

Collaborative Governance:

Qualitative Integration of the Latest Prior Research in the U.S. and
Development of a Conceptual Framework

KEYWORDS:

New Collaborative Governance Model, Overall framework, Systematic review, Collaborative Innovation

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- ❑ Collaborative governance is increasingly significant in public policy and management, drawing global academic interest.
- ❑ Numerous studies on collaborative governance initiated by Barbara Gray's 1989 work, *Collaborating*, have been conducted worldwide.

□ Collaborative research has evolved through three phases:

Table 1: Historical Development of Collaborative Governance Research

Phase	Period	Positioning	Activities and Results
Phase 1	1990s - 2010	Counterproposal to traditional decision-making by government agencies	-Broad agreement on collaboration as a theory -Simple process model for natural resources/environment
Phase 2	2008, 2012	Effective and practical public policy method	-Generic and comprehensive model (Ansell & Gash, 2008; Emerson et al., 2012)
Phase 3	Since 2010	Applied to individual cases	(Study 1) Statistical demonstration of model elements (Study 2) Verification in other countries (Study 3) Research on downstream issues

current frameworks do not incorporate the latest research findings

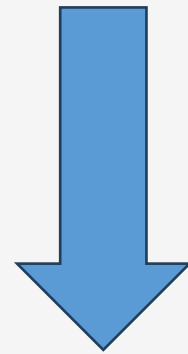


Shortcoming of existing studies

The aim of this paper:

Phase 2 : **Current framework**

(A model of Collaborative Governance (Ansell & Gash 2008))



Integrates the latest research results of the **Phase 3**
→ systematic review of 117 U.S. papers published since 2009

**developing an updated overall framework
(New Collaborative Governance Model)**

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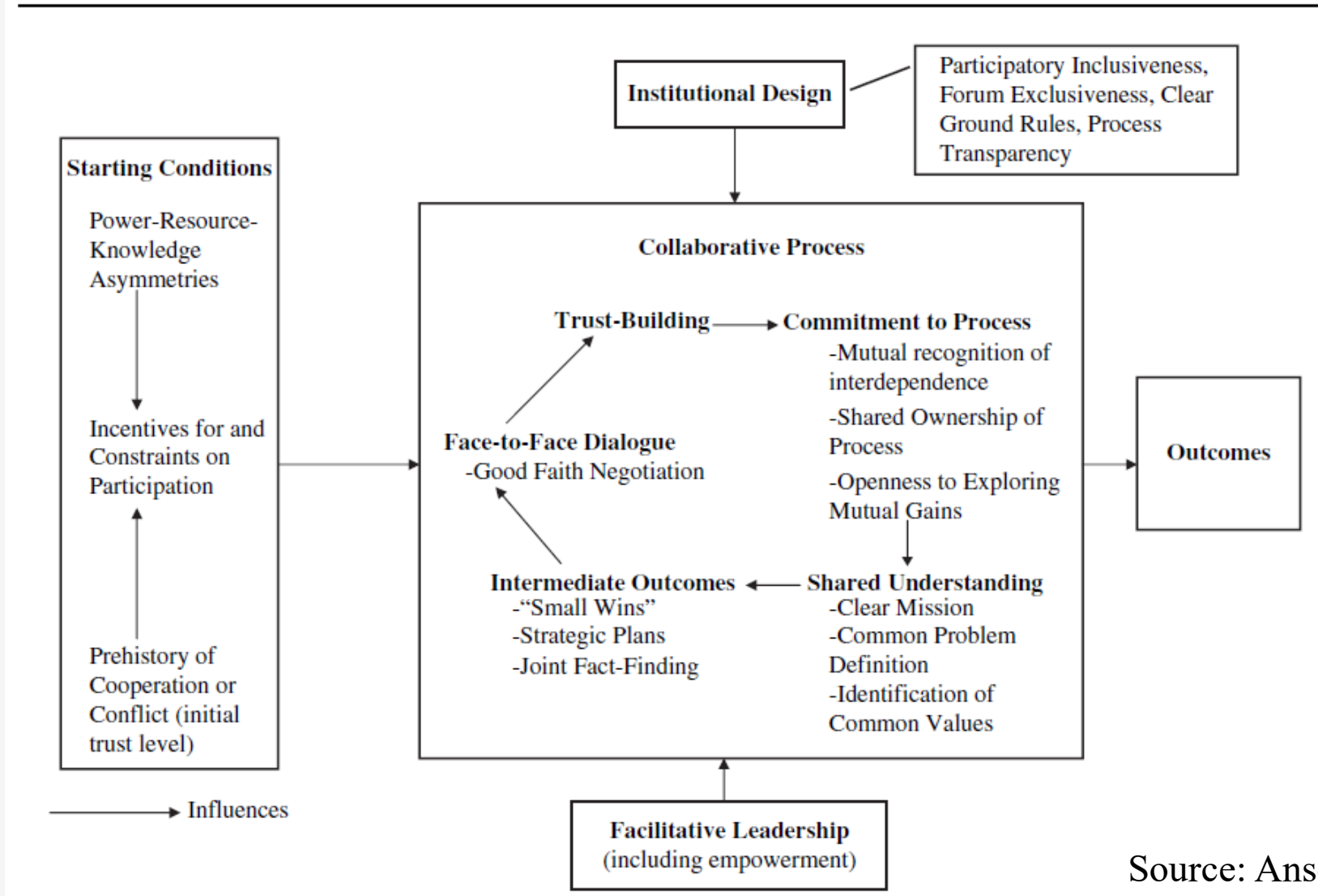
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2 THEORETICAL MODELS IN PREVIOUS STUDIES

