

Collaborative Service Delivery in Human Service Organizations:  
Evaluating Cross-Sector Collaboration and Contractual Partnerships

Dissertation

Presented in Partial Fulfillment of the Requirements for the Degree  
Doctor of Philosophy in the Graduate School of The Ohio State University

Rebecca A. Smith

Graduate Program in Public Policy and Management  
The Ohio State University  
2022

Dissertation Committee:  
Dr. Amanda Girth, Advisor  
Dr. Emmeline Chuang  
Dr. Alicia Bunker  
Dr. Megan LePere-Schloop

Copyright by  
Rebecca A. Smith  
2022

## **Abstract**

There is an increasing reliance on cross-sectoral collaboration between public, nonprofit, and for-profit organizations. These collaborative arrangements form in order to address the complexity and magnitude of public issues and the increasing diversity and scale of service user needs on each type of organization (Head & Alford, 2015; Kettl, 2006). These “wicked problems” surpass the capacity, resources, and jurisdiction of any single organization, sector, or policy to appropriately resolve (Head & Alford, 2015; Lasker & Weiss, 2003; Rittel & Weber, 1973; Weber & Khademian, 2008b). This has necessitated a shift towards cross-sector collaborations which are “increasingly recognized as not only a reality but also a necessary condition” (Cheng, 2019, p. 238) for addressing the complex, diverse, and interrelated problems (Bryson, Crosby, & Stone, 2006; Bunger et al., 2017; Chen, 2010).

As human service organizations (HSOs) provide various services to diverse populations with numerous, interrelated, and complex needs, and because they operate in a decentralized administrative and fragmented service environment with turbulent conditions due to changing economic, political, sociodemographic factors (Bunger et al., 2017; Graaf et al., 2016; Hasenfeld & Schmid, 1989; Mosley & Smith, 2018), they are natural candidates for collaboration. HSOs increasingly rely on contractual arrangements with nonprofit and for-profit organizations to meet service needs. This requires the inclusion of organizational members to manage and implement the collaborative and contractual processes both within their organizations and across other organizations. Despite the increasing interest and need of these cross-sector partnerships (Almog-Bar & Schmid, 2018), there is limited research examining the factors that impact successful collaborative outcomes and the processes that support and sustain these collaborative

arrangements (Cheng, 2019; Gazley, 2017). Specifically, there is a need to improve understanding of how formalized contractual arrangements affect cross-sector collaboration in the human services context.

This dissertation examines HSOs that engage in cross-sector collaborations to improve understanding of the facilitators and barriers to achieving successful outcomes in collaborative arrangements. The guiding question for this dissertation is: *What are the factors that impact successful collaborative outcomes between public and private HSOs?*

I use Ansell and Gash's (2008) Collaborative Governance Framework as a lens for examining the factors that may facilitate or impede *successful collaborative outcomes* in the human services, including the formal factors (contractual elements) and the informal factors (relationship elements). I analyze survey data administered to public HSOs that contract with private HSOs. I integrate qualitative data from contracts that are used to formalize these collaborative arrangements.

I identify two distinct constructs to capture the different dimensions of *successful collaborative outcomes* between public and private HSOs – the quality of the relationship between stakeholders and the accomplishment of goals (organizational and client goals). *Relationship quality* focuses on the interpersonal, relational outcomes of collaboration while *goal achievement* focuses on the task-oriented outcomes related to organizational goals and client goals. I develop hypotheses to validate the existing Ansell & Gash (2008) Framework in a human services context, propose the inclusion of additional factors that are relevant in the human services context, and expand the Framework to incorporate the existing and additional factors (Model 3). I test these hypotheses to identify the key factors that impact successful collaborative outcomes between public and private HSOs.

Findings from multinomial and binomial logistic regressions validate several universal collaborative factors as well as point to the need to include specific factors that reflect the human services context. Collectively, an expanded collaborative governance framework that incorporates the validated factors with the new factors demonstrates the most significance, suggesting the need to consider both universal and context-specific factors for collaborative arrangements in HSOs. Several of these factors appear to be meaningful across both dimensions of *successful collaborative outcomes* while other factors appear to only support one dimension or the other.

This dissertation contributes to the individual research streams on collaboration, contracting, and HSOs and strengthens the connections between these literatures. Findings contribute to research and praxis in several ways. First, this study builds on existing contributions to the literatures on collaborative governance, human services, and public-private contracting and integrates the literatures together at their nexus of convergence. This study examines cross-sector collaborations between public and private HSOs that are formalized through the use of contracts. Second, this study applies a well-established theoretical framework in a novel context. The Ansell and Gash (2008) Collaborative Governance Framework is a widely used framework in public administration but has rarely been used in the human services context. This study tests this framework in HSOs to identify the universal, collaborative factors that are salient, regardless of context, and also identifies additional factors to account for the human services context. Third, this study examines collaboration in a comprehensive manner, examining the connections between antecedents, processes, and outcomes in a collaborative arrangement. This study also provides a conceptual clarification on “collaborative outcomes” to improve theory-building and guidance for praxis. Fourth, this study incorporates multiple

sources of data and focuses on the individual-level perspective. Finally, this dissertation contributes to praxis as it provides guidance for practitioners for sustaining collaborative relationships with their contractual partners.

Keywords: Collaborative Governance, Human Service Organizations, Public-Private Contracting

## **Dedication**

### **For Adam**

You have made this possible with your unwavering support, steadfast encouragement, and immeasurable love. Thank you for taking this adventure with me. And for creating a life together that is filled with so much laughter and happiness. I share this accomplishment with you.

&

### **For My Parents**

My first teachers and the best collaborators I know.

## Acknowledgements

I have been the beneficiary of many acts of kindness, support, and guidance over the past five years. I am grateful for the opportunity and privilege to pursue a PhD and it would not have been possible without the patience, wisdom, and encouragement from many people that I have been fortunate enough to work with and learn from. The journey towards earning a PhD is not an easy one and it is filled with many highs and lows. I am grateful to everyone who believed in me, supported me, guided me, and encouraged me along the way.

I am indebted to my advisor Dr. Amanda Girth. She took a chance on me as a first-year student and has continued to mentor me over the past five years. She continually challenged me and pushed me, and I am a better scholar because of it. She encouraged me to ask the questions that interested and excited me. She spent many hours mentoring me and advocating for me, nudging me along at times when I hesitated or stumbled, and helping me to navigate graduate school and preparing for a career after graduation. I am immensely grateful for the opportunity to learn from her and work with her.

I had the privilege and good fortune to have a dissertation committee comprised of talented, hard-working, thoughtful, and brilliant women. I am grateful for their guidance, mentorship, and enthusiasm about my work. Drs. Emmeline Chuang, Alicia Bunger, and Megan LePere-Schloop provided helpful insight, expertise, and encouragement throughout this process.

I am grateful to Drs. Emmeline Chuang, Bowen McBeath, Sarah Carnochan, Michael Austin, and Marla Stuart and the BASSC directors who supported and participated in the BASSC study. They have been generous in sharing their data with me in addition to sharing their time and expertise.



My professors and colleagues at the Glenn College have provided me with resources, financial support, advice, and multiple opportunities to learn and develop my skills. It has been my honor and privilege to have worked with and alongside committed, passionate, and knowledgeable scholars. I am especially appreciative of Drs. Erynn Beaton and Megan LePere-Schloop who helped me early on to develop my scholarly skills and taught me so much about conducting thoughtful, interesting, and meaningful research. I am grateful for the friendships and support of my cohort as well as the friendships I have developed with other students in the Glenn College and across OSU.

I have had the pleasure to learn from numerous female pioneers, leaders, advocates, teachers, scholars, and public servants who have devoted their careers to public service and to improving the lives of all people. I hope to model that for others and to use my degree in my own continued pursuit of a life in public service.

Finally, my parents, siblings and their families, extended family, and friends are wonderful, loving, and encouraging people who continued to believe that I could do this, and never stopped cheering me on. Thank you to my husband Adam for being with me every step of the way and for my daughter Laurel who has made this process and my life so much better.

## Vita

Doctor of Philosophy in Public Policy and Management <i>The Ohio State University, Columbus, OH.</i> Qualifying Fields: Management and Public Policy.	2022
Master of Public Administration (MPA) <i>The University of Georgia – Athens, GA.</i> Concentrations in Public Management and Public Policy.	2017
Bachelor of Arts in Psychology and Spanish (BA) <i>The University of North Carolina – Chapel Hill, NC.</i>	2008

## Publications

Beaton, E., LePere-Schloop, M., & Smith, R. (September 2021). A review of sexual harassment practices: Toward a nonprofit research agenda. *Nonprofit and Voluntary Sector Quarterly*.  
<https://doi.org/10.1177/08997640211008979>

Smith, R., Girth, A.M., & Hutzler, M. (April 2021). Policy implementation in Ohio child welfare agencies: Assessing the strategic action field framework for the START program. *Administration & Society*. <https://doi.org/10.1177/00953997211011624>

Beaton, E., LePere-Schloop, M., & Smith, R. (March 2021). The sexual exploitation of fundraisers: Sexual harassment in the context of resource dependence. *Journal of Public Administration Research and Theory*. <https://doi.org/10.1093/jopart/muab005>

Freisthler, B., Bunger, A., Smith, R., Hutzler, M., Machenheimer, C., Maguire-Jack, K. & Yoon, S. (2018). Ohio START: Interim Evaluation Report October 2018. Columbus, OH. Retrieved from: [https://cpb-us-w2.wpmucdn.com/u.osu.edu/dist/8/53444/files/2019/06/OhioSTART-Interim-Evaluation-Report-Oct-2018\\_Finalv3.pdf](https://cpb-us-w2.wpmucdn.com/u.osu.edu/dist/8/53444/files/2019/06/OhioSTART-Interim-Evaluation-Report-Oct-2018_Finalv3.pdf)

McBeath, B., Chuang, E., Smith, R., Carnochan, S., & Austin, M. Public-nonprofit contractual relationships in the delivery of human services. [In Progress].

## Fields of Study

Major Field: Public Policy and Management

## Table of Contents

Abstract	iii
Dedication	vii
Acknowledgements	viii
Vita	x
List of Tables	xv
List of Figures	xvii
Chapter 1. Introduction	1
1.1. Overview and Background	1
1.2. Dissertation Motivation and Purpose	5
1.3. Dissertation Goals and Contributions	7
1.4. Dissertation Organization	11
Chapter 2. Literature Review	13
2.1. Introduction	13
2.2. Evolving Approaches to Public Sector Governance	13
2.2.1. Traditional Public Administration and New Public Management	14
2.2.2. Collaborative Governance	16
2.2.3. Collaborative Service Arrangements	18
2.2.4. Rationales for Collaboration	23
2.2.5. Barriers and Challenges to Collaboration.	26
2.3. Human Service Organizations	30
2.3.1. Overview of Human Service Organizations	30
2.3.2. The Role of Human Service Organizations	32
2.3.3. Collaborative Service Delivery in Human Service Organizations	32
2.3.4. Nonprofit Partners in Collaborative Service Delivery	34
2.4. The Role of Contracts for Collaboration in Human Service Organizations	38
2.4.1. History of Contracting in Human Service Organizations	38
2.4.2. Approaches to Contracting in Human Service Organizations	42
2.4.3. The Role of Contracts in Cross-Sector Collaboration in Human Service Organizations	47
Chapter 3. Theoretical Framing and Propositions for Theoretical Expansion	49
3.1. Introduction	49
3.2. Ansell and Gash's Collaborative Governance Framework	49
3.3. Applying the Framework for Collaboration in Human Service Organizations	52
3.4. Successful Collaborative Outcomes	54
3.4.1. Relationship Quality	56
3.4.2. Goal Achievement	57
3.5. Model 1 – Validation of the Framework in Human Service Organization	59
3.5.1. Starting Conditions	60

3.5.1.1. Relationship Duration	60
3.5.1.2. Fiscal Dependence	62
3.5.2 Institutional Design	64
3.5.2.1. Organizational Ownership	65
3.5.3. Collaborative Process	68
3.5.3.1. Trust	68
3.5.3.2. Commitment	69
3.5.3.3. Shared Understanding	70
3.5.3.4. Incremental Gains	71
3.5.3.5. Dialogue	73
3.5.4. Facilitative Leadership	74
3.5.4.1. Facilitation	74
3.6. Model 2 – Inclusion of Factors Relevant to Human Service Organizations	75
3.6.1. Institutional Design	76
3.6.1.1. Contract Term	77
3.6.1.2. Contract Specificity	79
3.6.1.3. Contract Language	81
3.6.2. Collaborative Process	82
3.6.2.1. Adaptation	82
3.6.2.2. Innovation	83
3.6.3. Facilitative Leadership	85
3.6.3.1. Cultivation	85
3.6.3.2. Conflict	86
3.7. Model 3 – Expansion of the Framework for Human Service Organizations	87
3.8. Overview of the Hypotheses	87
Chapter 4. Research Design, Data, and Methodology	89
4.1. Introduction	89
4.2. Study Design	89
4.3. Study Background and Context	90
4.4. Survey Instrument Development and Question Design	92
4.5. Sampling and Data Collection	94
4.6. Data Measures	97
4.7. Dependent Variables	98
4.7.1. Relationship Quality	98
4.7.2. Goal Achievement	99
4.8. Starting Conditions	100
4.8.1. Relationship Duration	101
4.8.2. Fiscal Dependence	101
4.9. Institutional Design	101

4.9.1. Organizational Ownership	102
4.10. Collaborative Process	102
4.10.1. Trust	102
4.10.2. Commitment	103
4.10.3. Shared Understanding	104
4.10.4. Incremental Gains	104
4.10.5. Dialogue	104
4.11. Facilitative Leadership	105
4.11.1. Facilitation	105
4.12. Institutional Design	108
4.12.1. Contract Term	109
4.12.2. Contract Specificity	109
4.12.3. Contract Language	109
4.13. Collaborative Process	109
4.13.1 Adaptation	110
4.13.2. Innovation	110
4.14. Facilitative Leadership	110
4.14.1 Cultivation	111
4.14.2. Conflict	111
4.15. Data Management	113
4.16. Analytical Approach	114
4.16.1. Model Specification	115
4.16.2. Model Selection	118
4.16.3. Contract Coding	118
4.16.4. Regression Analyses	123
Chapter 5. Results	127
5.1. Introduction	127
5.2. Descriptive Statistics	127
5.2.1. Relationship Quality	128
5.2.2. Organizational Goals	128
5.2.3. Client Goals	128
5.2.4. Independent Variables (Model 1)	129
5.2.5. Independent Variables (Model 2)	132
5.2.6. Control Variables	133
5.3. Relationship Quality	135
5.3.1. Model 1 Results (Framework Validation)	135
5.3.2. Model 2 Results (Framework Addition)	138
5.3.3. Model 3 Results (Framework Expansion)	139
5.3.4. Summary of Results for Relationship Quality	141

5.4. Organizational Goals	144
5.4.1. Model 1 Results (Framework Validation)	145
5.4.2. Model 2 Results (Framework Addition)	145
5.4.3. Model 3 Results (Framework Expansion)	145
5.4.4. Summary of Results for Organizational Goals	146
5.5. Client Goals	148
5.5.1. Model 1 Results (Framework Validation)	149
5.5.2. Model 2 Results (Framework Addition)	149
5.5.3. Model 3 Results (Framework Expansion)	149
5.5.4. Summary of Results for Client Goals	149
5.6. Summary of Supported Hypotheses	151
Chapter 6. Discussion and Implications	154
6.1. Introduction	154
6.2. Discussion of Findings	154
6.3. Implications for Research	158
6.4. Implications for Praxis	158
6.5. Study Limitations	160
6.6. Future Research	163
6.6.1. Evolution of Cross-Sector Collaborative Arrangements	163
6.6.2. Collaborative Leadership	165
6.6.3. Inter-Organizational and Intra-Organizational Collaboration	166
6.6.4. Collaboration Failure	167
6.6.5. Contract Analysis	168
6.6.6. Service User Outcomes	169
Chapter 7. Conclusion	170
7.1. Introduction	170
7.2. Summary of Dissertation	170
7.3. Concluding Thoughts	171
References	173

## **List of Tables**

Table 3.1. Summary of Hypotheses and Projected Impact .....	88
Table 4.1. County Demographics .....	95
Table 4.2. Measures for Dependent Variables .....	100
Table 4.3. Measures for Independent Variables (Model 1) .....	106
Table 4.4. Measures for Independent Variables (Model 2) .....	112
Table 4.5. Correlation Matrix of Independent and Control Variables .....	117
Table 5.1. Descriptive Statistics for Dependent Variables .....	129
Table 5.2. Descriptive Statistics for Independent Variables (Model 1) .....	131
Table 5.3. Descriptive Statistics for Independent Variables (Model 2) .....	133
Table 5.4. Descriptive Statistics for Control Variables .....	134
Table 5.5. Multinomial Logit Regression Results: Relationship Quality .....	143
Table 5.6. Binomial Logit Regression Results: Organizational Goals .....	147
Table 5.7. Binomial Logit Regression Results: Client Goals .....	151
Table 5.8. Summary of All Hypotheses .....	153

## **List of Figures**

Figure 3.1. Ansell and Gash's (2008) Collaborative Governance Framework .....	51
Figure 3.2. Application of Framework in This Study .....	54



# **Chapter 1. Introduction**

## **1.1. Overview and Background**

The rise in the complexity and magnitude of public issues that exist in society today has resulted in an increase in the types and scale of service needs that organizations are expected to provide (Head & Alford, 2015; Kettl, 2006). These “wicked problems” are complex, multifaceted, and intractable, without a single source or cause. They surpass the capacity, resources, and jurisdiction of any single organization, sector, or policy to appropriately address (Head & Alford, 2015; Lasker & Weiss, 2003; Rittel & Webber, 1973; Weber & Khademian, 2008b). Wicked problems require multi-level, multi-actor, and multi-sector approaches that employ new policies, practices, and service delivery approaches to adapt to the rising and increasing complexity of service needs.

Wicked problems have implications for the public sector as they require the engagement of actors across multiple organizations in different sectors, creating an interdependence between public, nonprofit, and for-profit organizations. This has necessitated a shift towards public organizations in the U.S. engaging in cross-sector collaborations which are “increasingly recognized as not only a reality but also a necessary condition” (Cheng, 2019c, p. 238) for addressing complex, diverse, and interrelated social problems (Bryson, Crosby, & Stone, 2006; Bunker et al., 2017; Chen, 2010; McGuire, 2006). Public organizations rely on cross-sector collaborations to focus on their core tasks while leveraging the strengths, resources, and specialized expertise of other sectors. In addition, public organizations increasingly rely on cross-sector collaborations as they are forced to do more with less due to fiscal cutbacks and political support for a leaner government (Voets et al., 2021).

