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

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ABSTRACT

Collaborative governance is increasingly significant in public policy and management, drawing global academic interest. Numerous studies have explored collaborative governance, but many focus on case studies, lacking comprehensive frameworks. In the U.S., existing frameworks are outdated and do not incorporate recent research findings. This study addresses this gap by updating extends an existing U.S. framework for collaborative governance by incorporating the latest research implications. Specifically, it transforms "A Model of Collaborative Governance" by Ansell and Gash (2008) into a New Collaborative Governance Model. To achieve this, a systematic review of 117 U.S. papers published since 2009, or after the publishment of the Model of Collaborative Governance, was conducted using the PRISMA statement and NVivo software for qualitative data analysis. The integrated research findings informed the updates to the original model. The New Collaborative Governance Model offers both academic significance and practical guidance for practitioners, enhancing the success of collaborative governance initiatives.

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

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1. INTRODUCTION - OBJECTIVE AND BACKGROUND

Collaborative governance is increasingly significant in public policy and management, attracting growing academic interest globally. Recently, "collaborative innovation," which integrates ideas generated from diverse groups, and "digital collaboration," which involves collaboration on digital platforms, have become prevalent.

Numerous studies on collaborative governance have been conducted worldwide. In Japan, "Collaboration," "Co-production," and "Partnership" studies are influential in this research field. This article is based on the "Collaboration" study initiated by Barbara Gray's 1989 work, *Collaborating*. Collaborative research has evolved through three phases:

1. Phase One: Recognition of collaboration's usefulness among diverse actors as an alternative to traditional governance, characterized mainly by case studies and simple frames.
2. Phase Two: Use of collaboration as a practical tool for public management and policy, with comprehensive frameworks like "A Model of Collaborative Governance" by Ansell & Gash (2008) and "An Integrative Framework for Collaborative Governance" by Emerson et al. (2012).
3. Phase Three: Statistical demonstration of the second-phase frameworks' components, examination of their applicability to other countries, and in-depth consideration of previously overlooked issues.

However, existing studies have shortcomings. In the U.S., where collaboration research is advanced, current frameworks do not incorporate the latest research findings. This study aims to address this gap by developing an updated overall framework that integrates the latest research results of the third phase into the second-phase frameworks.

The specific research question is: "What kind of overall framework can be developed by integrating the latest third-phase research findings into the second-phase framework?"

To answer this, the study extends an existing U.S. framework for collaborative governance, transforming Ansell and Gash's 2008 "A Model of Collaborative Governance" into the New Collaborative Governance Model. This involves a systematic review of 117 U.S. papers published since 2009, using the PRISMA statement and qualitative integration of findings with NVivo software.

This paper is structured as follows:

- Section 2: Outlines existing theoretical models (Phase 2) and the theoretical model used in this study.
- Section 3: Presents a systematic review of the latest collaboration research (Phase 3).
- Section 4: Introduces the New Collaborative Governance Model, describing its components and sub-components.
- Conclusion: Provides final insights and implications.

2. THEORETICAL MODELS IN PREVIOUS STUDIES

Collaboration research can be divided into three phases. This section presents the theoretical models developed so far and the model on which this study is based.

2.1. Simple Process Model (Phase 1)

The first phase, around 1990-2010, saw collaborative governance in its pilot stage. Case studies demonstrated collaboration in parts of projects rather than entire projects. Selin & Chavez (1995: 191) modeled the collaborative process in natural resource management, which Bentrup (2001) later modified. Plummer & Fitzgibbon (2004: 879) also presented a process model for natural resources co-management. These models, limited to the natural resource and environmental sectors, had relatively few components.

2.2. Generic and Comprehensive Process Model (Phase 2)

Around 2010, U.S. researchers integrated Phase 1 research into generic and comprehensive models. Ansell & Gash (2008) and Emerson et al. (2012) developed two major models through meta-analysis of over 100 studies. These models identify components and relationships in the collaborative governance process, making them applicable to any policy area or region.

2.3. Process Model for This Study: Collaborative Governance Model

Both models emphasize public and private actors working together, with socio-political context, institutional design, trust-building, and leadership being crucial for success.

The most significant difference is the scope that "collaborative governance" captures. The Collaborative Governance Model (**Figure 1**, below) focuses on formal, government-driven collaboration between state and non-state stakeholders. The Integrative Framework for Collaborative Governance includes myriad forms of collaboration in the public, private, and civic sectors, including intergovernmental collaboration, public-private partnerships, community-based collaboration, and civic engagement, and the scope captured by "collaborative governance" is broader than the Collaborative Governance Model. Therefore, the Integrative Framework for Collaborative Governance is composed of more abstract elements. This study assumes collaboration that includes the government as the main actor, but the Integrative Framework is too broad in scope as it includes collaboration among all actors. This study, aiming for practical application, is based on the Collaborative Governance Model.

In 2008, Ansell & Gash (2008) analyzed 137 cases of government-citizen collaboration in various fields (public health, education, social security, international relations, natural resources, etc.), using the sequential comparison method to derive common variables promoting collaboration and their causal relationships, constructing a process model of collaborative governance.

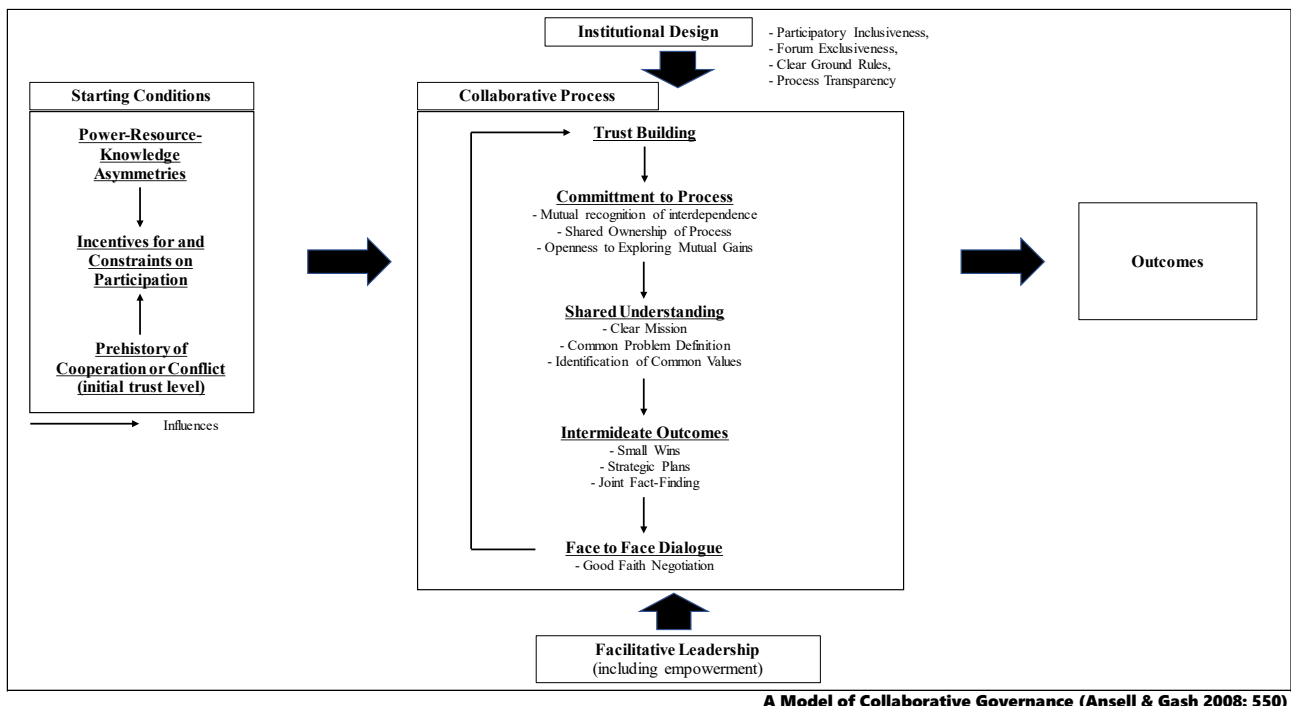A Model of Collaborative Governance (Ansell & Gash 2008: 550)