- A Model for Collaborative Governance (Ansell & Gash 2008)



Source: Ansell & Gash (2008)

Figure 1: A Model of Collaborative Governance

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□ The systematic review relies on the PRISMA (Preferred Reporting Items for Systematic Reviews and Meta-Analyses) Statement for transparency.

Table 2: Criteria for Literature in the Systematic Review

Item (PRISMA)	Criteria
Objectives	Comprehensive review of Phase 3 papers, integrating findings, adding new elements, developing the New Collaborative Governance Model, adding the latest findings
Eligibility Criteria	-Published in English in the U.S. from 2009 to 2023 (as of July 31); Original articles in "Public Administration" with "Collaboration" or "Collaborative" in the title; Both quantitative and qualitative studies
Information Sources & Search Process	Web of Science Core Collection, Google Scholar, reference lists

3 SYSTEMATIC REVIEW

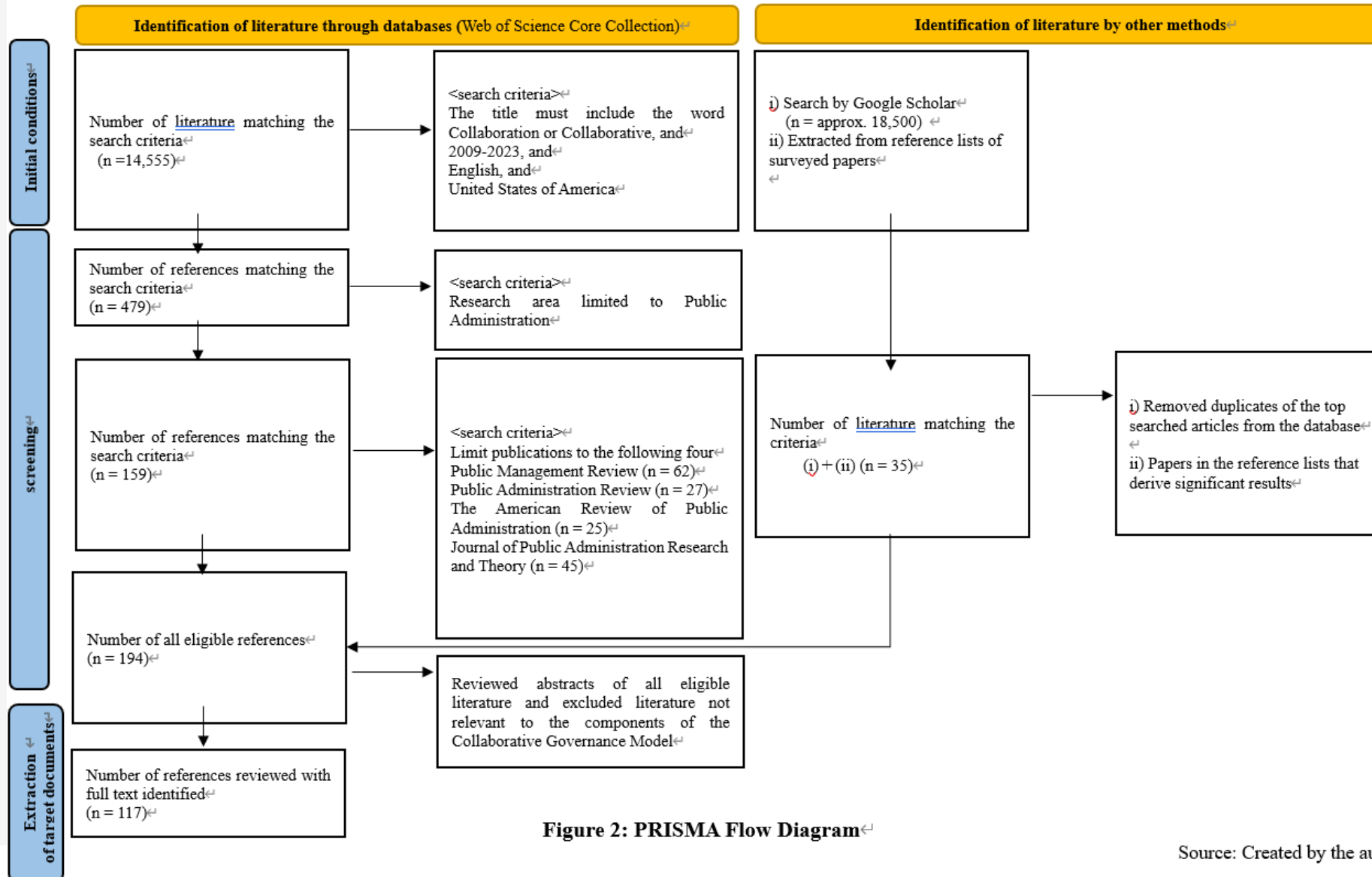


Figure 2: PRISMA Flow Diagram

- ❑ A list of general information (author, title publication journal, year of publication) of the 117 publications were organized
- ❑ the contents were then analyzed using NVivo software.

KEY STEPS

Coding Keywords that could be elements of a new collaborative governance model (creation of a coding list)

Reviewing frequently Cited Papers of Coded Keywords

Developing a huge matrix

(all of codes [vertical axis] x 117 papers [horizontal axis])

→ indicating which implication related to which code or subcode can be derived from which paper

	Paper 1	Paper 2	Paper 3	...
Leadership	○		○	
Accountability	○	○		○
External factors			○	
...	○			

Full-text, semi-structured narrative review on the related papers of each code

1) objectives; 2) research methods, subjects, and data; 3) main research results

Qualitatively integrating the main research findings by code

all the codes were connected

and integrated to develop **the New Collaborative Governance Model**

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4 NEW COLLABORATIVE GOVERNANCE MODEL