Human service organizations (HSOs)<sup>1</sup> are just one category of organizations that depend on cross-sector collaborations to fulfill their missions. By their very nature, HSOs provide “complex services to address complex problems” (Carnochan et al., 2019, p. 660).

HSOs are charged with supporting and improving the lives of individuals and communities through the provision of social services to address a mosaic of needs (Hasenfeld, 2010; McBeath, et al., 2019). HSOs are equipped to serve individuals during a time of urgent need, chronic need, or transition, including “entry to school or enrollment in a training program, or at a time of personal vulnerability, such as ill health or psychological distress” (Hasenfeld, 2010, p. 9). They are tasked with providing a broad range of essential human/social services and programs, such as vocational training, nutrition assistance, physical and mental health care, housing support, child and family services, transportation, financial assistance, and adult and disability care (Hasenfeld, 2010; McBeath et al., 2019b; Provan, Milward, & Isett, 2002).

As HSOs provide various services to diverse populations with various, interrelated, and complex needs, and because they operate in a decentralized administrative and fragmented service environment with turbulent conditions due to changing economic, political, sociodemographic factors (Bunger et al., 2017; Graaf et al., 2016; Hasenfeld & Schmid, 1989; Mosley & Smith, 2018), they are natural candidates for collaboration.

Collaboration can produce innovative and efficient solutions for addressing complicated social issues while also reducing costs, duplication of efforts, and fragmentation in the service environment (Bryson et al., 2006; Huxham et al., 2000; Vernis et al., 2006). Collaborators leverage different resources, capacities, and expertise that they otherwise would not be able to access (Huxham, 1996; Huxham & Vangen, 2005; Lasker & Weiss, 2003; Thomson & Perry,

---

<sup>1</sup> The use of the term “HSOs” refers to public, nonprofit, and for-profit HSOs. Sector-specific HSOs are specified as needed.

2006). This integration can produce better quality and more effective and comprehensive service provision for service users (Bunger et al., 2017; Konrad, 1996).

While collaboration is often necessary and valuable for the provision of public services, it is also difficult and fraught with challenges (Bryson et al., 2006; Gazley, 2017; Gray & Wood, 1991; Huxham & Vangen, 2005; Salamon, 1995). These challenges are exacerbated during cross-sector collaborations, which are complex phenomena (Bryson, Crosby, & Stone, 2015).

Collaboration fundamentally changes the structures, processes, roles, and boundaries that exist within and across organizations (Ansell & Gash, 2008; Bryson et al., 2015; Guo & Acar, 2005; Lasker et al., 2001). Each organization engaging in a collaborative arrangement has its own goals, culture, history, institutional logics, and mission (Almog-Bar & Schmid, 2018; Meyers, Riccucci, & Lurie, 2001; Romzek & Johnston, 1999; Sandfort, 1999) and its own processes and methods for achieving outcomes (Alter, 1990).

Creating a shared understanding of the problem and aligning goals towards a common purpose is paramount to collaboration. However, reconciling different organizational missions (Chen, 2008) and organizational identities (Bardach, 1998) towards a shared collaborative mission and collaborative identity is no easy undertaking. There must be a balance of mutual commitment and engagement while also safeguarding against mission drift (Gazley & Brudney, 2007). Collaborators must establish trust and respect and navigate the imbalances in power and resources (Chen, 2008; Vangen & Huxham, 2003). When there is incongruity among organizations in expectations and understanding of a collaboration's purpose and process, conflict can arise (Austin, 2000), derailing the effort and harming both the organization as well as outcomes for service recipients.

To meet the demands and diversity of service needs, public HSOs are increasingly using collaborative governance mechanisms for public service provision (Sowa, 2008). Collaborative governance mechanisms can be based in informal or formal approaches – or a combination of both. Informal methods can rely on verbal agreements, ad hoc rule creation, norms, intermittent communication, and cooperation. While these approaches are often more limited with respect to the exchange of information and interdependence between partners, benefits include additional flexibility, lower costs, and less investment.

Formal methods often rely on formal agreements or mandates (Kim & Peng, 2018). One such mechanism is the use of contracts. Contracts are legally-binding, formal agreements (e.g., service agreement, memorandum of understanding) that can be used to codify collaborative arrangements (Bunger et al., 2020; Cheng, 2019b). As a collaborative governance mechanism, contracts provide clarity and direction for decision-making, resource allocation, accountability, goal congruence, service processes and outcomes (Bunger et al., 2020; Cheng, 2019b). These formal tools can support collaborative relationships by providing structure, set expectation, and clarify ground rules. In addition to encouraging accountability and performance, contracts “may provide an opportunity to deepen mutual understanding, trust, identity, identification, and coordination at both organizational and institutional levels” (Jing & Hu, 2017, p. 192). Contracts “not only empower partners but also build accountability mechanisms in government-nonprofit partnerships” (Cheng, 2019b, p. 208). Contracts “help coordinate and safeguard collaborative activities, substantially reducing transaction costs throughout the collaboration process” (Peng, Liao, & Lu, 2020, p. 21).

Public HSOs employ contracts to designate an intentional, deliberate, and formalized relationship with their collaborative partner (Bryson et al., 2006; Bunger et al., 2020; Cheng,

2019b; Peng et al., 2020). Public HSOs rely on these contractual arrangements with private HSOs<sup>2</sup> for the provision and delivery of human services to clients (Bunger et al., 2018; Chen & Graddy, 2010; Chuang et al., 2020; Gazley, 2008, 2017; Smith & Lipsky, 1993).

## 1.2. Dissertation Motivation and Purpose

Cross-sector collaborations in HSOs require the inclusion and capacity of organizational members to manage and implement the collaborative processes both within their organizations and across organizations in other sectors. Despite the increasing interest and need towards human service cross-sector collaboration (Almog-Bar & Schmid, 2018), there is still limited research in public administration (PA) examining the factors that may facilitate or impede effective collaboration and the processes that support and sustain these partnerships (Chen, 2008; Gazley, 2017; Gazley & Guo, 2020).

The expansion of public contracting and increasing reliance on private organizations for service delivery brings new dimensions, challenges, and questions around public and private HSO collaborative service arrangements as these partnerships span different organizational and sectoral boundaries. For example, scholars have pointed to real or perceived issues with authority and autonomy, incentives, mission compatibility, organizational capacity, role ambiguity, and goal alignment (Babiak & Thibault, 2009; Gazley & Brudney, 2007; Guo & Acar, 2005; Kim & Peng, 2018; O'Regan & Oster, 2000). When collaborations are formalized through contracts, organizational members must also manage contractual relationships. The ability to effectively address societal problems requires “human services stakeholders to nurture collaborative

---

<sup>2</sup> The term “private HSOs” includes nonprofit and for-profit organizations.

processes beyond the contracting out relationship and enable the participation of all types of providers” (Norris-Tirrell, 2014, p. 319).

As HSOs continue to operate within multi-organizational and multi-sector arrangements, “collaboration is an inescapable feature of future public administration” (Bingham & O’Leary, 2006, p. 165). The reality and need for collaborative partnerships provide the conditions and invitation to improve our understanding of cross-sector collaboration between public and private HSOs engaged in contractual service arrangements.

The focus of this dissertation centers on collaboration between public and private HSOs formalized through contractual arrangements. It would be remiss to not consider the formal and informal contractual elements that impact collaboration as service agreements are an integral part of the HSO landscape and are germane to cross-sector collaboration.

This dissertation examines HSOs that engage in cross-sector collaborations to improve understanding of the facilitators and barriers to achieving successful collaborative outcomes. The guiding question for this dissertation is: *What are the factors that impact successful collaborative outcomes between public and private HSOs?* I develop hypotheses around the factors that are likely to impact the success of collaboration between public and private HSOs. Specifically, I apply the Ansell and Gash (2008) Collaborative Governance Framework as a lens for examining the factors that may facilitate or impede successful collaborative outcomes in the human services, including the formal factors (contractual elements) and the informal factors (relationship elements). This dissertation analyzes survey data administered to public HSOs that contract with private HSOs. Qualitative contract data formalizing these relationships are also analyzed to supplement the survey data.

### 1.3. Dissertation Goals and Contributions

This dissertation examines the landscape of cross-sector collaboration in HSOs located in the U.S. The empirical, theoretical, and practical contributions of this study build on the extant PA scholarship to bridge the gaps in knowledge and encourage the ongoing development of scholarly and practical understanding of cross-sector collaboration in the human services context to provide guidance for the future. In this section I identify the distinct and significant contributions of this dissertation.

#### 1.3.1. Integration of Literatures

Since “collaboration is by nature a multi-layered, multi-theoretic, cross-disciplinary activity,” (Gazley & Guo, 2020, p. 226; also Amsler & O’Leary, 2017; Bryson et al., 2015; Vernis et al., 2006) it follows that a broader, more comprehensive perspective is needed to accurately capture collaboration. Different research bodies present a different dimension of cross-sector collaboration in public and private HSOs. I integrate the separate literatures of collaborative governance, human services, and public-private contracting to identify their nexus of convergence. These distinct literatures tend to be “siloe” around their treatment of collaboration but overlap in many respects and provide useful perspectives on different elements of collaboration. Based on my findings, I “connect the dots” between the literatures to build on each discrete body of literature. I also weave the literatures together to create connections to develop them collectively, for broader generalizability and application.

#### 1.3.2. Application of Collaborative Governance Framework in the Human Services

The Ansell and Gash (2008) Collaborative Governance Framework is a widely used, established framework in PA research due to its comprehensiveness and practical application. However, there is limited application within the human services scholarship. Applying this framework in the human services context provides additional insights about factors relevant to collaboration between public and private HSOs. In addition to testing the framework for validation purposes, I also propose additional factors to expand on the framework. HSOs engaged in contractual partnerships change the collaborative landscape and there is a need to account for the factors and processes that are instrumental to collaboration but are not accounted for in the Collaborative Governance Framework.

As knowledge and understanding of cross-sector collaborative partnerships continues to improve, there is a need for a comprehensive theoretical framework to assess public and private HSOs using contractual arrangements for service provision. This conceptual contribution will generate additional elements to expand on an existing theoretical framework to improve its applicability and generalizability. I propose a more comprehensive theoretical framework is needed to accurately capture cross-sector collaboration and I present an expansion on the framework that incorporates existing and new elements. This empirical contribution applies an existing theoretical framework in a novel context to improve understanding of this phenomenon and to shed light on the factors, both facilitators and obstacles, that impact public and private HSOs in cross-sector collaboration.

### 1.3.3. Comprehensive View of Collaboration

There is an imbalance in research coverage with respect to the stages of collaboration (Gazley & Guo, 2020). In particular, there is a need for more research that focuses on collaborative



processes (Chen, 2010; Thomson & Perry, 2006), which includes the development and implementation of collaboration. As the effects of antecedent conditions on outcomes are mediated by collaborative processes, it is important to “link antecedent preconditions that motivate the formation of partnership and processes that unfold at the implementation stage with the final outcomes of collaboration” (Chen, 2010, p. 382). To improve comprehensive understanding of interorganizational collaborative partnerships, I examine different aspects of collaboration to connect the antecedent conditions for collaboration formation with the collaborative processes with the collaborative outcomes (Bingham & O’Leary, 2006; Chen, 2010; Chen & Graddy, 2010; Thomson & Perry, 2006; Wood & Gray, 1991).

#### 1.3.4. Reflection of the Human Services Context

As collaboration is not “one-size-fits-all” (Mayhew, 2012), it is important to account for contextual features. A broad conceptual model of collaboration provides useful information that is applicable across multiple contexts. However, as much of the research on collaboration is not context-specific, there is a need to account for the parameters, goals, nuances, constraints, and operations that are context-specific. There is a need to improve theoretical and practical understanding of collaboration in HSOs. I apply the Ansell and Gash (2008) Collaborative Governance Framework in the human services context to improve understanding of collaboration in HSOs that may also be applicable outside of the human services context. This study examines the overlap between universal and specific collaborative factors. I examine cross-sector collaboration in HSOs taking into account the formalized elements as well as the many informal elements present. Collaborations in HSOs are often established using formal contracts (Lu, 2015;

Miltenberger & Sloan, 2017; Norris-Tirrell, 2014). These contractual service arrangements undergird the cross-sector collaborations between public and private HSOs.

#### 1.3.5. Inclusion of Multiple Data Sources and the Nonprofit Perspective

I use quantitative survey and qualitative contractual data to provide a more robust, comprehensive understanding of cross-sector collaboration in HSOs using contractual arrangements for service provision. The integration of multiple sources of data provides a more comprehensive and in-depth understanding than each source by itself. The survey data from HSO members provides an opportunity to focus on a more micro-level unit of analysis to capture organizational members' understanding and experiences with collaboration. Most studies on collaboration use partnerships/networks or organizations as the unit of analysis (Gazley & Guo, 2020). Lacking is the perspective from the individuals who comprise HSOs and their attitudes, behaviors, and experiences with collaboration. Individual-level data from organizational members provides meaningful information about their perspectives on collaboration and how they understand or “enact” meaning in their HSO environment (Austin et al., 2009; Carnochan, McBeath, & Austin, 2017; Sandfort, 2019; Smircich & Stubbart, 1985; Zelnick & Abramovitz, 2020).

Also lacking is the nonprofit perspective in collaboration research (Gazley & Guo, 2020). With the rise of collaboration in nonprofit organizations, it is of interest to both public and nonprofit scholars and practitioners to improve knowledge of formalized collaborations and how this impacts the strategic restructuring of these organizations (Guo & Acar, 2005). I focus on private HSOs in this study and include the individual-level perspective, which is especially lacking in nonprofit studies on collaboration.

#### 1.3.6. Conceptual Clarification of “Collaborative Outcomes”

Generally speaking, “collaborative outcomes” are treated very broadly and often described in vague terms in the research. Part of my contribution is to provide clarity and precision around some of these constructs through my measurement, operationalization, and testing of variables in my analyses. I operationalize Successful Collaborative Outcomes to capture the different dimensions of this multi-faceted construct to reduce some of the conceptual and practical ambiguity.

#### 1.3.7. Guidance for Practitioners

With the increasing use of collaboration and its prevalence in HSOs, public and nonprofit practitioners need guidance for effectively designing, managing, and evaluating collaborative efforts (Gazley & Guo, 2020; Guo & Acar, 2005). I identify findings from this study to support guidance and recommendations for public and nonprofit HSO managers. As the use of contracts for delivery of human services continues to play an integral part in HSO service delivery, it is important to support nonprofit organizations in understanding and overcoming the challenges with contracting to improve both organizational and service users’ outcomes.

### 1.4. Dissertation Organization

The structure of this dissertation is as follows. In Chapter 2, I review the distinct literatures on collaboration, HSOs, and public-private contracting. I identify areas of convergence between these bodies of research to integrate their contributions to this study. In Chapter 3, I introduce Ansell and Gash’s (2008) Collaborative Governance Framework as the theoretical framework

that guides this study. I develop testable hypotheses based on extant research to validate this framework in the human services context. Next, I propose additional factors to better reflect the human services context in collaboration. Finally, I suggest an expansion of the framework that can be applied for examining successful collaborative outcomes between public and private HSOs. In Chapter 4, I analyze the survey data and contract data. In Chapter 5, I present the results of the survey and contractual data analyses. In Chapter 6, I discuss the findings and the key implications for PA scholarship and praxis. I propose several considerations for further research on collaboration and HSOs to build on this study. In Chapter 7, I conclude with a summary of the research and final thoughts.

## **Chapter 2. Literature Review**

### **2.1. Introduction**

This chapter draws on several bodies of literature and integrates them by identifying their points of intersection and convergence. These literatures, which include the literature on collaborative governance, HSOs, and contracting, are cross-cutting in many ways, although not always directly integrated, and highlight different dimensions of HSOs in collaboration. Below, I begin by reviewing the literature on collaborative governance and how PA approaches collaboration and its defining features. Next, I provide a review of HSOs in the public and nonprofit sectors and their role in the provision of public services. Finally, I include literature on contracting, specifically with respect to the human services context. Each literature body provides an important contribution to this dissertation and informs the propositions I develop in Chapter 3.

### **2.2. Evolving Approaches to Public Sector Governance**

Governance refers to the structures, processes, practices, and rules that inform collective decision-making among multiple individuals, organizations, or systems (Stoker, 1998).

Governance consists of the “regimes of laws, rules, judicial decisions, and administrative practices that constrain, prescribe, and enable the provision of publicly supported goods and services. This definition provides room for traditional governmental structures as well as emerging forms of public/private decision-making bodies” (Lynn, Heinrich, & Hill, 2001, p. 7) that can exist across the public, nonprofit, and private sectors. Governance guides authority, decision-making, accountability, and choices for addressing public problems and identifying potential solutions through the design and implementation of new policies and programs (Amsler, 2016; O’Leary, Gerard, & Bingham, 2006). Other scholars provide similar descriptions

of governance, defining it as the “means to steer the process that influences decisions and actions within the private, public, and civic sectors” (O’Leary et al., 2006, p. 7).

In PA scholarship and practice, forms of governance have evolved from a hegemonic, Weberian-based model of bureaucracy shifting towards a privatized, performance-based model, to the contemporary form of collaboration that is more consensus-oriented and attempts to reconcile various, and often conflicting, interests. Each form of governance differs in terms of *who* is in charge of decision-making and *how* decisions are made.

### 2.2.1. Traditional Public Administration and New Public Management

The reform movement of New Public Management (NPM) emerged in the 1980s around the world and was informed by private-sector approaches and business administration management (Frederickson et al., 2016; Hood, 1991). NPM began as a response to the traditional form of PA bureaucracy (Alford & Hughes, 2008).

The traditional PA bureaucratic form, known as the Weberian form of bureaucracy, extolled the benefits of using “scientific management” techniques within a vertical hierarchical chain of authority that emphasized a command-and-control model for direct provision of public services by the federal government (McBeath & Meezan, 2010). The mechanism of governance was conducted through a hierarchical chain of authority, with a focus on the administration and implementation of policy.

NPM critiqued the perceived inefficiency and wastefulness of this model for government operations and supported a “reinvention of government” to address these shortcomings (Osborne & Gaebler, 1992). In the U.S., the federal government’s oversight of social programs was perceived as “ineffective, unwieldy, and excessively expensive” (Alexander, 1999, p. 58). As

such, NPM sought to shift responsibility away from the federal government to improve the efficiency, effectiveness, and overall performance of public service delivery (Alexander, 1999; Kaboolian, 1998, Osborne, 2009).

NPM relied on governance mechanisms based on a market-orientation. The underlying ideology of NPM was the belief in the superiority of the private sector and its management practices. These policies and practices were seen as the method to reduce the size of the bureaucracy, improve efficiency, reduce costs, increase accountability, and become more responsive to the public, with an emphasis on performance (Alexander, 1999, 2000; Brodtkin, 1997; Frederickson et al, 2016; Hood, 1991; Kaboolian, 1998; Osborne & Gaebler, 1992; Page, 2005). Core features included the public sector adopting market-based management techniques, increasing outsourcing to private sector organizations for public service delivery, and striving to downsize government's role and size through decentralization (Frederickson et al., 2016).