Figure 1: A Model of Collaborative Governance

It states that collaboration repeats three processes: the "Starting Condition," the "Collaborative Process," and the "Outcome," and that the "Leadership" by the collaborative leader and the "Institutional Design" of the collaboration determine its success or failure. The following is a slightly

longer quotation, but since this is the base model for this study, the paper would like to summarize the explanation of each component of the Collaborative Governance Model.

2.4. Model Components
2.4.1. Starting Conditions
Two conditions influence collaboration at the start: a history of blame or hostility between collaboration participants, and a history of mutual respect or cooperation. These can be further divided into:

- *Power/Resources/Knowledge Asymmetries:* If some collaborative participants do not have the same capabilities, organizational background, status, resources, as other participants, the collaborative process tends to be dominated by the more powerful participants. This problem of power imbalance becomes more apparent especially when key participants do not have the infrastructure to represent the organization, and when some participants who lack skills/expertise cannot keep up with highly technical discussions.
- *Incentives for and Constraints on Participation:* Since participation in collaboration depends largely on self-motivation, it is important to understand their incentives for participation. Incentive to participate increases when (1) concrete and meaningful results can be expected and (2) the cooperation of other participants is necessary to achieve one's own goals. Conversely, incentive to participate is reduced when (1) there is an asymmetry of power/resources/knowledge, (2) collaboration is perceived as merely formal, and (3) one's goals can be achieved alone or by alternative means.
- *Prehistory of Cooperation or Conflict:* "Prehistory of Cooperation/Conflict" promotes/prevents collaboration. Past cooperation creates a virtuous circle of collaboration by forming social capital, high level of trust, etc. On the other hand, past conflict creates a vicious circle of collaboration by forming distrust, low commitment, insincere communication, etc. However, when collaborative participants are highly interdependent, a high degree of hostility conversely forms a motivation for participation.

2.4.2. Facilitative Leadership
"Facilitative Leadership" brings collaborative participants together, forms ground rules, builds trust, facilitates discussions, explores mutual interests, and empowers weaker participants. The required leadership type depends on the situation, such as being an "Honest Broker" when mistrust exists.

2.4.3. Institutional Design
"Institutional Design" ensures procedural legitimacy. Key aspects include the broad inclusion of all stakeholders, clear ground rules, and process transparency. Conversely, the exclusion of key stakeholders, even if they are troublesome, can be a major factor in collaborative failure. When participants can achieve their own goals through alternative means, their incentive to participate is reduced. Thus, if the collaborative forum is exclusive (only selected people can participate), participants' motivation to participate will increase. Collaborative participants are sensitive to fairness and perceive procedural legitimacy by whether their voices are equally reflected in the results. Clear ground rules make collaborative participants aware that the process is fair and equal. Process transparency means that discussions are conducted in an open forum and are not based on private commitments in back rooms.

2.4.4. Collaborative Process
The collaborative process includes:

- *Trust Building:* Essential among collaborative participants as it facilitates the collaborative process and increases commitment. Lack of trust among participants is a common condition at the beginning of a collaboration. If there is a history of conflict among the participants,

trust building is the most important aspect of the initial phase of the collaboration. Trust building is a time-consuming process and requires a long-term commitment.

- *Commitment to Process:* The degree of commitment is a key factor and is influenced by the original motivation at the time of participation in the collaboration. Therefore, if the collaborative participants recognize their interdependence and their motivation increases, their commitment will increase. Commitment is also fostered when the sense of ownership (the sense that one is partly responsible for decision-making) deepens, when trust is built with other participants (that one's ideas and interests are respected) in the search for mutual benefits, and when procedures are perceived as clear, fair, and transparent. When collaboration is forced, there is less incentive to participate and a lower degree of commitment.
- *Shared Understanding:* Collaborative participants need to foster a "Shared Understanding" of what they will accomplish together (in other words, what is the common mission). This requires the establishment of common tasks and the identification of common values. Shared understanding is fostered through a process of collaborative learning and direct communication.
- *Intermediate Outcomes:* When the "Small Wins" from collaboration (i.e., small outcomes obtained during the collaborative process rather than the final outcome) are concrete, tangible, achievable, and predictable, collaboration tends to be initiated in a positive manner and continued rather than ending in failure. Since collaborations often last for a lengthy period of time, the commitment of participants decreases based on the final outcome alone. Repeated achievement of small wins in a brief period of time is a driving force for collaboration, and also creates a virtuous cycle of trust building and commitment cultivation. As an intermediate outcome, it is important to establish small wins, develop strategic plans, and find facts jointly.
- *Face to Face Dialogue:* Direct communication is necessary for exploring mutual interests and building consensus and central to the process of building trust, mutual respect, shared understanding, and commitment to the process. Good faith negotiation is important to facilitate face-to-face dialogue.

This paper outlines existing theoretical models (Phase 2), reviews recent collaboration research (Phase 3), introduces the New Collaborative Governance Model, and provides a conclusion.

3 SYSTEMATIC REVIEW

In this section, the author updates the model in the second phase by reflecting the latest findings extracted from the literature in the third phase. Specifically, this paper systematically reviews 117 articles published in the U.S. since Ansell & Gash (2008) presented the Collaborative Governance Model. It qualitatively integrates the implications derived from these articles and develops the New Collaborative Governance Model by adding new elements and further exploring existing ones.

3.1. Latest Research (Phase 3)

In the third phase, based on the second-phase model, the applicability to various situations is examined through three major research categories: 1) demonstrating the individual elements that constitute a generic and comprehensive model and pursuing further versatility, 2) verifying the model's applicability and usefulness in other countries, and 3) researching downstream issues not covered previously.