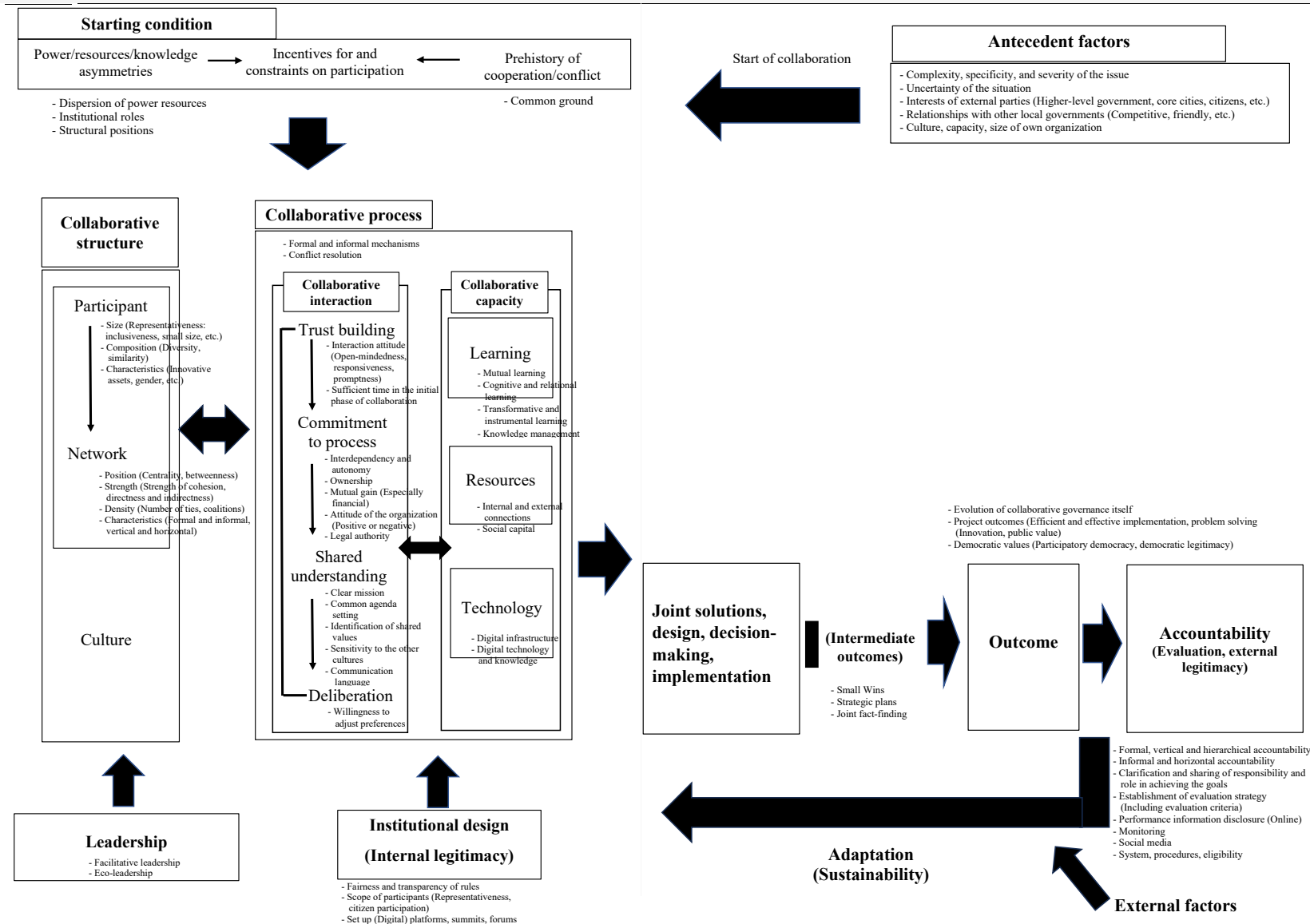


Figure 3:
New Collaborative Governance Model
Source: Created by the author

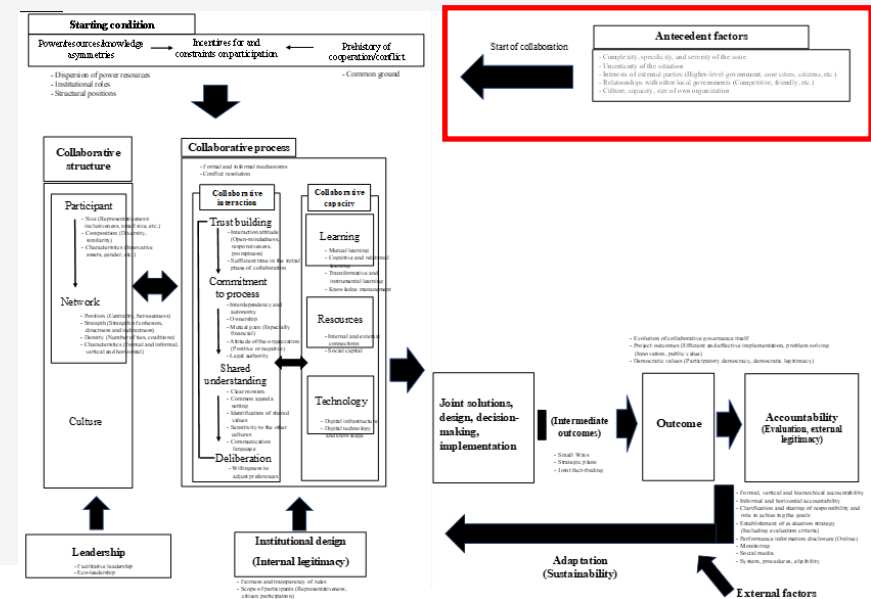