NPM introduced techniques and values from the private sector into public and nonprofit spaces, including competition and shifting functions to the nonprofit or private sectors. The focus became not on *what* government does but *how* government does it (Osborne & Gaebler, 1992). Mechanisms included privatization and outsourcing of service delivery, namely through competitive purchase of service contracting, implementation of performance measures and tools, focusing on inputs and outputs, outcome measurement, decentralization of authority and discretion, and emphasizing a client-orientation and public choice in the hopes of improving customer, rather than bureaucratic, needs (Hood, 1991; Osborne, 2006). These mechanisms were based on market-like instruments to achieve transparency, efficiency, and results-based accountability.

### 2.2.2. Collaborative Governance

Collaborative governance is “a successor to traditional public administration (i.e., the Weberian bureaucracy that delivers policies and services) and NPM (i.e., making government more businesslike and bringing in the market)” (Voets et al., 2021, p. 2). Both PA and the NPM “fail to capture the complex reality of the design, delivery and management of public services in the twenty-first century” (Osborne, 2006, p. 5). Collaborative approaches of governance arose in response to the limitations and weaknesses of the traditional, hierarchical PA bureaucratic structures and NPM principles and methods for addressing public problems (Almog-Bar, 2018; Keast et al., 2004). Collaborative governance is based on a model “policy and service delivery that shifts away from government- or market-centric settings to a setting in which public, private nonprofit, and private business actors are jointly involved in and accountable for policymaking and service delivery to create public value that could otherwise not be achieved” (Voets et al., 2021, p. 1).

Collaborative governance challenges the traditional, hierarchical model of power and command-and-control often associated with managerialism and offers an alternative to an adversarial “winner-take-all” emphasis commonly associated with a top-down hierarchical authority structure or a market-based form of governance (Ansell & Gash, 2008; Head & Alford, 2015; Hodges et al., 2013; Hood, 1991; Voets et al., 2021).

Collaborative governance shifts away from prioritizing the economic logic of a market-centric model for government operations and public service delivery (Voets et al., 2021). While competition still exists, collaborative governance emphasizes the collaborative aspects over markets and hierarchies. Instead, the role and strengths of non-state actors are emphasized for service provision (Salamon & Toepler, 2015). Stakeholders across the public, nonprofit, and



private sectors are “jointly involved in and accountable for policymaking and service delivery to create public value that could otherwise not be achieved” (Voets et al., 2021, p. 1).

As a form of governance, collaboration involves these stakeholders to “work collectively in distinctive ways, using particular processes, to establish laws and rules for the provision of public goods” (Ansell & Gash, 2008, p. 545; also Alexander, 1999, 2000; Brodtkin, 1997; Frederickson et al, 2016; Hood, 1991; Kaboolian, 1998; Osborne & Gaebler, 1992; Page, 2005). This encourages a partnership approach between government-nonprofit relations and the creation of interdependence between stakeholders (government, nonprofit, for-profit, and citizens) in the policymaking and service delivery processes (Osborne, 2006; Salamon & Toepler, 2015). This also includes the practices that encourage the role of citizen participation in government processes (Bingham, Nabatchi, & O’Leary, 2005). There is acknowledgement of the challenges that arise with third-party government but also the strengths that exist when partnering outside of the public sector. While NPM focuses on the decentralization and fragmentation of public services, collaborative governance in contrast, focuses on the methods and tools (e.g., grants, contracting, loans, vouchers) to improve integration and coordination across sectors (e.g., Salamon & Toepler, 2015).

Collaborative governance emphasizes shared decision-making for both policymaking and management rather than unilateral decision making. Institutions and stakeholders “work collectively in distinctive ways, using particular processes to establish laws and rules for the provision of public goods” (Ansell & Gash, 2008, p. 545). Collaborative governance also emphasizes the achievement of mutually beneficial outcomes for all stakeholders involved (Chen, 2008; Huxham, 1996).

It functions by “transcending traditional jurisdictional boundaries of government agencies” (Leach et al., 2014, p. 592). Collaborative governance is inclusive of “the collaborative nature of modern efforts to meet human needs, the widespread use of tools of action that engage complex networks of public and private actors, and the resulting need for a different style of public management, and a different type of public sector, emphasizing collaboration and enablement rather than hierarchy and control” (Salamon, 2002, vii).

Collaborative governance can leverage the strengths of different sectors and improve the capacity to address contemporary social problems that are complex and not bounded by one sector or policy area. One benefit is the ability to improve cost-effectiveness and economies of scale by directing functions to market-driven for-profit organizations or to nonprofit organizations with specialized expertise and skills for serving specific populations. Another benefit is supporting nonprofit organizations’ creativity, flexibility, and “ability to think outside the box” (Van Slyke, 2009). A third benefit is the ability to circumvent legal or political constraints and promote political objectives by downsizing government workforce and distributing funding to nonprofit organizations.

### 2.2.3. Collaborative Service Arrangements

The term “collaboration” is derived from the Latin word “col” which means *with* or *together* and the word “laborare” which means *to labor* or *work*. At its core, collaboration means to work together.

Collaboration is not a new phenomenon in the U.S., in either practice or research. The American system of federalism is the earliest and “most enduring model of collaborative problem resolution” (O’Leary et al., 2009, p. 3). Federal, state, and local governments have

worked together to share power, control, responsibility, and resources. These three levels of government, along with nonprofit and private organizations, “have cooperated, both informally and officially, in many different ways and through many different mechanisms for generations” (O’Leary et al., 2009, p. 4).

PA scholars have proposed various ways to conceptualize and study collaboration. The lack of a single definition or lens for examining collaboration has created inconsistency, overlap, and sometimes disagreement around “collaboration.” Some of this proliferation and conceptual quagmire can be attributed to the complexity of collaboration and the various aspects that scholars emphasize to capture its multidimensionality. Research includes examination of the determinants or antecedents of collaboration (e.g., Amirkhanyan, 2009; Bryson et al., 2015; Gazley, 2008; Guo & Acar, 2005), the organizational processes of collaboration (e.g., Chen, 2008; Ring & Van de Ven, 1994; Thomson & Perry, 2006), the difficulty in assessing outcomes of collaboration (e.g., Page 2004; Page et al., 2015), and a smaller, but growing body of work that examines the involvement of citizens and service users (e.g., Bingham et al., 2005).

There is no shortage of definitions for collaboration in the PA literature (e.g., Agranoff & McGuire, 2003; Ansell & Gash, 2008; Bardach, 1998; Bryson et al., 2006; Emerson, Nabatchi, & Balogh, 2012; Gray, 1989; Huxham, 1996; Longoria, 2005; O’Leary et al., 2006; Perrault et al., 2011; Thomson & Perry, 2006; Wood & Gray, 1991). There are various conceptualizations of collaboration that overlap in many respects but also oppose each other on some aspects (O’Leary & Vij, 2012). This abundance reflects the natural progression of how our understanding of collaboration has changed and deepened over time, the different aspects and stages that have been studied, and the conceptual quagmire that exists (See Amsler & O’Leary, 2017 for a comprehensive review of PA scholarship on collaboration over the past 30 years).

The plurality of definitions provides different perspectives and foci of collaboration. On one hand, this creates a lack of cohesion and consensus around “collaboration” (e.g., Thomson, Perry, & Miller, 2009). For PA scholars and practitioners alike, collaboration is still “an elusive concept” (Chen, 2008, p. 349). This issue also exists in the human services with the recognition that “[c]ollaboration is essential to the joint production of human services, yet what is meant by collaboration is seldom specified” (Mayhew, 2012, p. 113).

On the other hand, there are generally agreed-upon attributes of collaboration with respect to the rationales for initial conditions and processes of collaboration (Voets et al., 2021). Distilled down to its most basic level, collaboration involves multiple stakeholders who engage in a relationship towards a shared purpose. A common thread through the contemporary scholarship on collaboration is the focus on the processes of shared exchanges between organizations. Collaboration requires joint effort and negotiation across all partners for pursuing a common purpose (Thomson et al., 2009). Working towards a shared goal to solve a common problem (Agranoff & McGuire, 2003; Gray & Wood, 1991; Huxham et al., 2020; O’Leary & Vij, 2012) involves sharing expertise and knowledge, decisions, activities, capabilities, resources, and norms (Bryson et al., 2006; Guo & Acar, 2005; Gray, 1989; McGuire & Silvia, 2010; Thomson et al., 2009). This involves perspective-taking of others’ capacities and constraints to “search for solutions that go beyond their own limited visions of what is possible” (Gray, 1989, p. 5). With the expectation that there will be shared ownership of the outcomes, organizations work together to address public problems that cannot be solved or easily solved by a single organization (Bardach & Lesser, 1996; Bryson et al., 2006; McGuire, 2006; McGuire & Silvia, 2010; O’Leary et al., 2006).

Early work in the field described collaboration as a distinct sequence of stages (e.g., Gray, 1989; Himmelman, 1996). Ring and Van de Ven (1994) shift the conceptualization of collaboration from a linear process to one that is cyclical and iterative. Building on Wood and Gray's (1991) antecedents-process-outcomes model, Thomson and Perry (2006) define collaboration as "a process in which autonomous actors interact through formal and informal negotiation, jointly creating rules and structures governing their relationships and ways to act or decide on the issues that brought them together; it is a process involving shared norms and mutually beneficial interactions" (p. 23).

Ansell and Gash (2008) define collaborative governance as "a governing arrangement where one or more public agencies directly engage nonstate 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" (p. 544). Emerson et al. (2012) offer a broader definition of 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" (p. 2). Their conceptualization of collaboration is intentionally more expansive to examine the broader system within which collaboration occurs, to identify a collaboration effort that is not necessarily initiated by a public organization, and to be inclusive of additional actors, processes, and structures.

Collaboration can take different forms and purposes (Guo & Acar, 2005; Wood & Gray, 1991; Sowa, 2008). Collaboration can be informal or formal, voluntary or mandated, or short-term or long-term (Andrews & Entwistle, 2010; Bingham & O'Leary, 2008; Head & Alford,

2015; McGuire, 2006; Prentice & Brudney, 2016). Collaboration occurs at multiple units of analysis – often simultaneously – at the individual-, organizational-, partnership- and network-level (Gazley, 2008; Guo & Acar, 2005). Collaborative service arrangements can be vertically structured, spanning across different levels in a single organization, or horizontally structured, spanning across multiple organizations, creating a large network of stakeholders (Chen, 2010; McGuire, 2006; Sowa, 2008). These arrangements can exist within and across any combination of the public, nonprofit, and for-profit sectors (Bryson et al., 2015; Head & Alford, 2015).

One of the distinct attributes of collaboration is the degree of shared purpose, decision-making, and understanding between participants (Huxham & Vangen, 2005). Collaboration emphasizes the importance of reaching a consensus on the problem and solution. Collaborators work closely together to identify mutually agreed upon goals (Chen, 2010; Gazley, 2010) and achieve mutually beneficial outcomes (Gray & Wood, 1991; Sandfort, 1999). This often requires more effort, time, and commitment among participants (Huxham & Vangen, 2005). This close relationship creates interdependence between participants as they exchange and share resources, effort, people, risk, and services. Collaboration also requires a “higher relational orientation” of its participants (Keast & Mandell, 2014, p. 25), meaning that collaboration requires a closer relationship between partners than other forms of service arrangements. It is more than "simple interaction and transactional relationships" (Scott & Thomas, 2017, p. 192) and requires mutual trust and reciprocity among partners (Bardach, 1998; O’Leary et al., 2006; Sowa, 2008).

Collaboration is just one type of approach that organizations may employ to effectively address public issues. Collaboration is often identified on a continuum of interorganizational service provision arrangements (e.g., Austin, 2000; Castañer et al., 2020; Forrer, Kee, & Boyer, 2014; Gray & Wood, 1991; Selden, Sowa, & Sandfort, 2006; Vernis et al., 2006). The continuum

ranges from the least intensive approach to the most intensive approach, spanning cooperation, coordination, collaboration, and service integration. While collaboration may appear similar to these other arrangements, and even converges with them in some respects, there are important conceptual differences between these different service arrangements (Graham & Barter, 1999; Keast et al., 2004).

Collaboration requires more interaction, commitment, and a higher level of collective action than cooperation or coordination (Gazley & Brudney, 2007; Thomson & Perry, 2006). There is a sense of mutual obligation (Meinhard, Lo, & Hyman 2016) and interdependence as it requires a sharing of decision-making, goals, resources, rewards, risks, and losses (Bryson et al., 2006; Mattessich & Monsey, 1992; O’Leary & Vij, 2012; Thomson & Perry, 2006). Cooperation lacks a formal structure and may be tacit or implied.). Coordination consists of multiple actors working together, although they can remain fundamentally independent from each other, operating in parallel with separate responsibilities and expectations towards distinct ends. *Service integration* refers to the structural change that occurs as a result of the re-organization of separate agencies, services, or programs that are then subsumed under the same collective authority and operates as a single entity (Konrad, 1996, O’Looney, 1994).

#### 2.2.4. Rationales for Collaboration

Organizations are motivated to collaborate with other organizations for a variety of reasons. These drivers include a “moral imperative” to work together to achieve “collaborative advantage” in addition to economic, resource, institutional, and social rationales.

The increase in the complexity and magnitude of public problems has spurred the need for organizations across public, nonprofit, and for-profit sectors to work together (Austin, 2000; Vernis et al., 2006). These problems are interrelated and driven by a confluence of

environmental, biological, social, economic, and political determinants, which affect multiple and overlapping populations (Lasker & Weiss, 2003). These complex problems are known as “wicked problems” since they affect multiple populations and surpass the capacity, resources, and jurisdiction of any single organization, sector, or policy to appropriately resolve (Head & Alford, 2015; Lasker & Weiss, 2003; Rittel & Webber, 1973; Weber & Khademian, 2008b).

The existence of complex, wicked problems (Head & Alford, 2015; Rittel & Webber, 1973; Weber & Khademian, 2008b) creates a “moral imperative” (Huxham et al., 2000) for organizations to work together to solve complex social problems. These organizations leverage their different sources of knowledge and skills to tackle public issues that they would otherwise be unable to manage independently (Huxham, 1996; Huxham & Vangen, 2005; Weber & Khademian, 2008b). Cross-sector collaboration is increasingly viewed as a necessity – and reality – for addressing contemporary social problems (Bingham & O’Leary, 2006; Bryson et al., 2006; Chen, 2010) as the emergence of complex issues requires a diversified, multi-disciplinary, and cross-sector approach (Vernis et al., 2006).

This synergy between organizations is the result of the “collaborative advantage” (Huxham, 1996; Huxham & MacDonald, 1992; Huxham & Vangen, 2005) that results from organizations collaborating to maximize their collective strengths and capacities to achieve shared goals and further shared values (Hill & Lynn, 2003). This enables all of them to address complex problems more effectively than if they tried to work independently (Huxham, 1996; Huxham & Vangen, 2005; Thomson & Perry, 2006). For organizations, this is rooted in the ability to achieve the goal(s) of the effort (Bardach, 1998; Bryson et al., 2006; Chen, 2008, 2010) for mutual gain. The “making use of each sector’s characteristic strengths while also finding



ways to minimize, overcome, or compensate for each sector's characteristic weaknesses" creates public value (Bryson et al., 2006, p. 51).

Economic rationales for engaging in collaboration arise when there are sector weaknesses or failures (Bryson et al., 2006) and a collaborative arrangement is more efficient than market transactions (Huxham & Vangen 2005; Williamson, 1979). Organizations will seek a collaborative arrangement when it reduces or mitigates the transaction costs associated with providing a service independently. A related efficiency incentive for collaboration is the avoidance of duplication of service provision (Huxham, 1996).

Resource rationales for collaboration emerge when organizations are dependent on external resources. These collaborative relationships form with other organizations to gain access to new or additional resources (Aldrich, 1976; Huxham & Vangen, 2005; Pfeffer & Salancik, 1978; Suárez, 2011). Related, capacity rationales emerge when there is resource scarcity or instability (Sowa, 2009; Thomson & Perry, 2006) and organizations seek out financial resources (Huxham, 1996; Sandfort & Milward, 2008; Sowa, 2008; 2009) or non-financial resources (e.g., equipment, intellectual property, personnel, infrastructure, power, and knowledge) (Bryson et al., 2006; Dyer & Singh, 1999; Hardy, Phillips, & Lawrence, 2003). Collaboration can serve an organization's best interest as it increases their capacity to address complex social problems through the provision of additional and more specialized types of services (Agranoff, 1991; Ansell & Gash, 2008; Isett et al., 2011; Sandfort & Milward, 2008).

Institutional rationales for collaboration result when organizations face pressure and expectations to conform to environmental norms or to demonstrate legitimacy (DiMaggio & Powell, 1983; Meyer & Rowan, 1977). These collaborative relationships can form to comply with regulatory or political mandates even when there is no tangible gain for an organization

(Meyer & Rowan, 1977). Collaboration can provide a competitive advantage for organizations (Sowa, 2009) and improve the reputation and credibility of organizations (Arya & Lin, 2007; Huxham, 1996) or support innovative practices (Berzin, Pitt-Catsoupes, & Gaitan-Rossi, 2015). Other rationales include leveraging opportunities for learning and accessing specialized knowledge, navigating complex institutional infrastructures, diffusing risk, and reducing or weathering uncertainty (Ansell & Gash, 2008; Emerson et al., 2012; Huxham, 1996; Huxham & Vangen, 2005; Thomson & Perry, 2006).

#### 2.2.5. Barriers and Challenges to Collaboration.

Despite its value and ability to address public issues, collaboration is not a panacea. While collaborative arrangements can be mutually beneficial and powerful, they can be burdensome, fragile, and rife with challenges (Bryson et al., 2006; Gazley, 2017; Huxham & Vangen, 2005; Lawson, 2004; O’Leary & Bingham, 2009; Salamon, 1995; Thomson & Perry, 2006). There exists a tenuous balance between the benefits and the trade-offs with collaboration (Gazley & Brudney, 2007; May & Winter, 2007). As a result, collaboration is not always appropriate, feasible, or successful (Droppa & Giunta, 2015; O’Leary & Bingham, 2009).

Collaboration entails substantial changes to organizational boundaries, structures, and processes and requires additional costs, time, and skills (Ansell & Gash, 2008; Bryson et al., 2015; Huxham, 1996). Challenges run the gamut of organizational, legal, fiscal, technical, and political (Agranoff, 2012; Vangen & Huxham, 2012; Vernis et al., 2006). The benefits of collaboration or not automatic or guaranteed (May & Winter, 2007). As such, it is imperative to consider the potential for “collaborative disadvantage” (Gazley, 2010) that may occur with collaboration, despite the rational institutional and normative arguments for collaboration.