The collaborative governance process typically involves: 1) recruiting participants, 2) initiating interactions, 3) defining the issue, 4) selecting solutions, 5) implementation solutions, 6) evaluating outcomes, and 7) accountability.

While Phases 1 and 2 focused on upstream issues from 1–4, Phase 3 has many studies on downstream issues from 5–7, highlighting keywords like Legitimacy, Accountability, Public Value, Performance Evaluation, and Collaborative Innovation.

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

Source: Created by the author

3.2. Systematic Review
3.2.1. Collection and Selection of Literature
The systematic review relies on the PRISMA (Preferred Reporting Items for Systematic Reviews and Meta-Analyses) Statement for transparency.

3.2.2. Objectives
A comprehensive review of Phase 3 papers on collaborative governance aims to: i) Integrate and summarize the latest findings, ii) Add new elements not in the original model, and, iii) Develop the New Collaborative Governance Model.

3.2.3. Eligibility Criteria
Original articles in "Public Administration" with "Collaboration" or "Collaborative" in the title, published in English in the U.S. from 2009 to 2023 (as of July 31), are eligible.

3.2.4. Article Database and Search Process (Information Sources & Search Process)
The Web of Science Core Collection was used to find 479 articles. Key journals included: Public Management Review, Public Administration Review, The American Review of Public Administration, and Journal of Public Administration Research and Theory, (which are the top American journals in public administration with the most articles on "collaboration" and "collaborative governance" research), resulting in 159 articles.

Google Scholar was used to find additional articles, and references from previously surveyed articles were also included, resulting in 194 eligible papers. After reviewing abstracts, 117 papers were fully reviewed.

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

<div align="right">Source: Created by the author</div>

3.2.5. Collection and Selection Results

A search using the criteria and methods above resulted in 194 eligible papers. The author then reviewed all of the abstracts of those papers and excluded those not relevant to the components of the Collaborative Governance Model. As a result, a total of 117 relevant papers were identified and reviewed for full text. The selection process is visualized in the PRISMA flow diagram (**Figure 2**).

In terms of number of paper by year, 2007 had 1 paper, 2009 had 3 paper, 2010 had 4 papers, 2011 had 4 papers, 2012 had 5 papers, 2013 had 8 papers, 2014 had 3 papers, 2015 had 7 papers, 2016 had 9 papers, 2017 had 11 papers, 2018 had 7 papers, 2019 had 12 papers, 10 papers in 2020, 18 papers in 2021, 6 papers in 2022, and 9 papers in 2023.
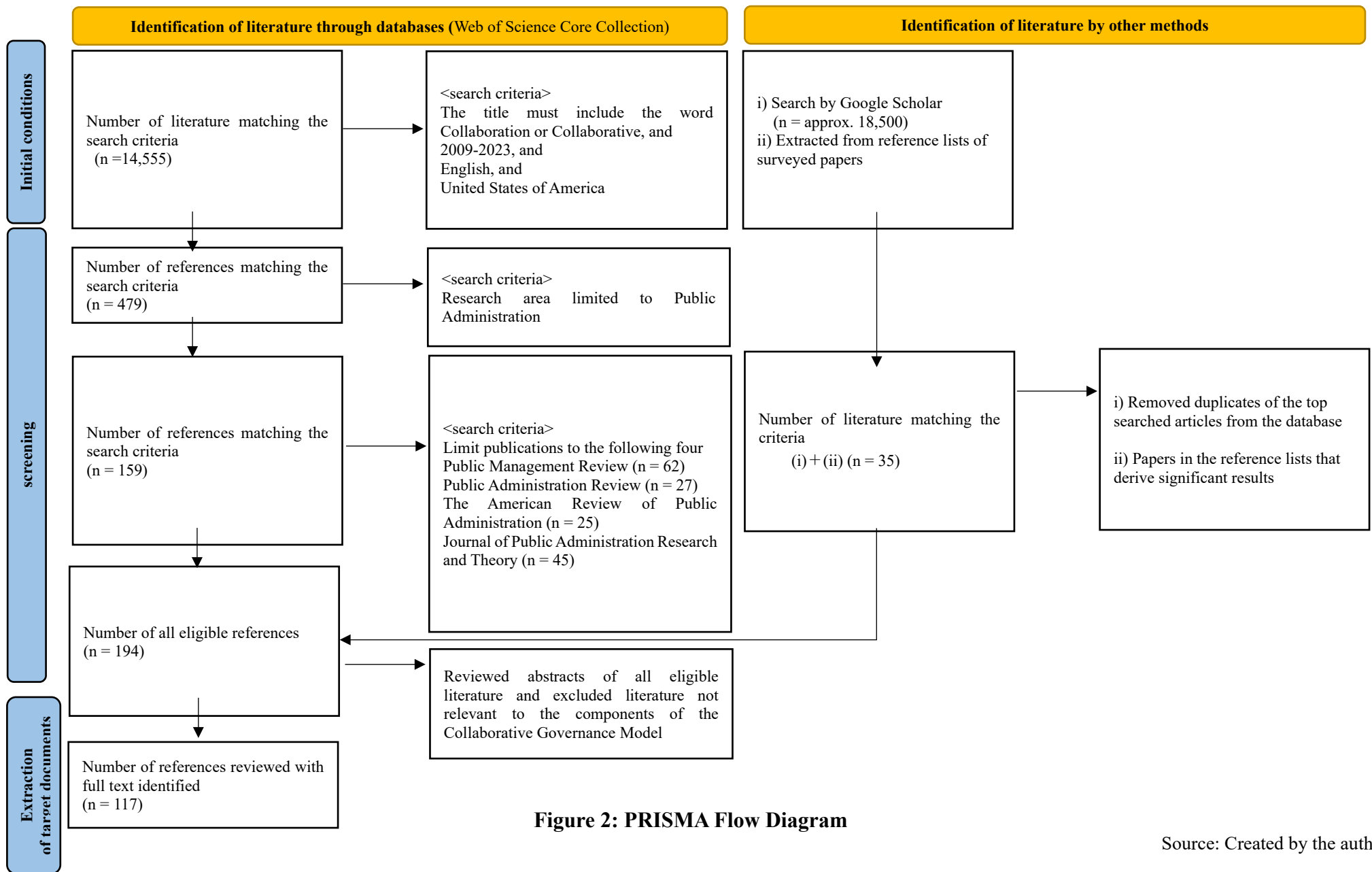
Identification of literature through databases (Web of Science Core Collection)

Identification of literature by other methods

Initial conditions

Number of literature matching the search criteria
(n =14,555)

<search criteria>
The title must include the word Collaboration or Collaborative, and
2009-2023, and
English, and
United States of America

i) Search by Google Scholar
(n = approx. 18,500)
ii) Extracted from reference lists of surveyed papers

screening

Number of references matching the search criteria
(n = 479)