4 NEW COLLABORATIVE GOVERNANCE MODEL

Start of collaboration

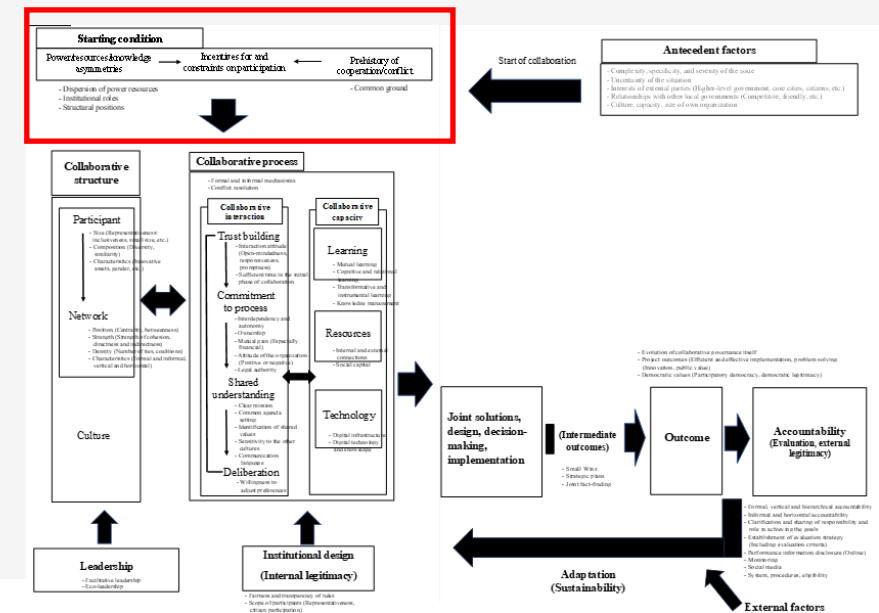
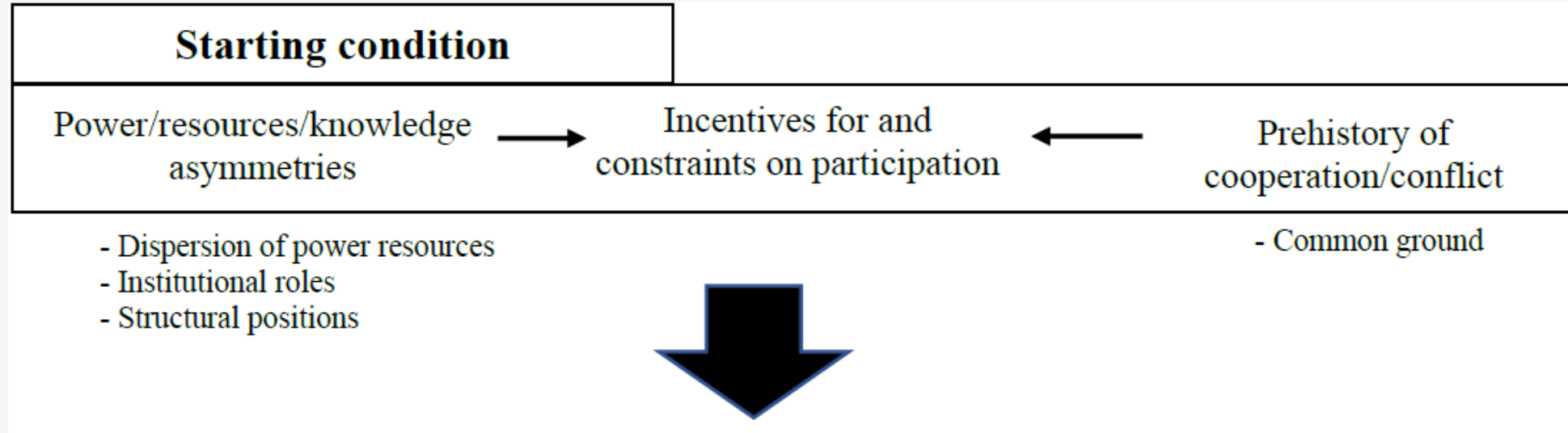