Collaboration fundamentally changes the structures, processes, roles, and boundaries that exist within and across organizations (Ansell & Gash, 2008; Bryson et al., 2015; Guo & Acar, 2005; Lasker et al., 2001). Each organization engaging in a collaboration has their own goals, culture, history, institutional logics, and mission (Almog-Bar & Schmid, 2018; Meyers et al., 2001; Romzek & Johnston, 1999; Sandfort, 1999) and/or distinct processes and methods for achieving outcomes (Alter, 1990). Despite the potential to harness the synergy of “collaborative advantage” (e.g., Huxham, 1996) by leveraging the diverse strengths of different stakeholders, there are also challenges in understanding, managing, and reconciling different organizational aims, culture, resources, norms, language (i.e., professional terms), and power (real or perceived).

Collaboration challenges the traditional hierarchical structures and boundaries that exist in the U.S. bureaucracy (Amsler & O’Leary, 2017; Getha-Taylor & Morse, 2013). The bureaucracy in the U.S. was designed to restrict and silo power (Kettl, 2006), reinforcing the need for separateness and specialization of operations. The framers of the U.S. Constitution implemented the principle of checks and balances to ensure limits on power and independence for any single actor or agency. As such, collaboration is needed between actors to ensure meaningful action and progress. (Chandler, 2018). By its very nature, collaboration transcends these traditional bureaucratic boundaries and barriers. Collaborating with another organization “involves reconciling worldviews and professional ideologies that cluster within agency boundaries but differ across them. Moreover, it is often difficult to align agencies’ work efforts in the face of governmental administrative systems that presuppose deliberate nonalignment” (Bardach, 1998, p. 306-307).

There is also a competitive-collaborative dichotomy that may exist which can create tension and conflict between organizations over scarce resources in a competitive environment that also encourages collaboration (Babiak & Thibault, 2009; Bunker et al., 2014). Conflict can also arise when there is disagreement or confusion with the (lack of) autonomy and accountability that exists in the absence of hierarchical authority and changes in changes in power structures (Huxham, 1996).

At a more basic level, collaboration requires a shared understanding of the problem and agreement that there is a need for collaboration. However, if organizations do not share “a mission compatible to partnering,” there is likely to be tension or mission drift (Gazley & Brudney, 2007, p. 411). When there is incongruity among organizations with the expectations and understanding of a collaboration’s purpose and process, conflict can arise (Austin, 2000). Or if there is not an equitable commitment to the sharing of risks and liabilities (Fosler, 2002). Even organizations that provide similar services are not immune to difficulties during collaboration.

Creating a shared understanding of the problem and aligning goals towards a common purpose is paramount to collaboration. There is inherent tension between organizational identity and collaborative identity (Bardach, 1998; Huxham & Vangen, 2005; Thomson & Perry, 2006) and the need to balance both identities simultaneously. However, reconciling different organizational missions (Chen, 2008) and organizational identities (Bardach, 1998) towards a shared collaborative mission and identity is no easy task. Resistance to embracing a collaborative identity can hinder collaborative efforts while ceding an organizational identity may compromise the ability to achieve one’s own mission (Bardach, 1998).

There must be a balance of mutual commitment and engagement while also safeguarding against mission drift (Gazley & Brudney, 2007). Collaborators must establish trust and respect to

navigate the imbalances in power and resources (Chen, 2008; Vangen & Huxham, 2003). When there is incongruity among organizations in expectations and understanding of a collaboration's purpose and process, discord can occur (Austin, 2000), which can derail a collaboration, harming both the organization as well as service recipients. One challenge of achieving shared goals is doing so without negatively impacting one's own (organizational) goals (Vangen & Huxham, 2012).

Institutional costs that can occur with collaboration include “the possible loss of institutional autonomy or public accountability, cooptation of actors, greater financial instability, greater difficulty in evaluating results, and the expenditure of considerable institutional time and resources in supporting collaborative activities” (Gazley & Brudney, 2007, p. 392). The blurred distinction between roles and responsibilities makes it difficult to hold stakeholders accountable and to measure the totality of the collaborative effort as well as individual contributions (Page, 2004). While collaboration provides opportunities to access and leverage new or more resource opportunities, it is also resource-intensive to begin and sustain, requiring considerable personnel, time, effort, and expertise (Guo & Acar, 2005). These demands on an organization's resources may hinder or distort an organization's progress towards achieving policy goals. Collaboration can be risky and requires a certain level of vulnerability (Bardach, 1998), due to the sharing of power, accountability, resources, and goals. It is important to build trust and the relational capital between collaborative partners (Huxham & Vangen, 2000). This can offset feelings of distrust and can mitigate conflict (Vangen & Huxham, 2003).

Collaboration also requires a sufficient workforce in place (Kim & Peng, 2018) and for these organizational members to be engaged and skilled in collaborating – especially among managerial levels (Amsler & O’Leary, 2017; Crosby & Bryson, 2005; Gazley & Brudney, 2007;

Huxham, 1996; Miltenberger & Sloan, 2017; O’Leary & Vij, 2012). Traditional management methods and tools are not always appropriate or useful for collaboration. Managing a collaborative effort can be time- and skill-intensive (Thompson et al., 2002; Vangen & Huxham, 2000). It entails careful planning and preparation for the intentional "alignment of goals, strategies, agendas, resources, and activities” across multiple actors (Fosler, 2002, p. 19).

The skills and competencies for leading within a collaborative context may be different and even contradictory to traditional management skills. Leaders must balance their role and responsibilities within their own organization with the “collective decision-making” that is required of collaboration with stakeholders external to their organization (Ansell & Gash, 2008; 2012). They must work towards cross-sector collaborative goals without forfeiting their power and pursuit of their own organization’s mission (Crosby & Bryson, 2010; Ospina & Saz-Carranza, 2010).

## 2.3. Human Service Organizations

In this section I provide an overview of HSOs, their role in collaborative arrangements, and their relationship with nonprofit partners for service delivery.

### 2.3.1. Overview of Human Service Organizations

Public HSOs are charged with supporting and improving the lives of individuals and communities through the provision of social services to address a mosaic of needs (Hasenfeld, 2010; McBeath et al., 2019b). They provide services to some of the most vulnerable and oppressed groups in our society (Mayhew, 2012; Packard, 2021). A defining feature of public HSOs that sets them apart from other public organizations is that people are “the service focus”

(DeHoog, 1990) as HSOs directly serve “people to transform them” (Garrow & Hasenfeld, 2010, p. 33).

By their nature, HSOs provide “complex services to address complex problems” (Carnochan et al., 2019, p. 660). They are tasked with providing a broad range of essential human/social services and programs, such as vocational training, nutrition assistance, physical and mental health care, housing support, child and family services, transportation, financial assistance, and adult and disability care (Hasenfeld, 2010; McBeath et al., 2019b; Provan et al., 2002).

HSOs are “forward-facing” organizations that come into direct contact with service users on a daily basis. As the “first responders” (Zelnick & Abramovitz, 2020) for communities and individuals in need, HSOs provide services to vulnerable and oppressed groups, including the homeless, disabled, chronically ill, and elderly (Mayhew, 2012; Packard, 2021; Zelnick & Abramovitz, 2020). Throughout their life and as their needs change, individuals may “seek the services of a broad array of human service organizations, each of which specializes in addressing a distinct set of needs” (Hasenfeld, 2010, p. 9).

It can be difficult to fully capture the size and scope of human services. In the U.S., HSOs operate at the federal, state, and local levels. At the federal level, the U.S. Department of Health and Human Services accounts for more than 20% of all federal outlays with an estimated \$1.662 trillion in 2022 (Tollestrup & Lynch, 2021). These funds are distributed directly and through contractual service agreements among public, nonprofit, and private HSOs. HSOs operate in a decentralized administrative and fiscal environment, which can blur the organizational and sectoral boundaries between HSOs (Berzin et al., 2015; Mosley, 2020).

### 2.3.2. The Role of Human Service Organizations

HSOs play a pivotal role in protecting the health and improving the well-being of citizens. These organizations provide a broad range of social services and programs such as vocational training, nutrition assistance, physical and mental health care, housing programs, child and family services, transportation, and financial assistance (Hasenfeld, 2010; McBeath et al., 2019b; Provan et al., 2002).

HSOs are equipped to respond to immediate needs for services and often serve individuals during a time of transition, including “entry to school or enrollment in a training program, or at a time of personal vulnerability, such as ill health or psychological distress” (Hasenfeld, 2010, p. 9). HSOs also serve vulnerable populations and service users include the homeless, disabled, chronically ill, and elderly. Throughout their life and as their needs change, individuals may “seek the services of a broad array of human service organizations, each of which specializes in addressing a distinct set of needs” (Hasenfeld, 2010, p. 9).

Many HSOs engage in policy advocacy on behalf of their target service populations “both in the introduction of new service modalities and in redefining social problems” (Norris-Tirrell, 2014, p. 320). It is through their operations and interactions with service users that “policy assumptions about human needs, desired outcomes, and the interventions to attain them are actualized. Moreover, the social rights of citizens, as expressed in policy, acquire real meaning through the citizens’ encounters with the organizations” (Hasenfeld, 2010, p. 59).

### 2.3.3. Collaborative Service Delivery in Human Service Organizations

HSOs operate in challenging environments and must confront issues related to uncertainty, risk, highly politicized contexts, limited resources, and diverse populations of service-users and needs



(Hasenfeld, 2010; McBeath et al., 2017; Sandfort, 2010). It can be difficult to define, quantify and measure service outcomes due to the complexity of concomitant issues across service user populations which make it difficult to isolate out a single effect. These challenges impact organizational capabilities, service processes and meeting client needs, and managerial responsibilities and tasks (Carnochan et al., 2019).

HSOs are tasked with providing complex services in a fragmented environment (Bunger et al., 2017; Smith & Phillips, 2016). HSOs often work independently from each other, despite shared missions, services, and service populations. The increased fragmentation of human services coupled with increased service demands have led to calls for more collaboration across organizations to reduce service gaps (Bunger et al., 2017; Keast, Brown, & Mandell, 2007; Page et al., 2015; Smith & Phillips, 2016). Many HSOs serve overlapping service populations that have interrelated needs and require multiple services that extend beyond the scope of one organization or service area (Bunger & Lengnick, 2019; Norris-Tirrell, 2014).

As a result, HSOs have increasingly shifted towards more collaborative approaches in the past three decades (Salamon, 1995; Selden et al., 2006; Sowa, 2008), partnering with public, nonprofit, and for-profit providers to provide a broad range of services. Efforts to collaborate often emerge as the result of calls from policymakers, funders, communities, and service users. These calls have accelerated with “the increase in budget shortfalls and multi-problem clients, who often receive services from workers in different organizations (e.g., child protection, income maintenance, and behavioral health)” (Packard et al., 2013, p. 356).

For human services, the above rationales for cross-sector collaboration are still applicable and relevant but there are also specific motivations and pressures for collaboration. HSOs, especially, experience the challenges of complicated and difficult to solve wicked social

problems which require more integration and interorganizational collaboration between service sectors (Bunger, 2013; Head & Alford, 2015; Watson & Hegar, 2013; Weber & Khademian, 2008b). This is especially salient in the human services due to co-occurrence and interaction of social issues, such as poverty and substance abuse. The need to balance the utilization of scarce resources while also reducing service gaps has also led to an increase in collaborative partnerships among HSOs.

With collaboration, HSOs can produce more effective and efficient service delivery while simultaneously addressing the needs of multiple service populations (Huxham & Vangen, 2005; Konrad, 1996; Longoria, 2005; Norris-Tirrell, 2014) leading to better service outcomes. Collaboration has the potential to reduce service gaps and duplication and provide more comprehensive systems of care with better quality services (Bryson et al., 2006; Bunger et al., 2017; Huxham et al., 2000; Vernis et al., 2006). It is often a more efficient use of human and financial resources. It can reduce or diffuse the risk associated with financial costs or information asymmetries.

#### 2.3.4. Nonprofit Partners in Collaborative Service Delivery

The increasing demand for public services coincides with an increase in the privatization and decentralization of public services, or the “hollowing out,” of the public sector, shifting responsibility for service delivery to third-sector service providers (Abramovitz & Zelnick, 2015; Bardach & Lesser, 1996; Frederickson et al., 2016; Milward & Provan, 2003).

Nonprofit organizations play a key role in public service provision (Garrow, 2010; Pettijohn et al., 2013; Salamon, 1995; Smith & Lipsky, 1993; Van Slyke, 2003; Vernis et al., 2006) – a role which continues to expand at the state and local levels (Gazley & Brudney, 2007;

Lu, 2015; Salamon, 2002). Whether working individually or collaboratively with other organizations, nonprofit organizations “have a long history of partnering with government, private business and communities in the creation and delivery of human services” (Norris-Tirrell, 2014, p. 305).

Nonprofit organizations are well-positioned to collaborate with public organizations as they often have specialized knowledge and access to marginalized communities (Andrews & Entwistle, 2010; May & Winter, 2007). Their ability to “understand and voice the needs of disadvantaged, excluded, and underrepresented groups” (Andrews & Entwistle, 2010, p. 684) and tailor services accordingly (Verschuere & De Corte, 2014) is attractive to public organizations who wish to increase service distribution and improve equitable service outcomes. Nonprofit organizations seek out collaborative arrangements for a variety of reasons, including improved information and resource exchange, increased capacity for serving clients, managing environmental uncertainty, and improving accountability and conformity to stakeholder expectations (Chen & Graddy, 2010; Foster & Meinhard, 2002; Fu & Cooper, 2021; Guo & Acar, 2005).

In the human services, cross-sector collaborative partnerships are increasingly being used for service delivery (Arya & Lin, 2007; Longoria, 2005; Sowa, 2009). In particular, nonprofit organizations are often viewed as an attractive option for collaborative partnerships due to their growth over the last half-century and expansion in the scope of activities (Norris-Tirrell, 2014) that coincides with government devolution of service provision due to ideological, economic, and utilitarian motives (Schmid, 2004). There is an increasing reliance on nonprofit organizations for public service delivery (Smith & Lipsky, 1993) based on this devolution as

well as the increasing demand for complex service provision coupled with rising costs of social programs (Lu, 2015).

Nonprofit organizations are seen as an added value for public service provision (Bode & Brandsen, 2014). Nonprofit organizations provide an option to mitigate or solve bureaucratic inefficiency and can help to address large-scale, complex problems (Vernis et al., 2006). They can help government scale-up services (economies of scale) while also reducing their start-up costs, overhead, and personnel (DeHoog, 1985). They offer greater flexibility which allows them to address short-term projects or engage in experimental programs without significant investment (DeHoog, 1985). Nonprofit organizations are often more closely connected to the needs of specific service populations. They can identify and serve hard-to-reach populations with specific needs (Lu, 2015). At the local level, nonprofit organizations may embrace the ideological and community values of their service users (Smith & Lipsky, 1993). Their community connections and reputation, specialized expertise, and capacity for addressing specific problems legitimizes their existence and allows for greater service provision.

With collaboration, nonprofit organizations can expand their capacity for complex service provision (Alexander, 1999; Berzin et al., 2015). They can scale-up services to have a broader reach and impact (Schmid & Almog-Bar, 2020; Vernis et al., 2006; Verschuere & De Corte, 2014). They can more effectively respond to increases in service demands due to demographic shifts and service devolution (Alexander, 1999; Salamon, 2002; Sowa, 2009; Suárez, 2011). The acquisition of critical resources buffers against environmental instability, such as economic and financial uncertainty (Gazley & Brudney, 2007; Guo & Acar, 2005; Salamon, 2002), protects against political disruptions (Berzin et al., 2015), and shields against declines in funding streams to stabilize finances (Alexander, 2000; Salamon, 2002). Learning

and sharing knowledge between collaborators can lead to the adoption of new programs, managerial methods, and technologies (Schmid & Almog-Bar, 2020) that improve organizational efficiency and service outcomes.

Collaboration requires a restructuring of structures and processes, and nonprofit organizations may be resistant to organizational, cultural, or role changes (Almog-Bar & Schmid, 2018; Packard et al., 2013). Nonprofit organizations may have incompatible perspectives, interests, and priorities or lack the capacity to respond to government expectations and service delivery needs (Lu, 2015). Nonprofit organizations may be hesitant to engage in collaboration if there is a real or perceived loss of autonomy, discretion, or flexibility (Emerson & Nabatchi, 2015; Froelich, 1999; Gazley & Brudney, 2007; O'Regan & Oster, 2000; Vernis et al., 2006; Verschuere & De Corte, 2014). Funding from government changes the structures and internal processes of the recipient organization (Froelich, 1999; Guo, 2007). Government requires more formalized and standardized processes, extensive documentation, performance measurement requirements, and accountability measures (Froelich, 1999). Nonprofit organizations may face pressure to conform and comply with the “red tape” that accompanies bureaucratic processes and control measures to secure or maintain resources (Froelich, 1999; Smith & Lipsky, 1993; Thompson, Williams, & Kwong, 2017).

A nonprofit organization risks “losing its unique character as it increasingly mirrors the structure and behavior of a government agency” (Froelich, 1999, p. 257). Submission to governmental regulations may interfere with a nonprofit’s original purpose and services, leading to mission drift or dilution and goal displacement. This can also erode its legitimacy and lead to a decline in responsiveness to the needs of their service users (Froelich, 1999; Verschuere & De Corte, 2014).

## 2.4. The Role of Contracts for Collaboration in Human Service Organizations

In this section I provide an overview of the history of HSOs contracting for service delivery, the approaches to HSO contracting, and the role of contracts in HSO cross-sector collaboration.

### 2.4.1. History of Contracting in Human Service Organizations

In the U.S., third-sector organizations have always served an important role in responding to social problems and serving the public's needs. Dating back to the beginning of the U.S., and predating the concept of a "nonprofit sector," these organizations have existed in some capacity since colonial times (Hall, 2016; Lipsky & Smith, 1989; Norris-Tirrell, 2014; Smith & Lipsky, 1993).

The nonprofit human service sector originally consisted of community-based social service agencies that "operated against the backdrop of very limited poor relief or other forms of public spending for social welfare purposes" (Grønbjerg, 2010, p. 79). During the 18th and 19th centuries, community-based agencies and charities relied primarily on private donations and fees with limited financial support from government. Prior to the Great Depression, "very few institutional structures were in place to coordinate services or provide substantial amounts of funding, and rarely did these structures extend beyond the local community" (Grønbjerg, 2010, p. 79).

By the mid-20th century and with the passage of the New Deal social programs, federal and state governments began to increase their efforts in coordinating and funding social service systems. This resulted in the modern era of human service contracting beginning in the 1960s with changes in federal policies (Shick & Martin, 2019; Smith & Lipsky, 1993). Previously, two

human service systems existed with little interaction between the systems. A public system was based on government funds and directed towards services for public clients while a private nonprofit system was based on donations and provided services for private clients. With changes in federal policies in the 1960s, the two systems became more interdependent (Lipsky & Smith, 1989; Smith & Lipsky, 1993).