<search criteria>
Research area limited to Public Administration

Number of references matching the search criteria
(n = 159)

<search criteria>
Limit publications to the following four
Public Management Review (n = 62)
Public Administration Review (n = 27)
The American Review of Public Administration (n = 25)
Journal of Public Administration Research and Theory (n = 45)

Number of literature matching the criteria
(i) + (ii) (n = 35)

i) Removed duplicates of the top searched articles from the database

ii) Papers in the reference lists that derive significant results

Number of all eligible references
(n = 194)

Reviewed abstracts of all eligible literature and excluded literature not relevant to the components of the Collaborative Governance Model

Extraction of target documents

Number of references reviewed with full text identified
(n = 117)

Figure 2: PRISMA Flow Diagram

Source: Created by the author

3.2.6. Literature Compilation and Analysis:

A list of general information (author, title publication journal, year of publication) of the 117 publications were organized, and the contents were then analyzed using NVivo software. Key steps included coding keywords, reviewing frequently cited papers, and developing a matrix of codes and papers, in the following manner:
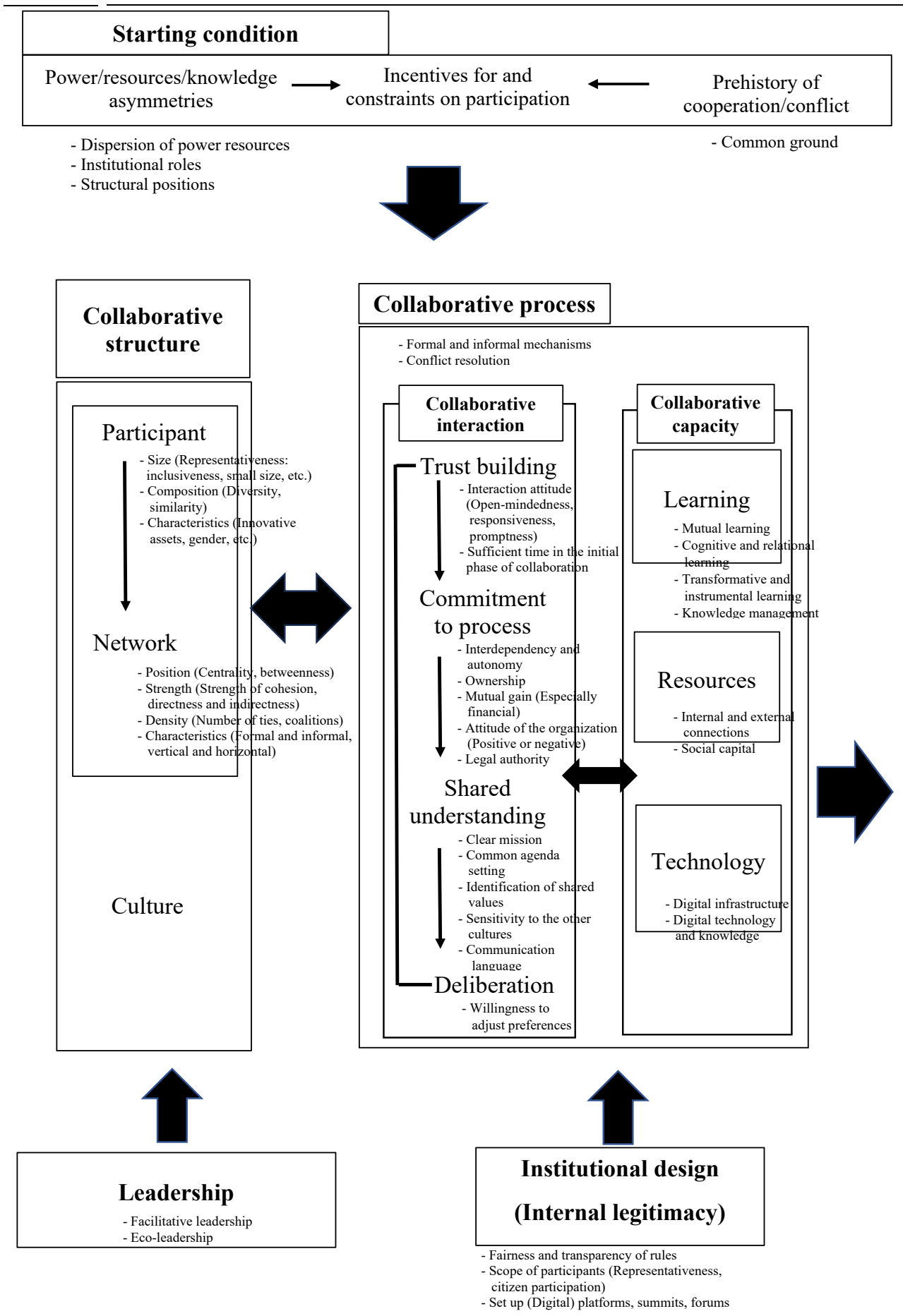
(i) After reviewing the titles and abstracts of all articles and extracting keywords that could be elements of a collaborative governance model, all extracted keywords were coded and sub-coded in NVivo (creation of a coating list).
*These codes and subcodes were added to the New Collaborative Governance Model as new components or new subcomponents (of existing components) in the end, although there was some consolidation and elimination in the process of analysis.

(ii) Papers with a high number of references (10 or more) were extracted from the "summary" of each code and subcode and the paragraphs before and after the relevant parts (reference section) of each paper were checked. Subsequently, the author derived implications for the development of the Collaborative Governance Model from the key research findings.

(iii) Repeating the process described in (i) and (ii), the author created a huge matrix (codes x papers) with all codes and subcodes on the vertical axis and 117 papers on the horizontal axis. Thus, the codes and subcodes were organized into a listable form, indicating which implication related to which code or subcode can be derived from which paper, and which code is related to most papers, amongst others.

(iv) For each code and subcode, a full-text, semi-structured narrative review was conducted on the related papers. Specifically, the author extracted from each paper: 1) objectives; 2) research methods, subjects, and data; 3) main research results; and, as a reference, explanatory sections on theories, to precisely understand the research results. A Japanese-U.S. bilingual translation was then prepared.

(v) The main research findings, extracted from each paper, are the partial implication tied to each code and each subcode. They were collected and qualitatively integrated by code, and a summary was prepared to comprehensively organize the implications.

(vi) After organizing the relationships among the codes, all the codes were connected and integrated to develop the New Collaborative Governance Model.

3.2.7. Results of Qualitative Integration:

The integrated research findings for each component of the New Collaborative Governance Model are summarized, though detailed results are omitted owing to page limitations.