Antecedent factors

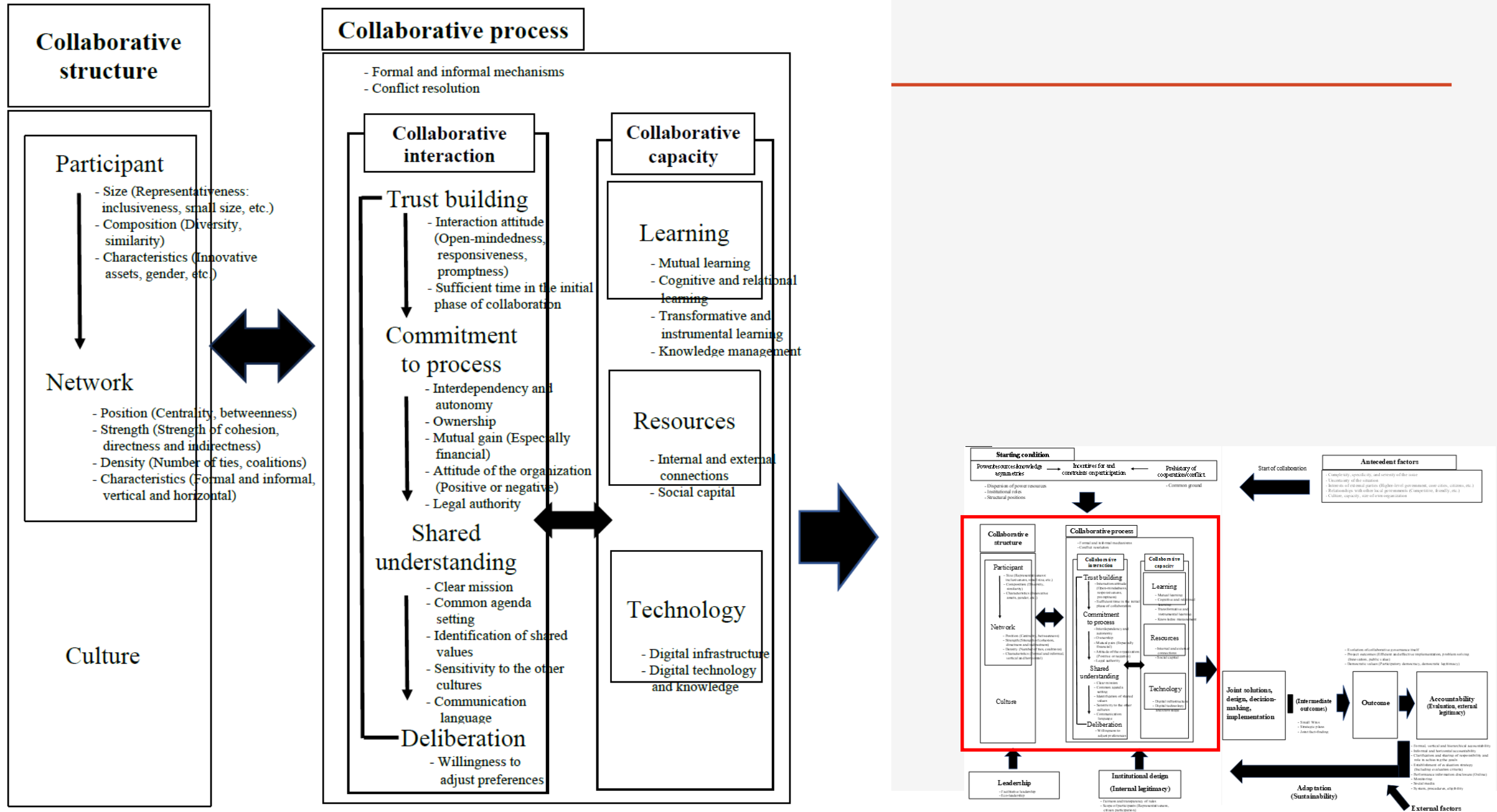
- Complexity, specificity, and severity of the issue
- Uncertainty of the situation
- Interests of external parties (Higher-level government, core cities, citizens, etc.)
- Relationships with other local governments (Competitive, friendly, etc.)
- Culture, capacity, size of own organization