Through federal appropriations and the ability to now contract with non-governmental agencies, state human service agencies were able to expand the types and number of services they could provide, expanding the role of nonprofit organizations for delivering public goods and services (Lipsky & Smith, 1989; Shick & Martin, 2019). The expansion of contracting allowed the public and private sectors to meet a wider variety and greater amount of service needs (Smith & Lipsky, 1993).

The expansion of the “contracting regime” brought public and nonprofit organizations together to collectively address social problems (Smith & Lipsky, 1993). As a result, the role of contracting “moved from the periphery to the center of the welfare state when states were given greater latitude in service delivery and eligibility standards as part of welfare reform” (Frederickson et al., 2016, p. 122). This expansion changed the service profile of nonprofit organizations in terms of their diversification of service provision and service users, financing, governance, operations, staffing (Smith & Lipsky, 1993).

The primary method of contracting during this nascent period of human service contracting was cost reimbursement due to lack of experience with contracting and concerns surrounding the proper use of funds (Shick & Martin, 2019). The concerns around granting governmental power and responsibility to nonprofit organizations spurred the creation of safeguards to protect against potential distortion of democratic processes (Smith & Lipsky,

1993). During this time, the priority of contract administration was financial accountability, with less importance placed on contractor performance or programmatic elements (e.g., quality, effectiveness) (Shick & Martin, 2019).

Towards the end of the 20<sup>th</sup> century, devolution and privatization shaped the provision of human services (Marwell, 2004). Devolution delegated the decision-making and responsibility for service provision from public to private HSOs (Austin, 2000) while privatization practices helped give rise to the use of the nonprofit sector for service provision (Salamon, 1995).

Over the past 50 years, public-private contracting has evolved from the original cost reimbursement approach to an approach that emphasized outputs (unit-of-service) and efficiency to a performance-based approach to hold contractors accountable for performance. These changes in approaches have reflected changing political administrations, economic cycles, policy reforms, public support, and citizen needs (Kettl, 2000; Salamon, 1993; Smith & Lipsky, 1993).

Today, HSOs rely heavily on the cadre of human service contractors to meet service needs and demands. NPOs play a prominent role in implementing programs and delivering services for HSOs (Chen & Graddy, 2010; Gazley, 2008, 2017; Peng & Lu, 2021; Smith & Lipsky, 1993; Sowa, 2009; Witesman & Fernandez, 2013). Based on a national survey of almost 3,000 NPOs with government contracts, Pettijohn et al. (2013) estimated that government agencies held 200,000 government contracts and grants with 30,000 human service NPOs worth almost \$81 billion. On average, the human service NPOs held seven contracts and/or grants with 25% of human service NPOs receiving funding from one government agency and 35% receiving funding from four or more government agencies.

Nonprofit HSOs comprise the majority of these contractors and deliver more public services than government agencies directly provide (Gazley & Brudney, 2007; Salamon, 1995;



Sowa, 2008). For public HSOs, contracting provides the benefits of “efficiency, flexibility, resilience, and new capacities” and for nonprofit HSOs, contracting provides “critical resources and legitimacy” (Jing & Hu, 2017, p. 192). Contracting has now become an integral part of how public organizations deliver human services (Cooper, 2003; DeHoog, 1985; Never & de Leon, 2017; Piatak & Pettijohn, 2021; Shick & Martin, 2019; Smith & Lipsky, 1993). Consequently, understanding the relationships forged between public and private HSOs is essential for ensuring the success and effectiveness of the provision of human services (Norris-Tirrell, 2014; Shick & Martin, 2019).

Public and private HSOs offer each other valuable resources, creating a mutually beneficial alliance, to fill gaps in each other’s resource portfolio. This shared reliance on each other creates a resource complementarity and benefits the public as it allows both parties to fulfill the public’s needs (Garrow, 2010). Public HSOs have the financial resources (via contracts) to support private HSOs. Private HSOs have access to more on-the-ground knowledge and interactions with service recipients (Norris-Tirrell, 2014). They have direct connections with specific populations and can connect public HSOs with a particular population or issue. Private HSOs are often more flexible and can nimbly adapt changing service user needs or embarking on new ventures (e.g., creating new programs or scaling up existing programs) (Norris-Tirrell, 2014).

The interdependence between the public and private sectors has continued to deepen as “[t]he nature and extent of the contemporary public-nonprofit relationship have created a web of mutual interdependence across the sectors” (Austin, Dal Santo, & Lewis, 2012, p. 109; also Smith & Lipsky, 1993). Government “contracting with nonprofit agencies to achieve public purposes in social services has become widespread” (Smith & Lipsky, 1993, p. 43) and

contracting has become “the most common form of government partnering” (O’Regan & Oster, 2000, p. 122) and nonprofit organizations continue to play an essential role in the social safety net (Smith & Phillips, 2016).

For government, managing a contractual relationship always incurs some type of cost (O’Regan & Oster, 2000). A potential drawback for contracting with nonprofit organizations includes their ability to bypass governmental regulations, responsibility, and accountability (DeHoog, 1985). This can lead to corruption or avoidance of contractual goals. For nonprofit organizations, disadvantages with contracting may include a reduction in autonomy, discretion, and specialized service efforts (DeHoog, 1985). As nonprofit organizations face pressures to conform to public organizations, they become more bureaucratic, less informal, rely less on participative processes and more on bureaucratic forms of decision-making (Smith & Lipsky, 1993).

#### 2.4.2. Approaches to Contracting in Human Service Organizations

PA scholarship on contracting for public services has largely been informed by agency theory or stewardship theory (Bertelli & Smith, 2010; Smith & Lipsky, 1993; Van Slyke, 2007). These theories are based on different assumption about the management of contracts. The first stream of research, based on agency theory, frames the contracting relationship in terms of the principal-agent model (Eisenhardt, 1989; Girth, 2022).

Agency theory is based on a market model of contracting, which emphasizes the roles of competition and efficiency (Johnston & Romzek, 1999). It focuses on accountability, prevention of opportunistic behavior, information asymmetry, adverse selection, and moral hazard. With roots in economics and political science, the underlying assumption is that a principal will

delegate work for the agent to execute, but the agent will instead pursue their own self-interests, to the detriment of the principal (Eisenhardt, 1989). These underlying assumptions of rationality, distrust, and goal conflict form the basis for the principal-agent perspective. As the principal is acting on behalf of the government, they have a responsibility to uphold and protect the public's preferences and resources. To prevent exploitative and self-serving behavior, principals implement control-oriented processes to align goals that will fulfill policy objectives and prevent agents from acting in accordance with their own self-interests that may comprise the shared objectives. As it is difficult for government (the principal) to closely oversee the activities of its contractors (the agents), mechanisms of control and performance measurement are used to mitigate risk and ensure accountability (Eisenhardt, 1989; Johnston & Romzek, 1999). These mechanisms include contract specification, monitoring, and enforcement.

The market model encourages competition between providers and the contracting relationship is viewed as merely a procurement process (Kettner & Martin, 1990) where government "can benefit from the efficiencies inherent in private markets" (Johnston & Romzek, 1999, p. 385). Government focuses on how best to "measure efficiency and effectiveness, negotiate contracts with a high degree of specificity on issues of program design and cost, encourage experimentation with alternative service delivery strategies, devote resources to the recruitment and development of pools-of potential contractors, and make contracting decisions primarily on the basis of price, other factors being equal" (Kettner & Martin, 1990, p. 17). A competitive model of contracting "emphasizes traditional bureaucratic control mechanisms" (DeHoog, 1990; p. 336; also Frederickson et al., 2016). This intensive monitoring of agents can be costly, time consuming, and challenging (Eisenhardt, 1989; Lambright, 2009).

Agency theory has guided much of the research on public-nonprofit contractual relationships (Gazley, 2008). However, this model of contracting is not always appropriate or feasible, especially in the human services (e.g., DeHoog, 1985, 1990; Girth et al., 2012; McBeath et al., 2019a). This is due to the lack of competition and limited suppliers for human services, which creates a sub-optimal market where contracts are often negotiated instead of following a competitively bidding process (DeHoog, 1985; Hefetz & Warner, 2012). With a limited market and lack of strong competition among providers, competitive contracting is often not possible, or effective, under these conditions (DeHoog, 1985; Hefetz & Warner, 2012; Lamothe, 2015). Organizational procedures or policy regulations may also restrict competition for contracts (DeHoog, 1985). It is often not possible to identify a clear connection between the provision of a service or program and the intended result on a population. As such, performance and outcomes are difficult to observe or measure (Frederickson et al., 2016; Van Slyke, 2007). This is in addition to the need for specialized and continual services and an environment that is characterized by limited resources, high complexity, and uncertainty (Carnochan et al., 2019; DeHoog, 1990; Hasenfeld, 2010; Romzek & Johnston, 2002; Van Slyke, 2007).

The second stream of research, based on stewardship theory, provides an alternative perspective to agency theory. Stewardship theory suggests that principals and agents (stewards) are likely to align with their shared interests, motives, and goals and will act in a collectively beneficial and trustworthy manner (Davis, Schoorman, & Donaldson, 1997; Van Slyke, 2007). Principals and stewards are seen less as adversaries and more as partners in a cooperative relationship (Davis et al., 1997; Van Slyke, 2007). Based on psychology and sociology, stewardship theory points to the relational aspects of contracting, which can supplement or even supplant costly contracting monitoring mechanisms (e.g., Carnochan et al., 2019). There is a

higher value placed on mutual interest and collective goals rather than on an agent's self-interest or individual goals. Stewardship theory emphasizes "goal convergence" (Van Slyke, 2007) as well as trust, goal alignment, relationship-building, cooperation, and reciprocity.

While early research focused on primarily on the accountability and performance aspects of human service contracting (e.g., Kettner & Martin, 1995), more recent work builds on these aspects with the recognition that contracting involves a relationship between contractual partners. For example, Amirkhanyan (2009) expands the conventional notion to demonstrate that "contracting dyads as merely buyers and sellers, or principals and agents, is insufficient" (p. 546). This has resulted in a shift from a predominantly principal-agent perspective of a contractual relationship towards a more principal-steward relationship where providers are viewed as stewards of the public interests and invested in the collective goals of the contractual relationship (Van Slyke, 2007). This perspective emphasizes the need for relational factors to build and sustain strong and stable relationships between HSOs and their contractual partners (e.g., Amirkhanyan, 2009; McBeath et al., 2019a; Van Slyke, 2007).

Relational contracting still relies on a formal contract to structure the contractual exchange but recognizes that relational mechanisms, such as informal norms and communication, can facilitate collective action, negotiation, cooperation, accountability, transparency compromise, flexibility, empowerment, stability, and collaboration in the contracting process (e.g., Amirkhanyan, Kim, & Lambright, 2012; Bertelli & Smith, 2010; Campbell & Lambright, 2017; Carnochan et al., 2019; Kettner & Martin, 1990; Lambright, 2009; LeRoux et al., 2019; McBeath et al., 2019a; Romzek & Johnston, 2002; Romzek et al., 2012; Van Slyke, 2007). This stream of research factors in the dynamics and problems that occur when traditional measures of accountability and performance are difficult to achieve or unnecessary

(e.g., Romzek & Johnston, 2005). Examining the relationships between contractual parties from this perspective provides a more comprehensive – and accurate – perspective of the complexity of public and nonprofit contractual relations.

Relational contracting is especially instrumental in the human services context. This is due to a lack of strong competition among providers (Hefetz & Warner, 2012; Lamothe, 2015), the need for long-term contractual relationships (Bertelli & Smith, 2010), and the difficulty in specifying all the contractual terms at the outset due to the uncertainty and complexity of the service delivery process and outcomes (Lu, 2016). When “services [are] characterized by uncertainty and performance measurement problems—it is unlikely that traditional command-and-control approaches to accountability will succeed” (Bertelli & Smith, 2010, p. i.26). This prevalence of “incomplete contracts” lends itself to adaptation of a relational approach for contract management.

While parties still rely on a formal contract for guiding service delivery, relational mechanisms complement the formal mechanisms. Unlike classical contracting which assumes a short-term, transactional exchange, relational contracting relies on trust and commitment (Van Slyke, 2007). It often develops into a long-term relationship with the service provider. Relational contracting is useful for highly specialized and complex services and is based on expectations for facilitating agreement, cooperation, and flexibility. When a service is difficult to define or hard to measure, involves uncertain or complex tasks, relational contracting fills a gap (Amirkhanyan et al., 2012; Bertelli & Smith, 2009; Van Slyke, 2007). Due to the uncertainty with delivering human services, both contractual parties can adapt and negotiate contingencies (Gazley & Brudney, 2007). This flexibility is desirable when services are highly specialized and complex.

#### 2.4.3. The Role of Contracts in Cross-Sector Collaboration in Human Service Organizations

The increase in need, specialized interventions, and limited resources requires new organizational approaches for implementing collaborative service arrangements. This includes a shift from rational to relational mechanisms for contracting with cross-sector partnerships (Hill & Lynn, 2003; Miltenberger & Sloan, 2017). While these partnerships have traditionally relied on a competitive model of service contracts, public and nonprofit HSOs are shifting towards a more collaborative nature of service delivery that employs contracting based on a shared model of decision-making, reciprocity, and trust between partners to align interests and goals (Amirkhanyan et al., 2012; Miltenberger & Sloan, 2017; Norris-Tirrell, 2014; Saidel & Searing, 2020).

Historically, collaboration and contracting have been viewed in direct opposition to each other, as each is rooted in divergent PA paradigms (Frahm & Martin, 2009; Jing & Hu, 2017). Despite this view that these relationships are inherently antagonistic, “collaboration and contracting are not antithetical to one another” (Van Slyke, 2009, p. 140). Across sectors, there is increasing interest and inclination for stakeholders to be viewed as partners in a collaboration, rather than simply as contractors or funding recipients (Fosler, 2002).

Through a relational lens, the role of public-nonprofit human service contracting is seen as a “mechanism for enabling government human services contracting agencies and contractors to join together as partners in joint ventures designed to maximize the outputs of a state or community human service system through collaborative action” (Kettner & Martin, 1990, p. 16). This allows for the maximization of outputs and benefits for every contractual partner, and to achieve the best outcomes for service users.

Collaboration and contracting are distinct but often overlap as “successful contract relationships often involve some degree of collaboration between the buyer (government) and seller (nonprofits)” (Van Slyke, 2009, p. 140). The use of formal agreements can help support accountability, clarify expectations, and mitigate risks. This argument for the coexistence of collaboration and contracting regards contracts as complementary and supplementary to collaborative initiatives. Brudney, Cho, and Wright (2009, p. 117) agree that contracts “may qualify as fitting under the rubric of collaboration.” The increasing use of contracting as a collaborative mechanism (Bertelli & Smith, 2010) is useful for “assessing and explaining patterns of government–nonprofit relationships” (Salamon & Toepler, 2015, p. 2169).

HSOs use contracts to structure the formalization of collaborative arrangements. These formal documents provide clarity around roles, support accountability, and specify details of a contractual arrangement (Cheng, 2019b; Bryson et al., 2006; Peng et al., 2020).

This dissertation builds on this small and nascent body of research that explores the collaborative relationships between public HSOs and private HSOs that are formalized through the use of contractual agreements. Weaving together the research strands of collaborative governance, HSOs, public and private contracting, I next apply Ansell and Gash’s (2008) Collaborative Governance Framework to examine HSO collaborative outcomes within a contractual service arrangement.



## **Chapter 3. Theoretical Framing and Propositions for Theoretical Expansion**

### **3.1. Introduction**

This chapter presents the theoretical framework I use to guide my study on collaboration in HSOs. First, I provide an introduction and overview of the Ansell and Gash (2008) Collaborative Governance Framework. Next, I use this framework to develop my hypotheses for validating the existing Framework in a human services context (Model 1), proposing additional factors to the Framework that are relevant in the human services context (Model 2), and expanding the Framework to incorporate the validated and new factors (Model 3). I test these hypotheses in Chapter 4 to identify the factors that can impact successful collaborative outcomes between public and private HSOs.

### **3.2. Ansell and Gash's Collaborative Governance Framework**

Ansell and Gash (2008) propose a framework for understanding collaborative governance in the public sector (Figure 3.1). Their framework is the result of an analysis of 137 cases of collaboration that identified the most relevant and influential factors for a successful collaborative initiative. Ansell and Gash define collaborative governance as “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” (2008, p. 544). Ansell and Gash (2008) acknowledge that while their definition is more bounded than other conceptualizations of collaboration, these restrictions were created intentionally. They emphasize that collaboration is a formal effort initiated by a public organization but includes non-state

stakeholders in a shared decision-making process with the goal of achieving consensus.

Collaboration encompasses the policy-making aspects of the governing process as well as the management and implementation aspects.

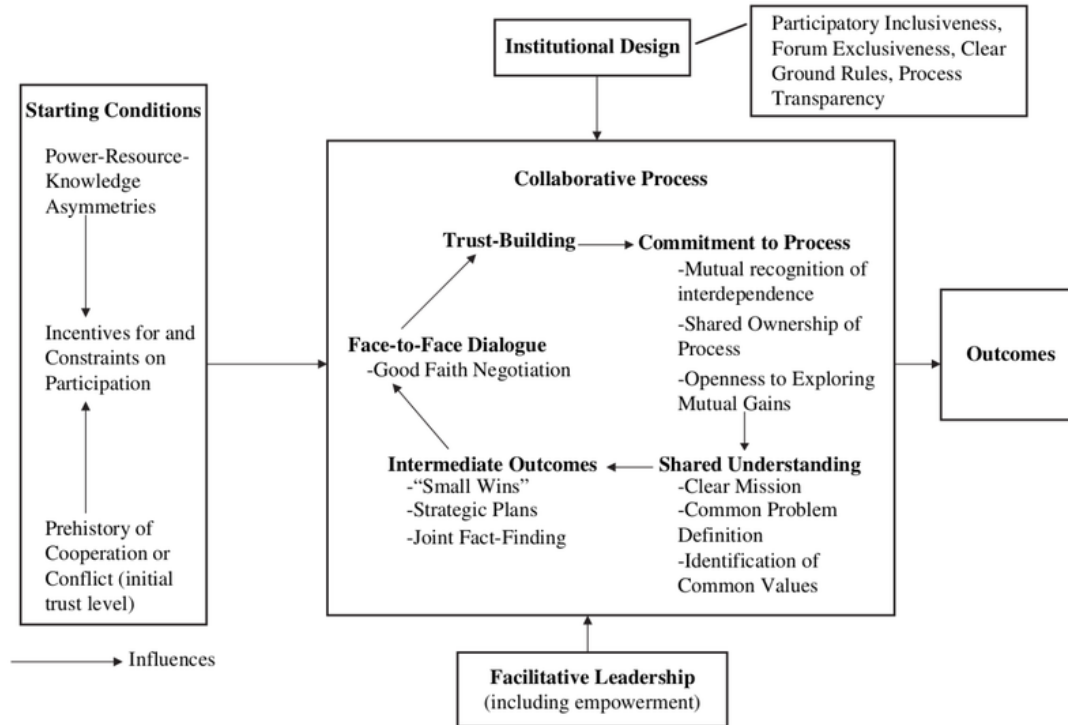
Their framework identifies four broad conditions that are instrumental to achieving a successful collaborative outcome: Starting Conditions, Institutional Design, Collaborative Process, and Facilitative Leadership (Ansell & Gash, 2008). Each of these four conditions consist of multiple elements. *Starting Conditions* at the outset of collaboration impact whether an effort will be successful or not. Power or resource imbalances, incentives for collaboration, and a history of working together can become “resources or liabilities during collaboration” as they affect the trust, conflict, and cooperation between partners (Ansell & Gash, 2008, p. 550).