4 NEW COLLABORATIVE GOVERNANCE MODEL

Based on the systematic review results, the elements and sub-elements of Ansell & Gash's (2008) Collaborative Governance Model were expanded and restructured into the New Collaborative Governance Model. Each element and sub-element are described below (**Figure 3**).
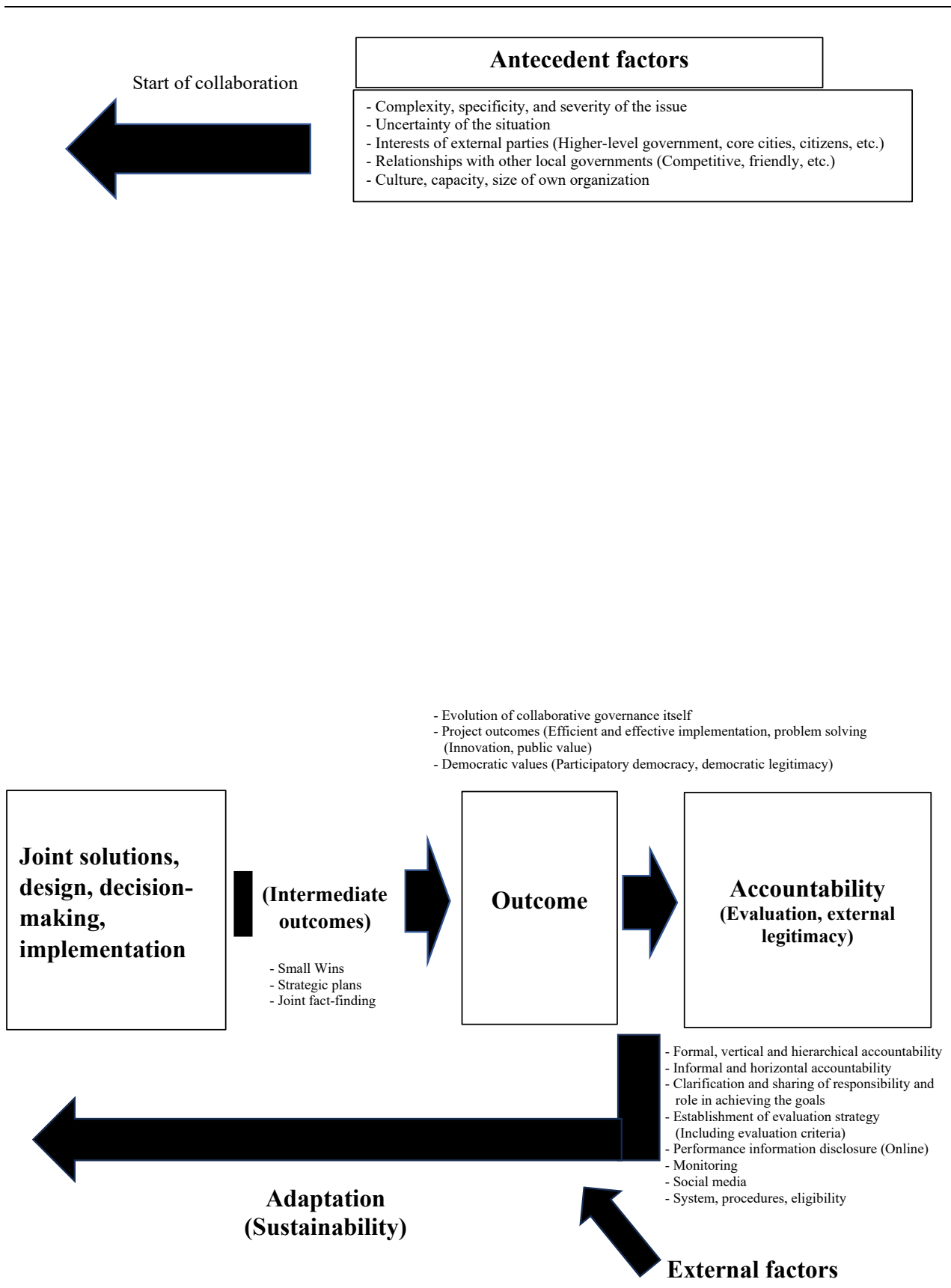
Starting condition

Power/resources/knowledge asymmetries → Incentives for and constraints on participation ← Prehistory of cooperation/conflict

- Dispersion of power resources
- Institutional roles
- Structural positions

- Common ground

Collaborative structure

Collaborative process
- Formal and informal mechanisms
- Conflict resolution

Participant
- Size (Representativeness: inclusiveness, small size, etc.)
- Composition (Diversity, similarity)
- Characteristics (Innovative assets, gender, etc.)

Network
- Position (Centrality, betweenness)
- Strength (Strength of cohesion, directness and indirectness)
- Density (Number of ties, coalitions)
- Characteristics (Formal and informal, vertical and horizontal)

Culture

Collaborative interaction

Trust building
- Interaction attitude (Open-mindedness, responsiveness, promptness)
- Sufficient time in the initial phase of collaboration

Commitment to process
- Interdependency and autonomy
- Ownership
- Mutual gain (Especially financial)
- Attitude of the organization (Positive or negative)
- Legal authority

Shared understanding
- Clear mission
- Common agenda setting
- Identification of shared values
- Sensitivity to the other cultures
- Communication language

Deliberation
- Willingness to adjust preferences

Collaborative capacity

Learning
- Mutual learning
- Cognitive and relational learning
- Transformative and instrumental learning
- Knowledge management

Resources
- Internal and external connections
- Social capital

Technology
- Digital infrastructure
- Digital technology and knowledge

Leadership
- Facilitative leadership
- Eco-leadership

Institutional design (Internal legitimacy)
- Fairness and transparency of rules
- Scope of participants (Representativeness, citizen participation)
- Set up (Digital) platforms, summits, forums

10

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

Start of collaboration

- Evolution of collaborative governance itself
- Project outcomes (Efficient and effective implementation, problem solving (Innovation, public value)
- Democratic values (Participatory democracy, democratic legitimacy)

Joint solutions, design, decision-making, implementation

(Intermediate outcomes)

- Small Wins
- Strategic plans
- Joint fact-finding

Outcome

Accountability (Evaluation, external legitimacy)

- Formal, vertical and hierarchical accountability
- Informal and horizontal accountability
- Clarification and sharing of responsibility and role in achieving the goals
- Establishment of evaluation strategy (Including evaluation criteria)
- Performance information disclosure (Online)
- Monitoring
- Social media
- System, procedures, eligibility

Adaptation (Sustainability)

External factors

Figure 3: New Collaborative Governance Model

4.1. Antecedent factors

"Antecedent factors" are preconditions for forming collaborative governance among actors. In the New Model, these sub-elements are: (i) Complexity, specificity, and severity of the issue, (ii) Uncertainty of the situation, (iii) Interest of external parties (higher-level government, core cities, citizens), (iv) Relationship with other local governments (competitive, friendly), (v) Culture, capacity, and size of the organization. Complex and severe issues push organizations to engage in collaborative governance to overcome their limitations and benefit from economies of scale.   Uncertainty and external interest also drive collaborative efforts, particularly among organizations with flexible cultures and friendly relations.