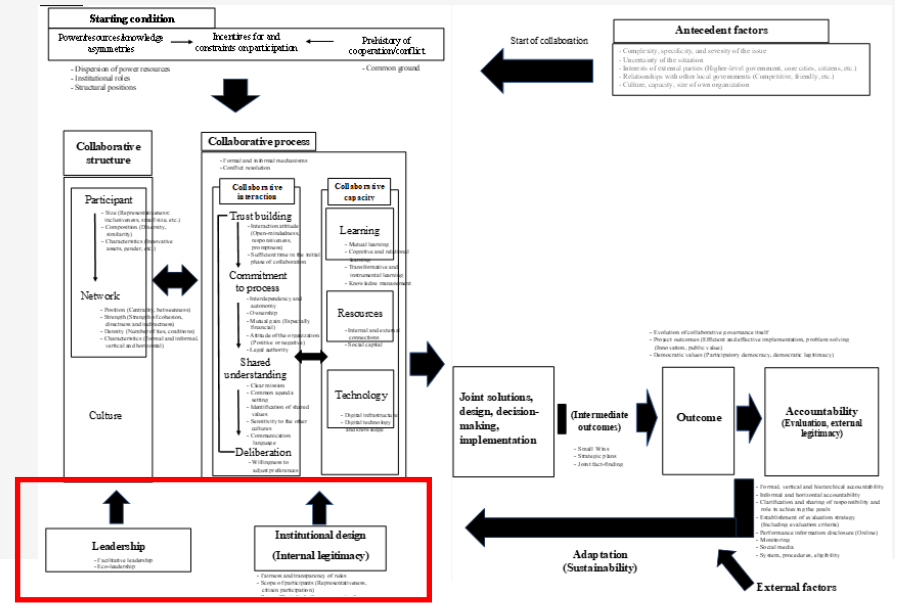
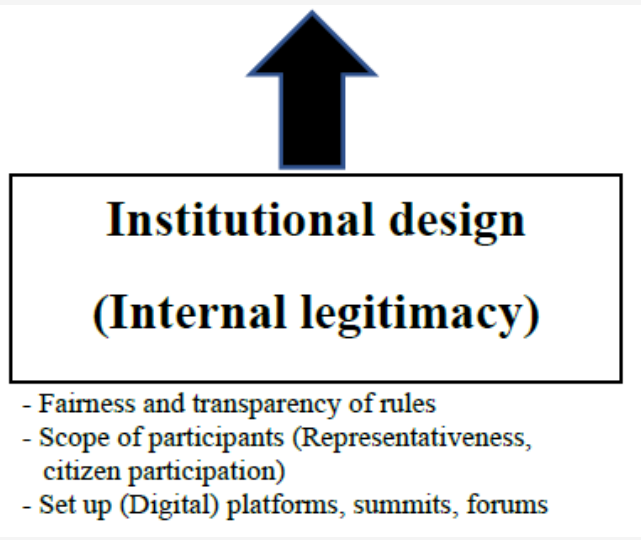
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