*Institutional Design* includes the ground rules and processes needed for collaboration. These should be open and transparent for all stakeholders to participate in the process. The

*Collaborative Process* is a cyclical and iterative process that requires the stakeholders to build trust, commit to the process, establish a shared understanding of the problem, achieve intermediate outcomes (“small wins”), and engage in productive dialogue with each other.

*Facilitative Leadership* involves the skills and qualities to steward a collaborative effort and empower stakeholders throughout the process.

Figure 3.1. Ansell and Gash's (2008) Collaborative Governance Framework



This framework is a useful and relevant lens for examining HSOs engaging in collaborative relationships with contractual partners for several reasons. Ansell and Gash (2008) take into consideration the participants, processes, structures, and outcomes that are involved in collaboration. The framework also identifies the context and starting conditions for collaboration, recognizing that collaboration does not appear in a “void” without any effort or precursors. The defining criteria create specific boundaries around “collaboration” that are germane for theory building, while also remaining comprehensive enough to capture the dynamics of this phenomenon. The six criteria align with how HSOs engage in collaborative

relationships through contractual agreements (e.g., initiated by a public organization, deliberate, and formal).

Based on the framework, Ansell and Gash propose ten propositions “for further empirical testing and theory elaboration” (2008, p. 562). This framework has guided considerable research in PA across numerous policy areas (e.g., Douglas et al., 2020; Johnston et al., 2011; Lee & Hung, 2021; Ramadass, Sambasivan, & Xavier, 2018; Vangen, Hayes, & Cornforth, 2015) as well as in complementary fields, including public health (e.g., Douglas & Ansell, 2021; Nowell & Harrison, 2010), emergency management (e.g., Deverell, Alvinus, & Hede, 2019), planning (Deyle & Wiedenman, 2014), and resource management (e.g., Brown, Langridge, & Rudestam, 2016). In the human services literature, this application is still limited (e.g., Chandler, 2017; Hodges et al., 2013).

### 3.3. Applying the Framework for Collaboration in Human Service Organizations

I apply the Ansell and Gash (2008) Collaborative Governance Framework in a HSO context to address my research question: *What factors impact the success of cross-sector collaborative outcomes between public HSOs contracting with private HSOs?*

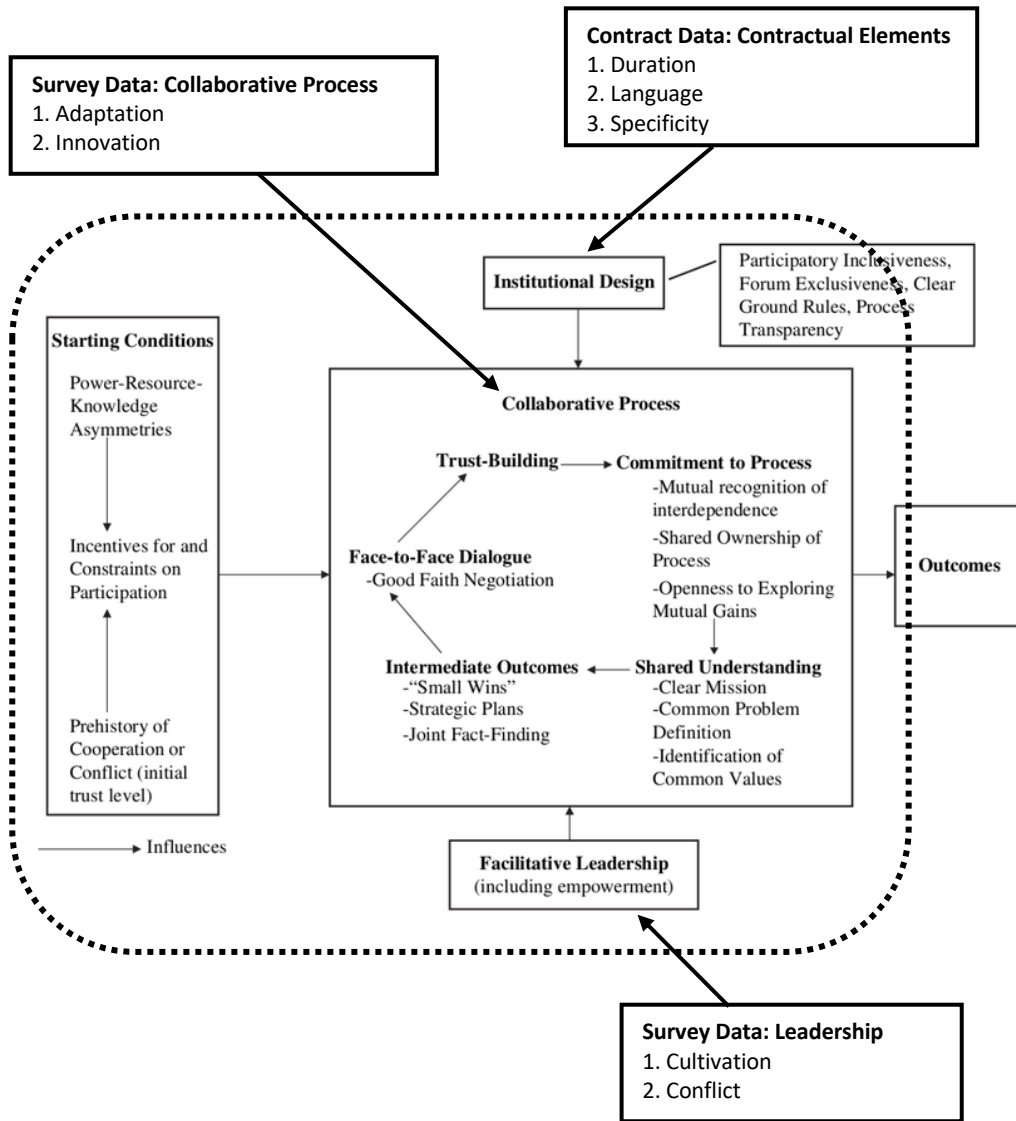
I develop hypotheses around factors that may facilitate or impede successful collaboration between public HSOs contracting with private HSOs. These factors include the formal factors (contractual elements) and the informal/relational factors (relationship elements). I use survey data from individual-level HSO contractors paired with contract data to examine collaboration in a human service context where HSOs engage in contractual partnerships.

Figure 3.2 shows the application of the framework for this study. First, I tested the variables in the existing framework (within the dotted lines) to validate the factors and processes

relevant to collaboration in the human services context. Second, I proposed adding additional factors (seen in the three boxes) that may also impact the success of a collaboration effort between public HSOs and private HSOs. These additional variables are not accounted for in the framework but are relevant in the human services and may impact cross-sector collaboration between contractual partners in public and private HSOs. Third, I combined the existing factors with the proposed additional factors to expand the framework to capture collaboration in HSOs (combination of variables from within the dotted line and boxes).

Model 1 contains the first set of propositions and pertains to validating the existing framework in the context of public and private HSOs engaged in collaborative relationships. As identified earlier, there is a dearth of research that has applied this framework to collaborative initiatives in the context of human services, especially for organizations engaged in a contractual service arrangement. This model does not contain any “new” hypotheses but utilizes the existing framework for the validation of the identified constructs and variables in a novel context. Model 2 contains the second set of propositions which are informed by extant research and seek to identify additional conditions or factors that may also be beneficial to collaboration while also accounting for the human services context. These additional variables are either (a) not specified in the existing framework or (b) aggregated at such a broad level that a more granular and specific detailing is needed. Model 3 includes the third set of propositions which is a combination of the elements from the existing framework (Model 1) with the proposed additional elements (Model 2) to propose an expanded framework that considers both the general elements of collaboration in conjunction with the context, features, needs, and constraints of HSOs collaborating within contractual arrangements.

Figure 3.2. Application of Framework in This Study



### 3.4. Successful Collaborative Outcomes

Broadly, collaboration success can be thought of as “the perception among program staff that their collaboration efforts are achieving what they intended to achieve, work smoothly, and are reasonably productive” (Chen, 2008, p. 352). There is consensus that the purpose of collaboration, functionally and normatively, should improve the well-being of individuals,

organizations, and society (e.g., Austin & Seitanidi, 2016; Huxham et al., 2000; Vernis et al., 2006). And that these benefits are magnified for each individual entity as a result of collaboration than they would be otherwise. But what these “outcomes” are and how they benefit different entities is often ambiguous in the literature. Scholars often describe “collaborative outcomes” in terms of goal achievement, performance, service delivery or provision, or public value (e.g., Arya & Lin, 2007, Austin & Seitanidi, 2016; Bardach, 1998; Chen, 2008). Most scholars refrain from elaborating any further what they mean by using the term “collaborative outcomes” or when they use other terms to describe outcomes of collaboration due to its complexity.

I included multiple dependent variables in this study for several reasons. First, “collaborative outcomes” is a multi-dimensional construct with multiple criteria. Measuring different dimensions of a construct improves precision and specification, especially when it is composed of several latent variables which cannot be directly observed or measured. Second, as identified above, most research identifies a collaborative outcome as a broad, vague idea. Measuring and operationalizing specific aspects of collaborative outcomes produces a better understanding, improves application of findings, and points to several avenues for further research.

Based on Ansell and Gash’s (2008) conceptualization of successful collaboration, I identified two distinct constructs to capture the different dimensions of successful collaborative outcomes between public and private HSOs – the quality of the relationship between stakeholders and the accomplishment of goals (organizational and client goals). *Relationship quality* focuses on the interpersonal, relational outcomes of collaboration while *goal achievement* focuses on the task-oriented outcomes. Both components of collaborative outcomes have short-term and long-term effects on HSOs, employees, and ultimately, service users. There is often

imbalanced focus between the tasks and the relationships underpinning a collaborative effort in the extant research, despite the need for both to avoid dysfunction in practice.

I operationalized and measured the different dimensions of *successful collaborative outcomes* as the *relationship quality* between collaborative partners and *goal achievement*, comprised of the two dimensions of *organizational goals* and *client goals*.

### 3.4.1. Relationship Quality

One important outcome of collaboration is the stakeholders' relationship with their collaborative counterparts. While *goal achievement* is a necessary component in determining successful collaborative outcomes (e.g., Chen, 2008), it is not a sufficient measure by itself. At its core, collaboration involves the relationships that form in the pursuit of a shared purpose.

Relationships reflect the social dimension of collaboration, especially in HSO contractual partnerships (Bunger et al., 2018). As such, it is important to also evaluate the relational outcomes of collaboration to capture how well the stakeholders work together (e.g., Atouba & Shumate, 2020). With the prevalence of contractual arrangements in HSOs, the importance of relationships becomes more salient.

*Relationship quality* is based on the personal bonds established and the strength of the reputation between collaborative partners. This includes the social capital that has developed – the level of goodwill, trust, and respect between stakeholders – that becomes the “glue” of collaborative relationships (Chen, 2008). The quality and strength of relationships can ameliorate or aggravate collaborative efforts, and thereby collaborative outcomes. Collaboration transcends basic goal attainment and emphasizes the role of the people involved and the relationships created in order to sustain the effort. Collaboration is more than a one-time, transactional



exchange that occurs in isolation. Instead, collaborative efforts rely on the interactions and relationships of collaborative partners, especially in a contractual arrangement. There is value in the continuity of these relationships (Vernis et al., 2006) as these relational ties can become stronger over time and affect the likelihood of the success of a collaboration. Enduring relationships can improve partners' intent to continue collaborating, facilitate collaborative processes, overcome challenges, and lead to better collaborative outcomes in the future.

### 3.4.2. Goal Achievement

There are two assumptions that are foundational to the goals of collaboration (May & Winter, 2007). First, collaboration will improve an organization's ability to provide services in the form of cost reductions, improvements in efficiency, and increased flexibility and innovation. Second, this will ultimately lead to improved service outcomes for service recipients.

*Goal achievement* consists of two dimensions: (1) *organizational goals* and (2) *client goals*. While related, these goals are distinct from each other as they serve different functions. In addition, the achievement of one type of goal does not necessarily translate into the achievement of the other. The fundamental purpose of HSOs is to improve the well-being of the people they serve. Achieving organizational-level goals is the means or the process to achieve the end goals, the goals of the service users. The purpose of a high-functioning organization becomes irrelevant if it is not actually serving its constituents, and collaboration will not be successful.

The first dimension of *goal achievement* is the accomplishment of goals that meet requirements central to the organization's mission and performance to continue operating. *Organizational goals* are the "conceptions of desired ends" (Scott & Davis, 2007, p. 36). They provide the criteria for decision-making, guiding the selection among alternative choices, and

directing action (Scott & Davis, 2007). For HSOs, these goals may consist of the ability to fulfill their mandates, deliver on their contractual obligations through program implementation, and attain their missions. *Organizational goals* are important to evaluate in and of themselves, but they also have repercussions for service users. Achieving these goals does not necessarily translate into meeting the needs of service users or leading to successful service outcomes. Ideally, organizations should align their goals with service user outcomes in an effort to meet service user needs.

The second dimension of *goal achievement* is the accomplishment of goals that meet the needs of the service recipients – the *client goals*. These goals are critical to the well-being of society (Ramadass et al., 2018). As HSOs are charged with improving society’s well-being, “the focus should be on the extent to which social problems are resolved or ameliorated” (Chen, 2008, p. 352). While the goals of an organization are often intended to develop and improve systems internal to the organization, their achievement can lead to the attainment of goals that benefit service users (Mensing, 2017; Vernis et al., 2006), ultimately leading to desirable societal outcomes (Ramadass et al., 2018). *Client goals* consist of the organization’s ability to ensure the availability, accessibility, and quality of services to the appropriate target population(s). Over time, these goals translate into service users’ outcomes, such as health status, stability, safety, development, well-being) (Mensing, 2017). Service users are the reason for the existence and purpose of collaborative arrangements. If service users are not benefitting from collaborative arrangements, organizations need to re-prioritize their goals and approaches for collaborative service delivery to improve and sustain service user outcomes.

In summary, the outcome of interest for this study was *successful collaborative outcomes* in cross-sector collaborations between public and private HSOs. This was operationalized and

measured as the *relationship quality* between collaborative partners and *goal achievement*, comprised of the two dimensions of *organizational goals* and *client goals*. In the following section, I identify the factors that impact *successful collaborative outcomes* and develop testable hypotheses.

### 3.5. Model 1 – Validation of the Framework in Human Service Organization

The purpose of Model 1 is to validate the Ansell and Gash (2008) Collaborative Governance Framework in a human services context. I develop propositions based on the four broad conditions in the Framework (Figure 3.2) to assess how collaboration between public and private HSOs impacts the two dimensions of successful collaborative outcomes: *relationship quality* and *goal achievement* (comprised of *organizational goals* and *client goals*).

For the Starting Conditions, I assess the relationship duration and the fiscal dependence between the private and public HSOs. For Institutional Design, I assess the ownership type of the private HSOs (nonprofit or for-profit). For Collaborative Process, I assess private HSO organizational members' experience and perceptions with their public HSO counterparts. I assess their level of trust (comprised of credibility and benevolence), their commitment to the collaborative process, their shared understanding of the collaboration's purpose or goal, their ability to make incremental progress and momentum, and their ongoing communication about the collaboration. For Facilitative Leadership, I also assess private HSO organizational members' experience and perceptions with their public HSO counterparts with respect to the facilitation of the process and tasks associated with collaboration.

### 3.5.1. Starting Conditions

Ansell and Gash (2008) identify three elements that comprise Starting Conditions. These are power, resource and knowledge asymmetries, incentives for and constraints against participation, and prehistory of cooperation and conflict (initial trust level). These elements are important at the outset of collaboration and can either “become resources or liabilities during collaboration” (p. 550). I examine Starting Conditions using (1) the duration of the contracting relationship between the public and private HSOs and (2) the financial dependence of the private HSOs on the public HSOs.

#### 3.5.1.1. Relationship Duration

Previous efforts to collaborate can affect future willingness and receptivity to collaborate (Thomson & Perry, 2006). A history of working together can also influence the success of a collaborative effort (Gray, 1989; Mattessich & Monsey, 1992). This history “can create social capital and high levels of trust that produce a virtuous cycle of collaboration” (Ansell & Gash, 2008, p. 553). Repeated interactions over time can generate social capital (Gulati, 1995; Ring & Van de Ven, 1994), which enable partners to engage in collaborative work that extends beyond traditional bureaucratic structures. Well-established collaborative relationships are more likely to create higher levels of trust as well as exchange more resources (Bunger, 2013).

However, a history of conflict or distrust between partners can lead to “a vicious cycle of suspicion, distrust, and stereotyping” (Ansell & Gash, 2008, p. 553). This is likely to result in a reluctance continue the collaborative relationship (Ansell & Gash, 2008; Gray, 1989; Thomson

& Perry, 2006). When there is a history of conflict and antagonism, it can be difficult to move forward expecting that the relationship will be different or better (Miltenberger & Sloan, 2017).

However, prior success in the past does not necessary lead to continued contractual partnership effectiveness (Chen & Graddy, 2010). In addition, the length of a collaborative relationship does not necessarily reflect the quality or effectiveness of a relationship or lead to successful collaboration.

In contractual relationships, a prior shared history can shape the expectations and anticipations of contractors when seeking new or renewals of contracts (Miltenberger & Sloan, 2017). An established and ongoing contractual relationship between partners is thought to instill trust, credibility, knowledge accumulation, and a commitment to continue working together (Bertelli & Smith, 2010; Murphy & Robichau, 2016). Repeated interactions over time and a history of working together affect the trust between partners (Gulati, 1995; Lambright, 2009; Ring & Van de Ven, 1994; Van Slyke, 2007). Over time, developing familiarity and trust with partners leads to economic exchanges transforming into relational exchanges (Ring & Van de Ven, 1994). All of these are likely to lead to continued collaboration success – as well as future collaboration success.