4.2. Starting condition

"Starting condition" involves initial like "Power/resources/knowledge asymmetries" and "Prehistory of cooperation/ conflict" among participants. These factors influence participants' motivations and can promote or hinder collaboration.

4.2.1. Power / resource / knowledge asymmetries:

Collaborative governance assumes imbalances among participants. If unchecked, these imbalances can lead to monopolized decision-making. Mitigating these asymmetries through "Dispersion of power resources," "Institutional roles," and "Structural positions" (centrality and betweenness) is crucial for successful collaboration.

4.2.2. Incentives for and constraints on participation:

No changes were made to Ansell & Gash's (2008) original components and subcomponents.

4.2.3. Prehistory of cooperation or conflict:

Previous cooperative or conflictual interactions among actors establish trust or distrust. The New Model emphasizes fostering "Common ground" to facilitate shared understanding, goals, and deliberations.

4.3. Collaborative structure

"Collaborative structure" includes "Participants," "Network," and "Culture." It describes the dynamic process of network-building and cultural formation within the collaborative governance regime. It is also the result of this process. The term "Culture" refers to the backbone of the networking among participants: the personal culture based on individual identity, the organizational culture of the organization to which one belongs, and the culture of the collaborative governance regime as a whole that is generated as a result of the networking.

4.3.1. Participants

Sub-elements are "Size" (representativeness, inclusiveness, small number), "Composition" (diversity, similarity), and "Characteristics" (innovative assets, gender). A balanced approach to participant size and composition is necessary to ensure efficiency, legitimacy, and innovation. Innovative resources and participant characteristics, such as education and gender, significantly impact collaboration dynamics. If the number of participants is not changed from the beginning (stability), collaborative governance will operate smoothly, but it will be difficult to respond flexibly to changes caused by external factors. Alternatively, if the number of participants is increased as needed (flexibility), the possibility of unstable management due to conflicts and differences of opinion among participants will increase. Representativeness can be categorized into representativeness as an individual, an organization/function, as a whole of the collaborative governance regime, respectively and each should be within an appropriate range.

"Composition" of participants: When participants with diverse backgrounds and identities are

invited (diversity), the possibility of collaborative innovation through the fusion of various ideas will increase, but there is also a possibility that conflicts and differences of opinion among participants may lead to instability in collaborative governance. Conversely, when participants with similar backgrounds and identities are invited to participate (similarity), there is less likelihood of major differences in opinion and the possibility of relatively easy consensus-building increases, but the possibility of innovative ideas being generated is low. It has also been shown that participants are less likely to leave a collaboration if the group is highly similar.

The "Characteristics" of individual participants are, for example, the presence or absence of innovative resources, such as education level, skills, and resources, as well as gender differences. It has been proven that participants with innovative resources are more likely to engage in collaboration and generate innovative ideas actively and continuously. It has also been reported that the formation and development of collaborative governance differs depending on the gender of the collaborative participants. It has also been noted that the presence of difficult participants may inhibit collaboration under certain conditions.

There is no correct answer to the "Size," "Composition," and "Characteristics" of these participants, and they should be designed to maintain an appropriate balance between the poles, depending on the conditions at the time. Therefore, it is also important to determine who will be the subject of the design of participation.

4.3.2. Network

"Network" refers to connections among participants. Sub-components are "Position" (centrality, betweenness), "Strength" (cohesion, directness/indirectness), "Density" (number of ties, coalition), and "Characteristics" (formal/ informal, vertical/ horizontal). Central and bridging positions influence leadership and connectivity. Strong cohesion aids consensus, while density affects interaction frequency. Formal and informal networks, along with vertical and horizontal structures, play distinct roles in collaborative governance.

Also, if several participants play roles in strengthening the connections between some participants, they increase the strength of the ties in the network and may contribute to the development of the network from different perspectives (Bonding Position). The "Strength" of the network indicates whether, overall or in part, the cohesion of the individual connections is strong or weak, direct, or indirect. The stronger the unity, the easier it is to unify opinions (consensus-building). Alternatively, if the network is only partial, there is a possibility that it will be exclusive to the opinions of other participants. If there is a direct connection with an influential participant, there is a greater possibility that the power, resources, knowledge, information possessed by that participant can be utilized (accessibility), but there is also a risk that a hierarchical relationship may be created. Indirect connections reduce the likelihood of such risks, but they also reduce the likelihood of being able to leverage power and other resources.

The "Density" of a network indicates whether there are more or fewer individual connections, overall or in part. Larger numbers in collaboration indicate greater density, and thus more frequent collaborative interactions among participants, which has a positive impact on the collaborative process, and thus on the outcome thereof. Conversely, if the number of participants is small in collaboration, the density will be low, and therefore collaborative interactions among participants will decrease. Additionally, individual participants do not always act independently, but may form alliances with others who share interests, to increase their influence.

"Characteristics" of a network indicate whether it is a network based on formal agreements (Formal), mandated by law (Mandated), or informal (Informal, Voluntary), based on the participants' spontaneity. These factors are synergistic, and an informal network can be formed as a spin-off from a formal network, or an informal network can evolve into a formal network. Both networks are important, but the factors and characteristics of their formation are different, and it is necessary to promote collaborative governance by using both appropriately, depending on the conditions at the

time and other factors. It is also important to distinguish between vertical networks and horizontal networks. These networks are often used to describe network relationships outside of a collaborative governance regime, rather than networks within the regime. For instance, a vertical network is a vertical network of upper and lower level governments, while a horizontal network is a horizontal network of local governments at the same level of hierarchy.

4.3.3. Culture
"Culture" includes national, organizational, and professional. Sensitivity to cultural backgrounds and fostering a common culture are vital for mutual understanding and trust. Shared culture reduces collaborative inertia and interpersonal discord.

4.4. Leadership
The New Collaborative Governance Model identifies "Facilitative leadership" and "Eco-leadership." Collaborative leaders facilitate processes, connect participants, empower individuals, and ensure fair participation. Collaborative leaders are expected to promote collaborative governance through a wide range of roles, including providing resources, knowledge, technology, information, and support through their skills, experience, and expertise.

Collaborative leaders need to bring together the interests of multiple stakeholders and integrate diverse participants with different backbones and identities. Therefore, instead of the traditional leadership styles of autocratic or visionary leaders who lead their members with authority and vision, one should be an Integrative Leader or Facilitative Leader that can smoothly deepen relationships among stakeholders and successfully coordinate diverse ideas. Therefore, participants who have network centrality and strong connections with a larger number of participants should, from this perspective, become collaborative leaders.

Another leadership style is eco-leadership. This is a leadership style in which influence is shared among multiple participants in a decentralized manner. Clear role division is essential for eco-leadership. For example, when there are multiple coalitions in a network, collaborative governance can run more smoothly by sharing influence among participants in leadership roles in each coalition, or when there is no one particular influential individual and it is more stable to balance influence among multiple participants.

