized goals)

Start of period observed	Middle of period observed	End of period observed	Don't know
1 2 3 4 5	1 2 3 4 5	1 2 3 4 5	

50. To what extent was there active monitoring of goal attainment? (1 = Very little monitoring of goal achievement, 5 = Very active monitoring of goal achievement)

Start of period observed	Middle of period observed	End of period observed	Don't know
1 2 3 4 5	1 2 3 4 5	1 2 3 4 5	

51. To what extent did the participants render account of the collaboration to the following actors? (1 = Very little account-giving, 5 = Very active account-giving)
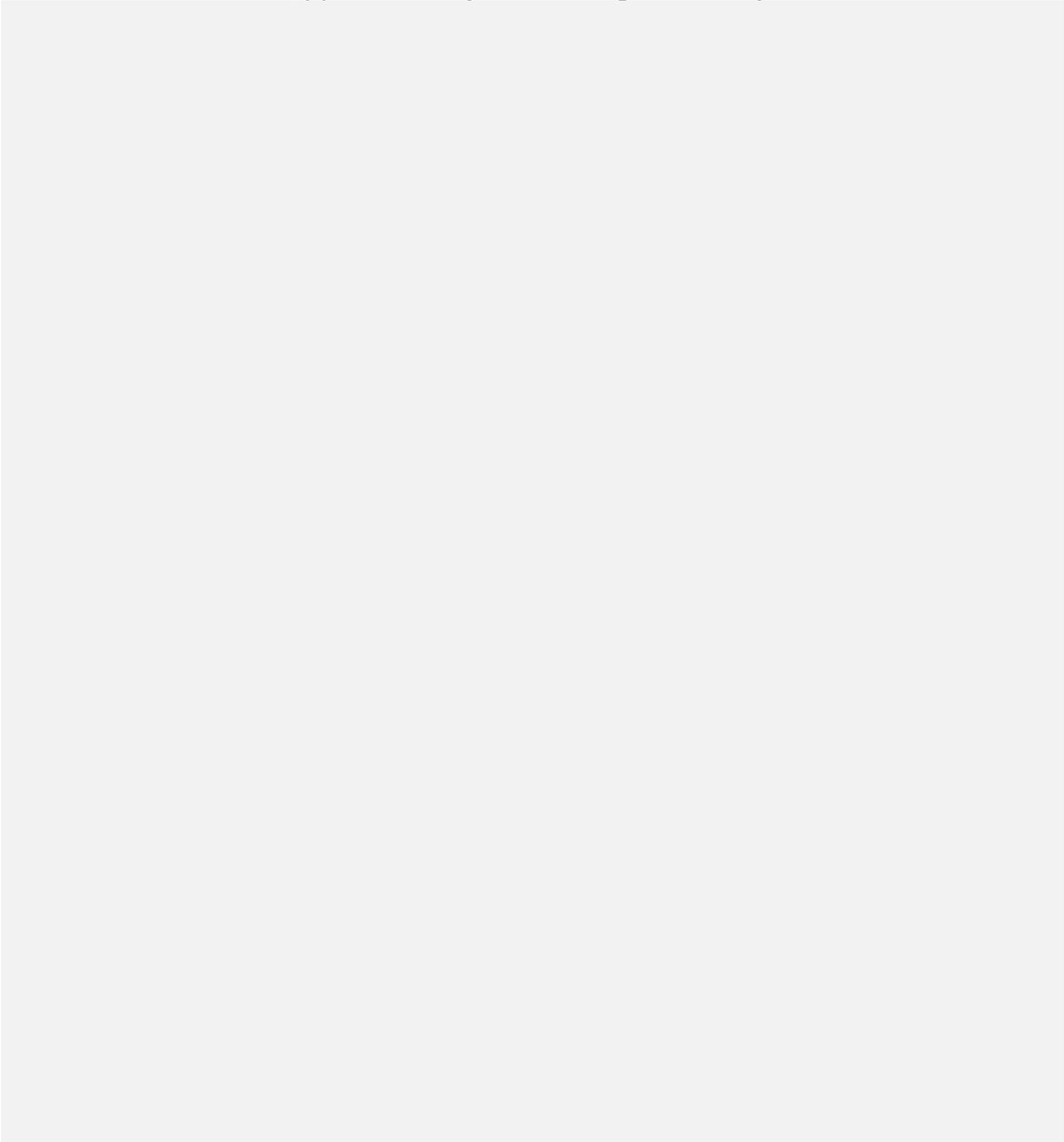
Actors	Start of period observed					Middle of period observed					End of period observed					Don't know
	1	2	3	4	5	1	2	3	4	5	1	2	3	4	5	
Elected politicians																
Oversight bodies (e.g. auditors, courts)																
Civil society organizations																
Affected and/or concerned citizens																

52. To what extent did the following external actors have influence over collaboration (1 = Very little influence, 5 = Very large influence)

Actors	Start of period observed					Middle of period observed					End of period observed					Don't know
	1	2	3	4	5	1	2	3	4	5	1	2	3	4	5	
Elected politicians																
Oversight bodies (e.g. auditors, courts)																
Civil society organizations																
Affected and/or concerned citizens																

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

54. Please describe in max. 600 words (a) how the goals of the collaboration were formulated and monitored, (b) how participants, elected officials, oversight bodies, and citizens held the collaboration to account, (c) how these dynamics changed over the period observed.

8. Outputs and outcomes of collaboration

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

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

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

Realized collaboration	Start of period observed					Middle of period observed					End of period observed					Don't know
	1	2	3	4	5	1	2	3	4	5	1	2	3	4	5	
Co-initiation: Jointly identify required policies, services, or regulations																
Co-develop: Jointly create and arrange policies, services, or regulation																
Co-production: Implement policies, deliver services, or provide regulations																
Co-assessment: Jointly monitor and evaluate impact of policies, services, or regulations																

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

Type of innovation	Start of period observed					Middle of period observed					End of period observed					Don't know
	1	2	3	4	5	1	2	3	4	5	1	2	3	4	5	
Develop novel products or services for clients and partners																
Develop novel production processes for producing products or services																
Novel ways of coordinating between roles and/or services of participants																

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

Type of innovation	Start of period observed					Middle of period observed					End of period observed					Don't know
	1	2	3	4	5	1	2	3	4	5	1	2	3	4	5	
Built support and legitimacy for investing in future collaborations																
Built joint operational capacity for solving future problems and challenges																
Created positive unintended societal consequences																
Created negative unintended societal consequences																

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

Constituents	Start of period observed					Middle of period observed					End of period observed					Don't know
	1	2	3	4	5	1	2	3	4	5	1	2	3	4	5	
Participants in the collaboration																
Elected politicians																
Oversight bodies (e.g. auditors, courts)																
Civil society organizations																
Affected and/or concerned citizens																

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

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