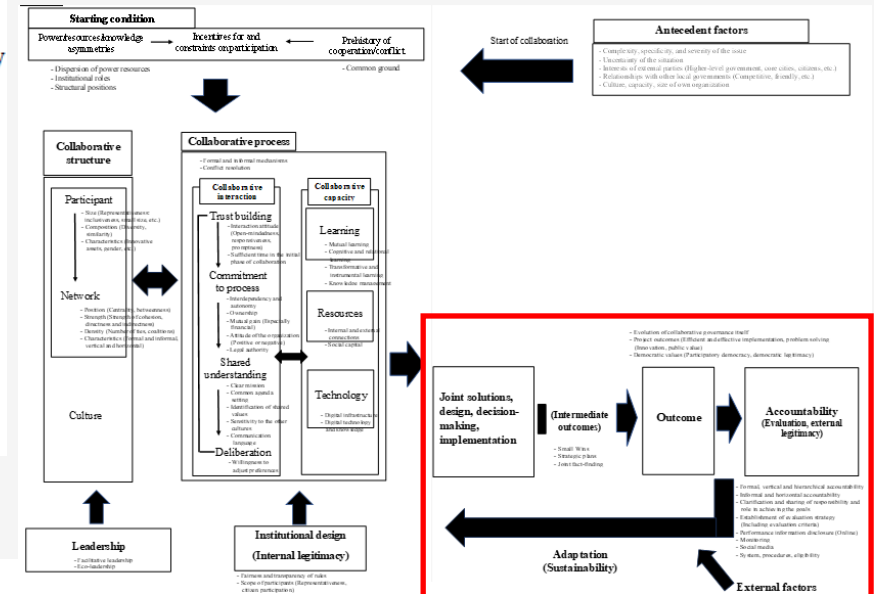
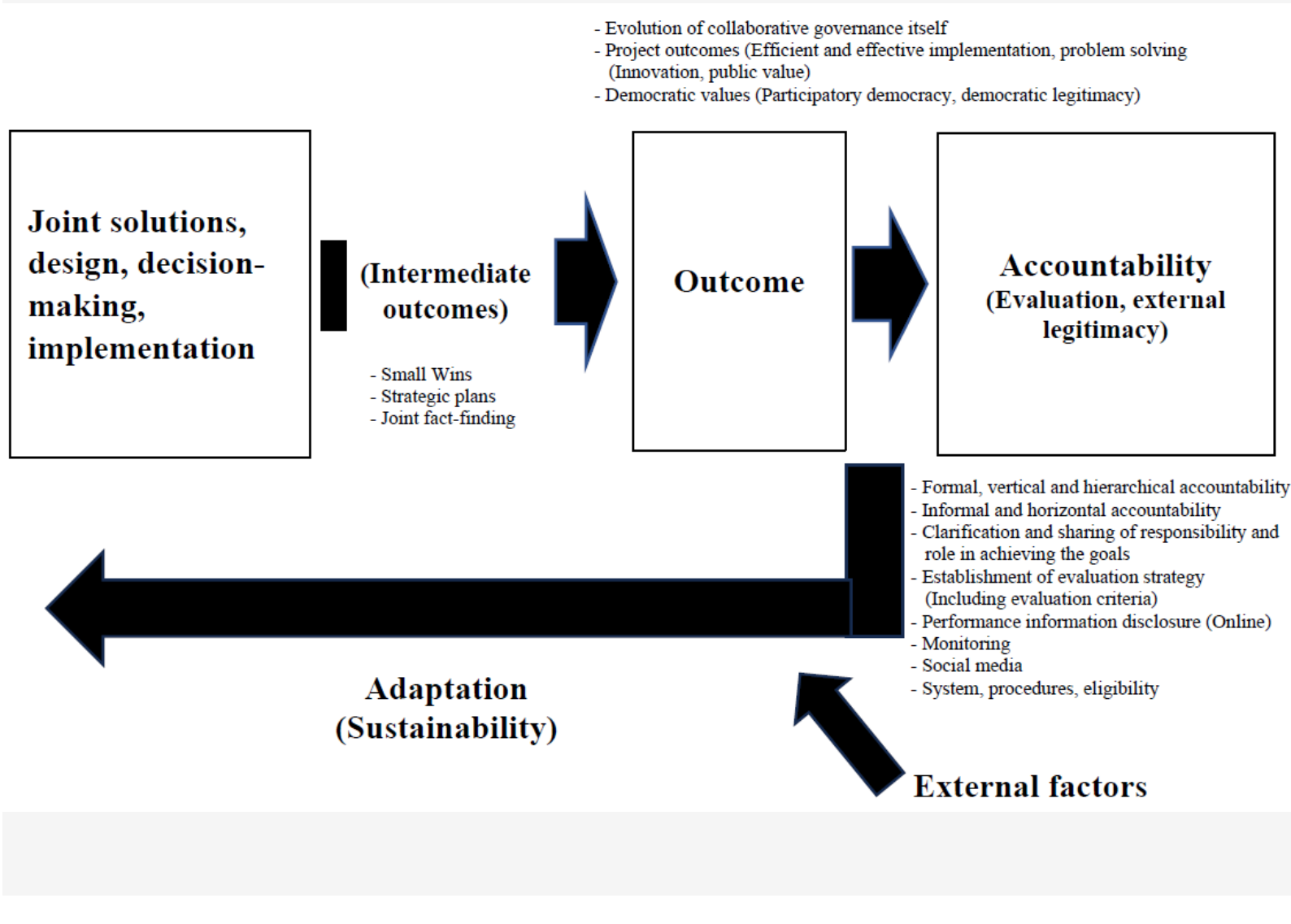