4.5. Institutional design (Internal legitimacy)
"Institutions" encompass principles, rules, conventions, and statutory frameworks for managing collaborative governance. Sub-elements include "Fairness and transparency of rules," "Scope of participants" (representativeness, citizen participation), and "Set up of (digital) platforms, summits, forums." Institutions are strongly related to the effectiveness and internal legitimacy of collaborative governance. Fair decision-making processes enhance legitimacy. Representation and appropriate stakeholder participation are crucial.

External legitimacy involves fulfilling accountability, responsiveness, and legal compliance, discussed further in "Explanation (Evaluation/ external legitimacy)." Institutions also facilitate collaborative processes through platforms and forums, considering digital collaboration.

4.6. Collaborative process
The "Collaborative process" consists of "Collaborative interaction" and "Collaborative capacity." Collaborative interaction is a cycle of processes in which trust is built through deliberation between the public agency and collaborative participants, or among participants, commitment to process, shared understanding, and achievement of intermediate outcomes. Collaborative capacity involves individual or group "Learning," access to individual "Resources," and the use of "Technology" to enhance the capacity of the collaborative governance regime.

Based on the research findings in the reviewed literature, the sub-elements of the collaborative

process are: "Formal mechanism," "Informal mechanism," and "Conflict resolution."

- **Formal mechanisms** are processes based on formal agreements, such as meetings and coordination processes.
- **Informal mechanisms** are routine communications between participants. Both mechanisms build mutual trust, commitment, shared understanding, mutual learning, resource access, and capacity building.
- **Conflict resolution** addresses conflicts of opinion, disagreements, and distrust among participants. Effective conflict resolution involves deliberative discussions to reach consensus, or mediation by a collaborative leader or external actor. . Early resolution of conflicts is crucial for smooth collaborative processes.

4.6.1. Collaborative interaction:

(a) Trust building: "Trust building" refers to establishing trust among participants. It facilitates mutual understanding, learning, and resources access, balancing asymmetries of influence. Key sub-elements include "Interaction attitude" (open-mindedness, responsiveness, promptness) and "Sufficient time in the initial phase of collaboration." It has been shown that these elements facilitate the building of trust and minimize subsequent risks.

(b) Commitment to process: "Commitment to the process" refers to participants' dedication to the collaborative process. In Ansell & Gash's Collaborative Governance Model, the sub-elements are "Mutual recognition of interdependence," "Shared ownership of process," and "Openness to exploring mutual gains." The New Collaborative Governance Model continues to include "Interdependency," "Ownership," and "Mutual gain" as sub-elements. Additionally, the following sub-elements are newly included: "Attitude of the organization," "Legal authority," "Financial incentives," and "Autonomy." Higher interdependence perception increases commitment, while autonomy supports goal achievement.

The "Attitude of the organization (positive or negative)" refers to whether the organization to which the collaborative participant belongs is positive about their participation in the collaborative, whether they can obtain necessary support and receive appropriate evaluation of their efforts. Positive means that the commitment of the participants in the collaboration will increase, and negative means the opposite.

"Legal authority" is an aspect of shaping the larger framework of collaborative governance in which a particular participant is in a position to design and administer laws and regulations, thus increasing that participant's commitment.

"Financial incentives" are when there are financial incentives for participating in collaborative governance, such as increased revenue for the organization, access to grants, then the commitment of that participant will increase. Note that "Ownership" and "Mutual Gain" are omitted here because they are redundant with Ansell & Gash's explanation of the components of the Collaborative Governance Model.

(c) Shared understanding: "Shared understanding" involves deepening relationships among participants with different backbones and identities. The Model of Collaborative Governance of Ansell & Gash lists "Clear mission," "Common agenda setting," and "Identification of shared values" as sub-elements. The New Collaborative Governance Model continues to include "Clear mission," "Common agenda setting," and "Identification of shared values" as sub-elements.

Additional sub-elements are "Sensitivity to the other culture" and "Communication language," emphasizing recent increases in cross-national collaboration in a global context. Sensitivity to the other culture means that an individual's culture is influenced by the cultural background of their home country (national culture), the cultural background of the organization to which they belong (organizational culture), and the cultural background of the professional (professional culture), and that a high level of sensitivity to all these cultural backgrounds will help to promote mutual understanding.

The "Communication language" is the language of diverse nationalities. It is a question of how to develop a language of communication within a collaborative governance regime with participants from diverse nationalities, and a viewpoint of efforts to refine a common language and consideration for minority groups. However, it is also implied that the unique language that emerges from organizational culture and customs is also effective in promoting mutual understanding. Note that "Clear mission," "Common agenda setting," and "Identification of shared values" are omitted here, as they are redundant with Ansell & Gash's explanation of the components of the Collaborative Governance Model.

(d) Deliberation: "Deliberation" is a dialogue process where participants communicate, listen, modify their positions, and reach consensus. In Ansell & Gash's Collaborative Governance Model, the component is "Face to Face Dialogue" and its sub-component is "Good Faith Negotiation." In subsequent studies, however, the term "Deliberation" has been increasingly used to refer to consensus building, in light of the growing advocacy of deliberative democracy. Therefore, the New Collaborative Governance Model uses the term "Deliberation."

The sub-element "Willingness to adjust preferences" highlights the importance of participants' flexibility in resolving conflicts. In doing so, it refers to the extent to which participants are willing to adjust their own intentions and opinions (preferences) and modify them as alternatives. If the willingness of participants to adjust their preferences is low, even after repeated deliberations, conflicts of opinion will be noticeable, and no progress will be made in reconciliation.

4.6.2. Collaborative capacity

(a) Learning: "Learning" involves acquiring knowledge necessary for problem-solving, innovation, and adaptation. The New Model includes the sub-elements "Mutual learning," "Cognitive learning," "Relational learning," "Transformative learning," "Instrumental learning," and "Knowledge management." Mutual learning refers to the fact that participants have diverse expertise, skills, and experience, and thus, not only do individuals and groups acquire knowledge through literature, materials, and the Internet (individual and group learning), but also there is an aspect of mutual exchange of knowledge among participants (mutual learning).

Cognitive and relational learning refers to cognitive learning, in which collaborative participants modify or transform their existing knowledge through interaction with other participants. In collaborative governance, the existing knowledge possessed by individuals needs to be modified and adapted to the overall regime. Relational learning refers to the acquisition of knowledge related to relationships with other participants (knowledge about other participants themselves). Since interaction among participants is an important process in collaborative governance, it is important to acquire relational knowledge and deepen mutual understanding.

Transformative learning and instrumental learning refer to the acquisition of knowledge and tools necessary for collaborative innovation. Instrumental learning is learning from the aspect that collaborative participants change the environment by actively acquiring knowledge.