The Wilder Collaboration Factors Inventory (Mattessich, Murray-Close, & Monsey, 2001) is a validated instrument for assessing factors for successful (community) collaboration. One factor assesses the history of working together with the question-item that addresses “history of collaboration or cooperation in the community.” In the literature, Chuang et al. (2020) use this factor to measure relationship duration in their survey asking human service private HSOs about their contractual relationships with public HSOs. Peng et al. (2020) measure nonprofit organizations’ intention to collaborate with government agencies by asking human

service nonprofit respondents to indicate the number of years they have collaborated with the government agency they most often collaborate with.

Based on the mixed evidence from research, it is unclear the directional impact relationship duration will have on a collaborative arrangement. Accordingly, I propose non-directional hypotheses:

H1<sub>a</sub>: The length of a relationship is associated with collaborative relationship quality in HSOs.

H1<sub>b</sub>: The length of a relationship is associated with collaborative goal achievement in HSOs.

#### 3.5.1.2. Fiscal Dependence

Resource dependence helps explain why organizations decide to collaborate with other organizations (e.g., Gazley & Brudney, 2007; Thomson & Perry, 2006). An organization's financial or resource dependence on another organization can affect the impetus for the formation of a collaborative relationship, the collaborative process itself, and ultimately the outcome of a collaboration. The reliance an external organization for resources informs an organization's strategic decision-making, such as deciding whether to enter, continue, or terminate a collaborative arrangement.

Based on resource dependence theory, organizations align with other organizations to secure the resources necessary for their own survival, stability, or growth (Emerson, 1962; Pfeffer & Salancik, 1978). Dependence is an important factor in understanding interorganizational relationships as it can impact the development of these relationships (Malatesta & Smith, 2014; Van de Ven & Walker, 1984). Resource dependence can create incentives to collaborate, since it can lead to the increase of resources or allow for the exchange of needed resources. Additional benefits include increased access to resources and legitimacy (Graddy & Chen, 2006) and the ability to weather uncertainty better (Guo & Acar, 2005). This

can come in the form of additional information and knowledge, financial resources, access to clients, increased capacity, skills, people, and time. For nonprofit organizations, this dependence can take the form of service contracts with public HSOs, to secure financial resources or client referrals (Chen, 2010). This can allow for an expansion and scaling-up of services and activities for clients, increased legitimacy and reputation, and a reduced need to compete for scarce resources.

However, there are trade-offs and costs with these types of relationships. These include the potential loss of autonomy, diffusion of accountability, or exploitation (Guo & Acar, 2005; Malatesta & Smith, 2014). Dependence on another organization creates power imbalances (Emerson, 1962) and it can lead to tensions and conflict as it underpins the processes and social interactions among individuals and organizations (Pfeffer & Salancik, 1978).

In human services, public HSOs increasingly rely on private organizations as essential service delivery partners (Gazley & Brudney, 2007; Smith & Lipsky, 1993; Van Slyke, 2003). This increasing reliance on nonprofit participation in service delivery arrangements has led to a “reciprocal dependence” between cross-sector partners (Lu, 2015). This interdependence on resources “is a commonly observed characteristic of the relationship between government funders and private social service providers” (Graddy & Chen, 2006, p. 536). Private HSOs often provide access to and knowledge of clients and the capacity to deliver services while public HSOs provide the funding and client referrals (Cheng, 2019b; Graddy & Chen, 2006).

Despite this interdependence, private HSO providers are often more reliant on government service contracts for funding to sustain operations and provide services than vice versa (Graddy & Chen, 2006). This imbalance of dependence is due to limited size, capacity, and funding. The unidirectional flow of resources creates a resource imbalance (Austin & Seitanidi,

2016). A nonprofit's lack of financial stability may affect their willingness to alter their mission to secure a government contract (Smith & Lipsky, 1993). If a nonprofit's survival is largely dependent on a single government contract, they may change their behavior to satisfy their funder (Amirkhanyan, 2009). Nonprofit organizations are vulnerable to mission drift as they become subject to bureaucratic processes and control measures, which may result in goal displacement and reduced flexibility in decision-making (Salamon, 1995).

Fiscal dependence on an external funding agency may impact collaboration but there is mixed evidence as to whether a high-level or low-level of dependence drives collaboration (e.g., Amirkhanyan, 2009; Guo & Acar, 2005). Nonprofit organizations with a higher resource dependency may be more likely to seek out a collaborative partner and formalize the relationship through a contract (Amirkhanyan, 2009). Alternatively, less dependence on government funding for revenue streams may lead to more collaboration (Guo & Acar, 2005). There is also support that government funding positively impacts nonprofit organizations' intentions to continue collaboration with their government partner (Peng et al., 2020).

The research indicates that fiscal dependence can impact a collaborative arrangement, but the direction of this effect is unclear. As such, I propose non-directional hypotheses:

H2<sub>a</sub>: The financial dependence of private HSOs on government contracts is associated with collaborative relationship quality in HSOs.

H2<sub>b</sub>: The financial dependence of private HSOs on government contracts is associated with collaborative goal achievement in HSOs.

### 3.5.2 Institutional Design

Ansell and Gash (2008) identify four elements that comprise Institutional Design. These are participatory inclusiveness, forum exclusiveness, clear ground rules, and process transparency.



These elements establish the structures and processes under which collaboration occurs and is legitimized (Ansell & Gash, 2008). I examine Institutional Design using the ownership status of the private HSOs (nonprofit or for-profit).

#### 3.5.2.1. Organizational Ownership

Organizational ownership can impact the collaborative relationships between public and private HSOs. Nonprofit organizations are often perceived as more trustworthy than for-profit organizations due to their goal alignment and shared mission with public organizations (Lamothe & Lamothe, 2012a; Smith & Lipsky, 1993; O'Regan & Oster, 2000; Van Slyke, 2007, 2009; Witesman & Fernandez, 2013) and their non-distribution constraint (Heinrich, 2000; Lamothe & Lamothe, 2012b; Witesman & Fernandez, 2013). Nonprofit organizations often align closely with public organizations in terms of their shared interests and goals to protect and support the public interest (Salamon, 1995; Witesman & Fernandez, 2013). This is particularly evident in the human services as “nonprofits by virtue of their organizational form, specialized missions focused on poverty reduction and client stability, governance structures, the resource-interdependent nature of their funding relationship with government, as well as the incomplete nature of social services contracts may well contribute to their being a closer alignment with government’s goals” (Van Slyke, 2007, p. 16). Nonprofit organizations are perceived to be less likely to act in an opportunistic manner and “benefit from exacerbating informational asymmetry, cutting costs, and taking advantage of the client welfare” (Amirkhanyan, 2010, p. 743; Amirkhanyan et al., 2012).

The ownership of an organization refers to its funding structure and to whom will benefit from the provision of services (e.g., efficiency gains, innovation, profits) (Hefetz & Warner,

2012). Public organizations are owned and funded by the government whereas private organizations are owned by individuals and rely on private funds. Unlike for-profit organizations, both public and nonprofit organizations are not profit-driven and must reinvest surplus revenue towards their stated missions (Witesman & Fernandez, 2013). The organizational form of an organization “establishes a primary pretext for expecting differences in the activities and performance of nonprofit and for-profit organizations that deliver similar public services” (Heinrich, 2000, p. 234). In contractual arrangements, relationships are often perceived, structured, and managed differently based on the organizational form (Witesman & Fernandez, 2013).

The assumption that all nonprofit organizations are mission-oriented, promote the social good, and have a “socially responsible nature” (Amirkhanyan, 2010; Amirkhanyan et al., 2012) is not always aligned with reality. The trust in nonprofit organizations may be displaced as nonprofit organizations may not share the same goals or interests as public organizations (Amirkhanyan, 2010). For example, public organizations have multiple constituencies whereas nonprofit organizations are usually accountable to a smaller stakeholder group (Andrews & Entwistle, 2010; Witesman & Fernandez, 2013) that may include non-governmental stakeholders. In addition, nonprofit organizations may be politically- or ideologically-based, focusing their efforts on serving targeted services to a specialized subset of the population (Witesman & Fernandez, 2013), making them less inclined to include broader service interests and needs that public organizations must meet (Andrews & Entwistle, 2010). Conversely, there are instances where public HSOs must provide specific services to designated recipients who meet certain eligibility requirements whereas private HSOs may have more latitude and discretion in the populations they serve.

Nonprofit organizations have their own organizational challenges to contend with which may interfere with their ability to collaborate successfully with public organizations (e.g., dysfunctional management, accountability pressures from funders, legal constraints, and different priorities for service recipients). For example, if a nonprofit is managing multiple contracts across multiple providers, it may prioritize one funder over another, neglecting or avoiding their contractual responsibilities (Witesman & Fernandez, 2013).

While the precariousness of nonprofit organizations' funding may make them more likely to agree to a contractual arrangement to secure funding (Smith & Lipsky, 1993), they may also have more discretion in terms of negotiating a longer contractual period, are often subject to fewer monitoring requirements than their for-profit counterparts and are more likely to receive contracts for services that are difficult to specify and measure (Witesman & Fernandez, 2013). While for-profit organizations are often viewed as uncaring and profit-driven, they have the financial assets and capacity to provide large-scale services (O'Regan & Oster, 2000). They are often less sensitive to changes or disruptions in funding than nonprofit organizations (Witesman & Fernandez, 2013).

The divergent perspectives in the literature indicate that an organization's status as a nonprofit can affect a collaborative arrangement but the directional effect of this relationship is unclear. As such, I propose non-directional hypotheses for organizational ownership:

H3<sub>a</sub>: The status as a nonprofit organization is associated with collaborative relationship quality in HSOs.

H3<sub>b</sub>: The status as a nonprofit organization is associated with collaborative goal achievement in HSOs.

### 3.5.3. Collaborative Process

Ansell and Gash (2008) identify five “sustaining” factors that comprise Collaborative Process, which is a “highly iterative and nonlinear” cycle (Ansell & Gash, 2008, p. 550). These are trust-building, commitment to the process, shared understanding, intermediate outcomes, and face-to-face dialogue. I examine each of these five elements separately.

#### 3.5.3.1. Trust

Trust between stakeholders is necessary for successful collaboration (Emerson et al., 2012; Gulati, 1995; Guo & Acar, 2005; Huxham, 2003; Huxham & Vangen, 2005; Jing & Hu, 2017; Lawson, 2004; Mattessich et al., 2001; Ring & Van de Ven, 1994). Trust is the

common belief among a group of individuals that another group will: (1) make "good-faith efforts to behave in accordance with any commitments both explicit and implicit," (2) "be honest in whatever negotiations preceded such commitments," and (3) "not take excessive advantage of another even when the opportunity is available (Cummings & Bromiley, 1996, p. 303).

Trust commonly involves ability, benevolence, and integrity and “[a]s a set, these three appear to explain a major portion of trustworthiness” (Mayer, Davis, & Schoorman, 1995, p. 717).

Interorganizational trust involves dependability, predictability, and faith in the partner (Fernandez, 2009).

Trust is an essential component of collaboration for several reasons. Trust facilitates interactions between collaborative partners, and individuals in trusting relationships are more likely to perceive and interpret their counterpart’s behavior as fair and reliable (Zaheer, McEvily, & Perrone, 1998). This also leads to the belief that a counterpart’s information is credible and that they are likely to fulfill their obligations in the relationship (Mayer et al., 1995). Trust helps reduce transaction costs in exchange relationships (Thomson et al., 2009; Williamson, 1979) and

can replace authority and control mechanisms (Mayer et al., 1995). A trusting relationship can help mitigate risk, uncertainty, and vulnerability (Vangen & Huxham, 2004).

Based on the strong support in the literature for the benefits of trust in a collaboration arrangement, I propose:

H4<sub>a</sub>: Building trust among stakeholders is positively associated with collaborative relationship quality in HSOs.

H4<sub>b</sub>: Building trust among stakeholders is positively associated with collaborative goal achievement in HSOs.

#### 3.5.3.2. Commitment

Ansell and Gash (2008) identify three elements that comprise Commitment to the Process. These are mutual recognition of interdependence, shared ownership of the process, and openness to exploring mutual gains. Commitment is based on an attachment that encourages repeated exchanges between actors (Cook & Emerson, 1978).

Commitment pertains to the mutual recognition or joint appreciation of the effort. There is an element of reciprocity that affects whether stakeholders will continue their commitment (Thomson & Perry 2006). This can “further reinforce confidence in the legitimacy and efficacy of the collaborative dynamics” which confirms the “bonds of shared commitment” and “enable participants to cross the organizational, sectoral, and/or jurisdictional boundaries that previously separated them and commit to a shared path” (Emerson et al., 2012, p. 14). Stakeholders feel invested in the relationship, that they have some ownership in the process and the outcome. Commitment helps overcome the transaction costs associated with a collaborative effort and is important as collaboration requires persistence to address unexpected contingencies and resolve challenges (Huxham & Vangen, 1996).

Commitment to a collaboration can be understood through relational factors and instrumental factors (Peng et al., 2020); Allen & Meyer, 1990). It is the result of individuals' behaviors and attitudes (Mowday, Steers, & Porter, 1979). Behavioral commitment manifests through the actions of individuals and their willingness to exert considerable effort (Mowday et al., 1979). Attitudinal commitment exists when "an individual identifies with a particular organization and its goals and wishes to maintain membership in order to facilitate these goals" (Mowday et al., 1979, p. 225). This combination of identification and involvement results in an active desire and effort to contribute to an organization (Mowday et al., 1979).

As the literature supports the positive influence of commitment in a collaborative arrangement, I propose:

H5<sub>a</sub>: Demonstrating commitment to the collaborative process is positively associated with collaborative relationship quality in HSOs.

H5<sub>b</sub>: Demonstrating commitment to the collaborative process is positively associated with collaborative goal achievement in HSOs.

#### 3.5.3.3. Shared Understanding

Ansell and Gash (2008) identify three elements that comprise shared understanding. These are a clear mission, a common problem definition, and identification of common values. In the literature, shared understanding is also known as a "common purpose" or "common goals" or "shared vision" between stakeholders (e.g., Huxham, 2003). A shared understanding in a collaborative relationship requires that all stakeholders agree on the problem as well as how to move forward with a collective solution to address the problem (Bryson et al., 2015). Shared understanding also comprises an acknowledgement of one's own role in the effort as well as the

role of every stakeholder (Vernis et al., 2006). A mutual understanding of the collaborative effort avoids problem-avoidance or conflict, lending itself to more productive activities.

In addition to a shared agreement of what can be achieved working together, “successful collaboration requires an alignment or compatibility of goals across partner organizations” (Chen, 2008, p. 352). Setting common goals and striving towards a mutually compatible mission also serves to develop a common objective between stakeholders (Vernis et al., 2006).

The literature affirms the benefits of shared understanding in a collaborative arrangement and so I propose:

H6<sub>a</sub>: Sharing common goals and purpose for the collaboration is positively associated with collaborative relationship quality in HSOs.

H6<sub>b</sub>: Sharing common goals and purpose for the collaboration is positively associated with collaborative goal achievement in HSOs.

#### 3.5.3.4. Incremental Gains

Collaboration is an incremental and gradual process (Huxham, 1993). Building momentum and achieving mutual gains during collaboration is vital to keeping the collaborative effort moving forward (Ansell & Gash, 2008). These gains are “critical process outcomes that are essential for building the momentum that can lead to successful collaboration” (Ansell & Gash, 2008, p. 561).

A key to maintaining momentum is to produce “quick wins” along the way – especially early on in the process (Chen, 2008). This entails meeting milestone and making progress, which is more focused on about the action and effort of moving forward than it is with the achievement of a particular goal. These small successes can sustain the interest of stakeholders and incentivize continuation in the process (Chen, 2008). Achieving “small wins” demonstrates follow-through

(Huxham & Vangen, 2005). This can be used to build trust and commitment, which builds on itself incrementally over time (Vangen & Huxham, 2003).

A lack of momentum and progress can stall progress, leading to “collaborative inertia” (Huxham, 1996). A lack of momentum can also weaken trust, shared interests, and commitment to the process (Droppa & Giunta, 2015). Incremental steps consist of marginal, attainable, and concrete adjustments (Bryson, 1988; Mattessich et al., 2001). These rarely involve substantial risk and produce a “concrete, completed, implemented outcome of moderate importance” (Weick, 1984). Incremental progress is especially important when there is high risk and uncertainty.

When building on the small wins, everyone can see the advantages of sharing resources, information, and expertise (Vangen & Huxham, 2003). Seeing the impact of their collective action and progress can increase joint ownership of the process and enhance interdependence. This can overcome the initial distrust, uncertainty, or the costs involved. Over time, achieving a series of “small wins” can lead to the attainment of significant milestones (Bryson, 1988), but it is unlikely to achieve “big successes or organizational excellence” by itself (Bryson, 1988). Achieving tangible, short-term results (Sun, 2017; Vernis et al., 2006) is important to “stage results” along the way to the final, long-term collaboration goal. To do this, it is important to identify relevant information, lessons, or problems and “sum up and exchange in a timely manner” (Sun, 2017). Regular information exchange is important to keep all stakeholders informed.

The literature supports the benefits of incremental gains in a collaborative arrangement. Therefore, I propose:

H7<sub>a</sub>: Achieving process-related gains is positively associated with collaborative relationship quality in HSOs.



H7<sub>b</sub>: Achieving process-related gains is positively associated with collaborative goal achievement in HSOs.

#### 3.5.3.5. Dialogue

Dialogue, or communication, is important in a collaborative relationship as it involves the sharing of information and transfer of knowledge between stakeholders (Bryson et al., 2006).

Communication is an important aspect of collaboration as continuing inquiry is based on human interactions and repeated transactions over time with the sharing of expertise and insights.

While communication involves the transactional act of sharing of ideas and information, it can also serve as an interpersonal tool that builds rapport and facilitates cooperation, commitment, trust, and problem-solving while reducing conflict, ambiguity, confusion, and information asymmetry (Huxham & Vangen, 1996; O’Leary, Choi, & Gerard, 2012; Thomson & Perry, 2006). When there is a lack of communication, partners are more likely to have a negative interpretation of their partner’s behaviors, and less likely to trust them, leading to worse outcomes. Poor communication can also lead to delays, confusion, or conflict.

While Ansell and Gash (2008) make the distinction that dialogue must occur face-to-face, information exchange can occur through a variety of communication channels, both formal and informal, including in-person, telephone, written, or virtual methods (Carnochan et al., 2019; Fernandez, 2009; Mattessich et al., 2001). Regardless of method or channel, communication should be two-way between all stakeholders (Vernis et al., 2006). Important elements of communication include the accuracy of information (Mattessich et al., 2001), transparency (Vernis et al., 2006), the frequency of interactions (Fernandez, 2009; Mattessich et al., 2001; May & Winter, 2007; Van de Ven & Walker, 1984), and the regularity with which information is communicated (Hill & Lynn, 2003; Lundin, 2007; Mattessich et al., 2001).