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5 CONCLUSION

- ❑ As a result, based on the reviewed literature, the following components were added to the Collaborative Governance Model: 1) "Antecedent factors"; 2) "Collaborative structure" and its components (i) "Participants" (ii) "Networks" (iii) "Culture"; 3) "Collaborative capacity" and its components (i) "Learning" (ii) "Resources" (iii) "Technology"; 4) "Collaborative solution design, decision-making, and implementation"; 5) "Explanation (Evaluation/ external legitimacy)"; 6) "External factors"; and 7) "Adaptation (Sustainability)." Sub-components for each main component were also significantly added.
- ❑ The significance of these additions lies in addressing upstream issues, such as structuring collaboration and cultivating capacity, while the earlier Collaborative Governance Model focused mainly on trust-building among collaborative actors. This paper highlights the importance of participants' characteristics, network structure, required capacities and resources, and the use of new technologies in collaborative governance, marking a key achievement.
- ❑ Additionally, the New Collaborative Governance Model incorporates downstream issues, identifying outcomes such as the evolution of the collaborative governance regime, collaborative innovation, public value, and democratic value. It also addresses the external accountability and legitimacy requirements and the need for sustainable adaptation and development of the regime. These areas have been underexplored in previous models, representing another significant contribution of this work.

5 CONCLUSION

- ❑ Collaboration is a complex concept and a crucial tool for policy innovation. While there are many different ways to cut through innovation, such as technology (e.g., digital in the current context) and education, collaborative innovation is an aspect of innovation that sublimates diverse human connections and the ideas generated from them. It can be assumed that the importance of innovation will increase in the future, and that one means of innovation, collaborative innovation, will become even more significant. This paper contributes to the development of collaborative governance research and practice, identifying factors that determine the success or failure of collaborative innovation.
- ❑ There are limitations in this paper. Opinions may vary on the comprehensiveness and validity of the elements and sub-elements, their categorization and relationships, and their overall optimality. Additionally, the varying local government systems in the USA and their relationship to the theoretical framework may be questioned. Future research should elaborate on and deepen these perspectives.

* This research paper has been published in Japanese as part of my book (Ogawa 2024) since March 31, 2024. There are no plans to publish it in any other language except as a paper for European Group for Public Administration.

* This paper is edited by Editage for English language proofreading.

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SYSTEMATIC LITERATURE REVIEW

See full paper