Knowledge management refers to the accumulation of knowledge acquired by individual participants throughout the regime and its transfer to other participants. Since collaborative governance involves a wide range of participants and a prolonged period of time, uniformity, and transfer of knowledge among participants is an essential element.

(b) Resources: "Resources" refer to human resources, financial resources, knowledge, information, data, and physical resources (budget, time, support, power, and other facilities). For example, an organization with limited labor and funds can cooperate with the labor of other organizations by forming collaborative governance and co-funding to implement larger projects. Or, if an organization does not have its own facilities, it can use facilities owned by other organizations to hold joint events.

Collaborative governance increases scale or bridges asymmetries among participants. The New Collaborative Governance Model describes as sub-elements "Internal & external connections" and "Social capital" enhancing access to resources.

(c) Technology: "Technology" refers to information technology (ICT) used for communication and learning. The New Model includes the sub-elements of "Digital infrastructure" and "Digital technology & knowledge." Examples include social media accountability and digital collaboration.

4.7. Joint solution design, decision-making, implementation

This process involves cycling through participant/network structures, building relationships through interaction, building capacity, and then designing, making, and implementing solutions necessary to achieve shared goals. Effective joint solution design, decision-making, and implementation depend on fulfilling the elements of the "Collaborative structure," "Collaborative process," "Institutional design," and "leadership."

4.8. Intermediate outcomes

"Intermediate outcomes" recognize the importance of small, strategic achievements in long-term collaborative processes. Ansell & Gash's Collaborative Governance Model includes the sub-elements "Small Wins," "Strategic Plans," and "Joint Fact-finding" as sub-elements.

The New Model continues to include "Small wins," "Strategic plans," and "Joint fact-finding" as sub-elements.

4.9. Outcome

"Outcome" in collaborative governance result from the collaborative structure, process, institutional design, and leadership. Key outcomes include:
- **Resolution of Essential Issues:** Efficient and effective project implementation.
- **Collaborative Innovation**
- **Democratic Value**
- **Evolution of Collaborative Governance**

Sub-elements are "Evolution of Collaborative Governance Itself," "Project Outcomes" (efficient and effective implementation, problem-solving, innovation, public value), and "Democratic Values" (participatory democracy, democratic legitimacy). However, it is difficult to assess whether these are positive or negative outcomes. One reason for this is that the criteria for each outcome are presented from a variety of perspectives. For example, in the case of democratic values, while there is a positive aspect of citizens being able to participate more in policy decision-making (development of participatory democracy), there is also a negative aspect of participation by unelected citizens with relatively weak democratic legitimacy (decline in democratic legitimacy), and the evaluation depends on which perspective is more important.

4.10. Accountability (Evaluation, external legitimacy)

"Accountability" (Evaluation/ external legitimacy) ensures external legitimacy by providing performance information and achieving transparency. Accountability involves multiple perspectives and may involve formal settings (e.g., resident briefings) or informal methods (e.g., social media). Sub-elements include "Formal, vertical, and hierarchical accountability," "Informal, horizontal accountability," "Clarification and sharing of responsibility and role in achieving goals," "Establishment of evaluation strategy," "Performance information disclosure," "Monitoring," and "Social media." Specifically, it asks for performance information, whether and to what extent pre-set goals are achieved, and why, and by fulfilling this, external legitimacy is ensured. The higher the level of transparency, the more desirable it is. The degree of transparency is defined by openness, which includes "when" (timing of disclosure), "what and to what extent" (scope of disclosure), "to whom" (subject of disclosure), and "how" (method of disclosure).

Accountability is a particularly complex issue for collaboration. This is because it is often unclear to whom and to what the collaboration is accountable. The evaluation of a collaboration involves the perspective of the participants themselves (is the collaboration successful for them?), the perspective

of their organization (is the collaboration successful for their organization?), the perspective of the collaboration itself (is the collaboration itself successful?), and the perspective of the outcomes produced by the collaboration (are the outcomes produced by the collaboration successful?). This makes the subject matter and content of accountability multilayered.

There are two criteria for participants in a collaboration: similarity and diversity. Similarity is the belief that there are many similarities in backgrounds, attributes, and beliefs among the participants in a collaborative, and therefore less conflict and collaborative governance operates more smoothly. Diversity is the diversity of backgrounds, attributes, and beliefs among participants, which allows for the fusion and sublimation of various ideas and opinions, and the emergence of collaborative innovation. Both are generally regarded as positive for collaborative governance, but they are also contradictory concepts, and in such cases, it is important to strike a balance between the two.

There are many other concepts in such tension in collaborative governance, such as flexibility versus stability, interdependence versus autonomy, efficiency versus inclusiveness, and traditional versus innovative. In the New Model, the sub-elements are "Formal, vertical and hierarchical accountability," "Informal, horizontal accountability," "Clarification and sharing of responsibility and role in achieving the goals," "Establishment of evaluation strategy (including evaluation criteria)," "Performance information disclosure (online)," "Monitoring," "Social media," "System, procedure," and "eligibility."

"Formal, vertical, and hierarchical accountability" refers to accountability in formal settings (e.g., resident briefings) to the central government, (which is the higher-level government of the local government), to interested vertical external stakeholders (such as the board of directors of the organization to which it belongs), and to citizen representatives.

Conversely, "Informal and horizontal accountability" refers to accountability to other relevant local governments, and coalition partners on the same network, amongst others. Informal accountability refers to informal accountability to horizontal external stakeholders. The more "Clarification and sharing of responsibility and role in achieving the goals" among the participants in the collaboration, the greater the commitment of such participants to achieving them.

It is also important to establish an "Evaluation strategy" (including evaluation criteria) in advance to determine whether the goals can be achieved or not, and to "Monitor" progress to ensure the achievement of these goals. A combination of various methods is utilized to fulfill accountability, ranging from in-person meetings to public disclosure on a web page. Recently, it has become common to use "Social media" instead of mass media to directly hold accountable a wide range of audiences. In order to enhance transparency, it is also necessary to define the "System, procedures, and eligibility," for such accountability.

4.11. External factors
"External factors" include politicians, central government, related local governments, and organizational boards. These stakeholders may exert coercive power, seek isomorphism, eliminate divergence, or intervene to resolve conflicts.

4.12. Adaptation (Sustainability)
"Adaptation (Sustainability)" refers to the ability to adapt to changes and sustain the collaborative governance regime. It requires learning and flexibility to build and maintain collaborative processes and improve performance. Sustainability needs different elements, at different stages of collaboration.

5 CONCLUSION

The author summarizes the entire paper, dividing "Collaboration" research into three phases and updating the overall frame by incorporating the latest research from the third phase, while grounding it in the second phase's framework. In Chapter 3, the author systematically reviewed 117 papers

published in the U.S. since 2009 (Phase 3), based on the "Collaborative Governance Model" from 2008 (Phase 2). This paper aims to construct a "New Collaborative Governance Model" by qualitatively integrating insights derived from the latest Phase 3 papers.

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.

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.

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