The literature indicates that dialogue between partners plays a positive role in a collaborative arrangement. Accordingly, I propose:

H8<sub>a</sub>: Communication between collaborative partners is positively associated with collaborative relationship quality in HSOs.

H8<sub>b</sub>: Communication between collaborative partners is positively associated with collaborative goal achievement in HSOs.

#### 3.5.4. Facilitative Leadership

Ansell and Gash (2008) identify Facilitative Leadership as a “critical ingredient” in the collaborative process (p. 554). The purpose of this role is to steward the collaborative effort and “ensure the integrity of the consensus-building process itself” (p. 554). I examine Facilitative Leadership through the facilitation of the collaborative process.

##### 3.5.4.1. Facilitation

Collaborative initiatives shift away from top-down hierarchical bureaucratic structure towards more flattened structures. (Amsler & O’Leary, 2017; Getha-Taylor & Morse, 2013). The change in organizational structures and processes and the increase in complexity with the addition of multiple stakeholders compels a revision in the core competencies of public and nonprofit leaders to manage. Collaboration requires a shift away from traditional managerial skills towards collaborative skills (Getha-Taylor & Morse, 2013). There is a need to use “non-traditional” leadership skills to manage collaborations, engage stakeholders, and bring people together towards a common goal (Amsler & O’Leary, 2017). Leaders must balance self-reliance with interdependence and leading with authority while also acting as a participant in shared decisions and actions (O’Leary & Vij, 2012).

O’Leary and Bingham (2009) identify collaborative public management as “the process of facilitating and operating in multiorganizational arrangements to solve problems that cannot be solved or easily solved by single organizations” (p. 3). This requires a distinct set of managerial skills and practices that are tailored for collaborative settings to facilitate the process (Weber & Khademian, 2008a). Facilitative leaders embody the skills and capacities to lead and support the collaborative process to achieve outcomes in the absence of hierarchical control and power. This includes the ability to encourage buy-in and support, ensure organizational needs are represented, mobilize and empower stakeholders, steward the process, and promote inclusivity (Ansell & Gash, 2012; Huxham & Vangen, 2000; Scott & Thomas, 2017). Huxham and Vangen (2000) emphasize that effective collaborative leadership is likely to be time, resource, and skill intensive, especially as it often involves working across organizational and sectoral boundaries (Bryson et al., 2015; Williams, 2002), championing the effort (Bryson et al., 2015), and building consensus towards a common goal.

Based on the strong support for the positive impact of facilitation in a collaborative arrangement, I propose:

H9<sub>a</sub>: Facilitating collaborative processes is positively associated with collaborative relationship quality in HSOs.

H9<sub>b</sub>: Facilitating collaborative processes is positively associated with collaborative goal achievement in HSOs.

### 3.6. Model 2 – Inclusion of Factors Relevant to Human Service Organizations

The purpose of Model 2 is to introduce additional factors that are significant in the human services context and should be addressed in a collaborative arrangement. I propose seven factors that should be included in the framework to account for the features and process of HSOs. For

Institutional Design, these include the contractual factors of the duration of a contract, the language in a contract, and the inclusion of specific elements in a contract. For Collaborative Process, these factors include the ability to adapt to changes and innovate structures and processes. For Facilitative Leadership, these factors include the cultivation of stakeholder relationships and the presence of conflict and problems.

### 3.6.1. Institutional Design

Ansell and Gash (2008) identify four elements that comprise Institutional Design. These are participatory inclusiveness, forum exclusiveness, clear ground rules, and process transparency. I propose the addition of three variables based on the contractual data to account for the Institutional Design features that exist in HSOs.

Contracts serve as a method to formalize institutional arrangements (Amirkhanyan, 2009). Formal contracts have the potential to set clear ground rules and provide transparency on the roles/responsibilities and expectations of the parties (Miltnerberger & Sloan, 2017). Transparent mechanisms for monitoring and evaluating the performance of the stakeholders can help with accountability and ensure continuous and joint assessment of the collaboration (Vernis et al., 2006).

Part of the institutional design includes the issue of access and “who should be included?” (Ansell & Gash, 2008, p. 555). Formal contracts identify participants, assign roles, support accountability, and encourage inclusiveness. Formal contracts also determine deadlines, which can set clear expectations and scope of work but can also inadvertently reduce the incentives for continuing the collaboration or artificially limit the capacity for collaboration. Contracts can create transparency over the process, legitimize the collaboration, and set the

ground rules between participating parties. While contracts can identify and create the protocols and procedures necessary for collaboration, contracts alone may not be enough or may cause additional confusion or conflict (Miltenberger & Sloan, 2017).

#### 3.6.1.1. Contract Term

Changes in the contract cycle can create instability and uncertainty as renegotiations often lead to new conditions (Johnston & Romzek, 2008). Contract modifications may require expending additional resources to renegotiate contracts, make adjustments, and comply with the new requirements (Johnston & Romzek, 2008). Renegotiated contracts may create new responsibilities and/or expand the scope of services (Johnston & Romzek, 2008) which requires additional resources. Longer-term contracts can be effective when the transaction costs to renegotiate are high, suppliers require significant and specialized training, and services (performance) are hard to measure (Bertelli & Smith, 2010).

While contracts “inevitably are plagued by contingencies not anticipated or accounted for in the original agreement” (Bertelli & Smith, 2010, p. i35), creating longer-term contracts may allow for flexibility to respond to uncertain or changing conditions. In addition, longer-term contracts reduce the need for frequent renewal which “opens the way for partners to more closely align their goals and explore longer-term programs” (Meinhard et al., 2016, p. 293). Partners may also “believe that they are benefiting in some way from the sustained collaborative relationships which may prevent contractors from behaving opportunistically” (Amirkhanyan et al., 2012, p. 345).

Longer-term contracts can also create more stability around the contractual relationships and organizational processes. Stability is important for several reasons. First, a lack of stability

may undermine the performance of the contract by delaying timelines, requiring the establishment and development of new relationships between organizations and service users (Johnston & Romzek, 2008). Second, “contract churning” can lead to high turnover of staff (Johnston & Romzek, 2008). This incurs high organizational costs and can undermine service user outcomes (Willging et al., 2015).

A stable contract cycle allows time to address unforeseen problems and improve provider effectiveness (Romzek & Johnston, 2002). It allows for time for trust to develop (Thomson & Perry, 2006; Van Slyke, 2007, 2009; Vangen & Huxham, 2003), which can reduce problems and conflict. A contract designated for a longer period “allows the principal to economize on time, postpone costs incurred when transitioning between service providers, and provide greater opportunities for the parties to develop trust” (Witesman & Fernandez, 2013, p. 696).

Additionally, a longer contractual period provides the opportunity for “the parties to develop some familiarity with each other, promoting more frequent and informal communication, and a better understanding of each others’ organizational cultures” (Amirkhanyan et al., 2012, p. 345).

The literature supports the positive association a contract term has on a collaborative arrangement and so I propose:

H10<sub>a</sub>: The length of a contract’s term is positively associated with collaborative relationship quality in HSOs.

H10<sub>b</sub>: The length of a contract’s term is positively associated with collaborative goal achievement in HSOs.

### 3.6.1.2. Contract Specificity

Contract Specificity refers to the “level of explicitness, specification, and precision of the contract” in addressing the labor, skills, materials, tasks, roles, and activities required to fulfill contractual goals (Griffith & Zhao, 2015, p. 22).

A high level of specificity indicates detailed terms related to the product, procedures, finances, legal considerations, and overall contract features. Contract specificity “anchors on the degree of codification of contract elements and refers to the degree to which aspects of the contract are formulated to enhance clarification and verification” (Griffith & Zhao, 2015, p. 24). The specificity and clarity of contract features include the terms and conditions, service tasks, performance measures, and sanctions (Lamothe & Lamothe, 2012b). Highly specified contracts “may detail roles and responsibilities to be performed, specify procedures for monitoring and penalties for noncompliance, and, most importantly, determine outcomes or outputs to be delivered” (Poppo & Zenger, 2002, p. 708). The specification of services provides clarity around role expectations and accountability (Bunger et al., 2016).

A contract with high specificity may prevent opportunistic behavior and limit information asymmetry between contractual partners (DeHoog, 1990; Entwistle & Martin, 2005) as the goals, rewards and sanctions are clearly outlined. This has the benefit of providing clear guidance and expectations among partners, and clear communication can lead to more successful collaboration. High specificity can also minimize contract violations by limiting the ability and willingness of a party to violate the terms (Faems et al., 2008). Well-specified contracts “seem to foster strong collaborative relationships between the contracting parties” (Amirkhanyan et al., 2012, p. 353).

However, a highly specific contract may signal a lack of trust between contractual partners (Van Slyke, 2009). Over-specification may result in loss of flexibility for addressing the diverse range of service users' needs or exclude certain service delivery options altogether (Bunger et al., 2016). Bound to strict and rigid requirements, parties may not be able to "think outside of the box" if needed or accommodate necessary changes. This can reduce the opportunity to rely on informal relational mechanisms, bypass bureaucratic restraints, update outdated or irrelevant standard operating procedures (Page, 2004). These are not conducive to successful collaboration. It is also not possible to anticipate or "write all possible contingencies into the contract" (DeHoog, 1990, p. 330). Creating complex contracts are costly (Poppo & Zenger, 2002) and monitoring and enforcing a highly specific contract can be difficult and time-intensive (Bennett & Mills, 1998). This is especially true when contracted services are complex and hard to measure.

In HSOs, the lack of specificity, or "incompleteness" of contracts may be helpful for private HSOs as they allow for flexibility and the inclusion of relational mechanisms to address contracting contingencies (Lambright, 2009) or manage complex and diverse service needs (McBeath et al., 2017). Particularly in the provision of human services, it can be difficult to include exact specifications for a product or service in advance, estimate programmatic costs, or detail the precise requirements beforehand (Bennett & Mills, 1998; McBeath & Meezan, 2010).

Based on the mixed evidence from research, it is unclear the directional impact contract specificity has on a collaborative arrangement. Accordingly, I propose non-directional hypotheses:

H11<sub>a</sub>: Contract specificity is associated with collaborative relationship quality in HSOs.

H11<sub>b</sub>: Contract specificity is associated with collaborative goal achievement in HSOs.



### 3.6.1.3. Contract Language

The language in a contract communicates the intentions, requirements, party responsibilities, and goals. Contracts codify expectations that reflect and promote the goals of the partnership, providing a structure for the relationship. As such, language can elucidate and reinforce the stated objectives to guide contractual parties. Words indicate the values, priorities, and beliefs of the contractual parties. While the use of contractual language has also been well-studied, examining specific term usages, frequencies, and placement in the contract has not.

The inclusion of concrete language around “collaboration” may encourage collaborative efforts as it is a formalized reflection of the importance and priority of collaboration between contractual parties. Collaborative language sets the tone of the partnership and communicates expectations. Collaborative language can encourage the use of relational and informal mechanisms between contractual parties. Lamothe and Lamothe (2012b) argue that “how contracts are written and how they are managed might vary in ways that indicate the coexistence of formal and relational mechanisms” (p. 323). If norms of cooperation and trust exist between parties, then these informal mechanisms may replace the formalized and precise language in a contract. Or they may co-exist in the presence of formalized contracts (Amirkhanyan, 2009; Poppo & Zenger, 2002; Van Slyke, 2007).

In order to effectively communicate using language, both parties must understand the content, style, and context of the words (Tausczik & Pennebaker, 2010). It is important that contractual parties understand each other’s “procedures, approach, and language to effectively utilize their services” (Poppo & Zenger, 2002, p. 709). As indicated earlier, the term “collaborate” has multiple definitions and conceptualizations – both in research and praxis (Thomson et al., 2009). This has the potential to cause confusion as different parties may

interpret “collaborate” differently based on organizational norms, constraints, experience, and priority. This affects how they view the relationship and their actions in complying with the contract.

Based on the mixed evidence from research, it is unclear the directional impact contract language has on a collaborative arrangement. Accordingly, I propose non-directional hypotheses:

H12<sub>a</sub>: Contract language that emphasizes collaboration is positively associated with collaborative relationship quality in HSOs.

H12<sub>b</sub>: Contract language that emphasizes collaboration is positively associated with collaborative goal achievement in HSOs.

### 3.6.2. Collaborative Process

Collaborative Process includes the factors that are necessary and/or beneficial for HSO collaborative arrangements. Ansell and Gash identify these five factors as trust-building, commitment to the process, shared understanding, incremental gains, and face-to-face dialogue. I propose the addition of two collaborative process factors to account for the HSO context in cross-sector collaboration. These include the ability to adjust to changes and learning in order to change structures and processes.

#### 3.6.2.1. Adaptation

The ability to adjust to changes within the organizational environment or to external conditions is beneficial for collaborative partnerships (Berzin et al., 2015; Chandler, 2017; Mattessich et al., 2001). Adaptability involves the “ability to make incremental adjustments as a result of environmental changes, goal structure changes, or other changes” (Fiol & Lyles, 1985, p. 801). Adaptation requires “adaptive capacity” as well as “adaptive action” (Emerson et al, 2012),

which includes the means to identify what should be adjusted, how it should be adjusted, and then acting on it. This entails responding to changing circumstances, identifying alternative means for achieving desired results, being open to different approaches or options, and then acting accordingly (Mattessich et al., 2001).

Adaptation can occur *through* the structures, processes, and/or people involved in a collaborative effort (Bryson et al., 2015; Cornforth, Hayes, & Vangen, 2015). Challenges of adaptation during collaboration include altering course while remaining focused on the goals, retaining desired functions and structures, overcoming institutional inertia and entrenched processes, and maintaining accountability. It can be difficult to make adjustments within bureaucratic structures that reinforce standard operating procedures (i.e., the status quo) within rigid lines of hierarchical structures.

Adaptability is especially relevant for public and nonprofit HSOs (Alexander, 2000; Smith, 2015). These organizations operate in complex and uncertain environments and are subject to fiscal, political, legislative, and institutional changes. Combined with reductions in funding and increasing demand for services, HSOs must continuously adapt to survive.

As the literature supports adaptation in a collaborative arrangement, I propose:

H13<sub>a</sub>: The ability to adapt to necessary changes is positively associated with collaborative relationship quality in HSOs.

H13<sub>b</sub>: The ability to adapt to necessary changes is positively associated with collaborative goal achievement in HSOs.

### 3.6.2.2. Innovation

Collaboration is a process that entails incorporating new interventions, approaches, strategies, and solutions (Berzin et al., 2015; Lawson, 2004). Throughout a collaborative process,

collaborators must continue to learn and grow as they acquire new or different information or encounter new challenges (Chen, 2010; Leach et al., 2014; Thomson & Perry, 2006). Learning requires the “development of insights, knowledge, and associations between past actions, the effectiveness of those actions, and future actions” (Fiol & Lyles, 1985, p. 801). This learning leads to an improvement in knowledge and understanding, satisfies current demands and needs, and develops the skills necessary for future responses and actions (Vernis et al., 2006). While innovation is similar to adaptation, a change or adjustment does not necessarily imply that learning has occurred (Fiol & Lyles, 1985). Innovation entails significant making changes in the underlying structures or processes that are not temporary or superficial.

Collaborative partnerships provide a forum to “generate greater learning relative to more conventional and adversarial approaches to policymaking” (Leach et al., 2014, p. 592). Collaborative efforts involve the transfer and sharing of existing knowledge through information exchange as well as the creation of new knowledge (Gulati, 1999; Mowery, Oxley, & Silverman, 1996). Organizational learning improves collaboration between public and nonprofit organizations (Chen & Graddy, 2010; Selden et al., 2006). Collective learning encompasses the acquisition of novel knowledge and applying it to course correct from previous mistakes or failures, or to address unforeseen challenges. This is especially relevant for collaborations when goals or performance measures are not known in advance or need to be revised (Koppenjan, 2008) and when all stakeholders can improve the joint work (Mattessich et al., 2001). This involves the monitoring, evaluating, and reporting of activities and services (process and outcomes) to make improvements (Mattessich et al., 2001).

Based on the literature that supports innovation in a collaborative arrangement, I propose:

H14a: The ability to innovate is positively associated with collaborative relationship quality in HSOs.

H14<sub>b</sub>: The ability to innovate is positively associated with collaborative goal achievement in HSOs.

### 3.6.3. Facilitative Leadership

While Facilitation (Model 1), focuses more on the task-based processes for Facilitative Leadership, it is also imperative to include the relational-based processes. Facilitating collaborative efforts includes encouraging broad participation and productive group dynamics (Lasker & Weiss, 2003), problem-solving and mediating conflict (Amsler & O’Leary, 2017). I propose that two additional facilitative leadership skills and capacities, fostering interpersonal relationships and resolving conflict, should be included in the framework to account for the HSO context.

#### 3.6.3.1. Cultivation

Collaborative leaders mobilize different stakeholders and “engage each other in a collaborative spirit” (Ansell & Gash, 2008, p. 554). Collaborative leaders shift from primarily focusing on task-oriented behaviors to attend more to people-oriented behaviors (e.g., McGuire & Silvia, 2010). In addition to possessing the technical skills and expertise needed to facilitate the collaborative process, successful collaborative leaders need to have strong interpersonal skills (Bryson et al., 2015; O’Leary et al., 2012). Building “relationship capital” requires a focus on the people involved in the collaboration, good communication, and listening to all stakeholders (O’Leary et al., 2012). It also includes fostering interpersonal relationships that are based on trust within and across organizational boundaries, between the public and private sectors (Williams, 2002; Weber & Khademian, 2008a). Leaders must work to cultivate multiple relationships within their own organization as well as external to their organization (Ospina & Saz-Carranza, 2010).

Collaborative public managers need to sustain and build consensus among collaborative partners (e.g., Sagawa & Segal, 2000). This requires skills for nurturing the relationships and interactions between partners as well as significant time and effort invested into the collaborative process (Ansell & Gash, 2012). To do this requires leaders with persistence and stamina who invest time, effort, and attention into the relationships (Huxham & Vangen, 1996). Relationship-building can “buttress the norms of trust and reciprocity and enable each partner to hold the other accountable” (Piatak et al., 2018, p. 157).

Based on the research that suggests the benefits of cultivation on a collaborative arrangement, I propose:

H15<sub>a</sub>: Cultivating relationships among stakeholders is positively associated with collaborative relationship quality in HSOs.

H15<sub>b</sub>: Cultivating relationships among stakeholders is positively associated with collaborative goal achievement in HSOs.

### 3.6.3.2. Conflict

Collaboration brings together multiple stakeholders in a shared power structure and with that, diverse identities, perspectives, and priorities (Ansell & Gash, 2012; Lawson, 2004). As such, “conflict is endemic to collaboration” (Lawson, 2004, p. 231). Conflict and tension between collaborative partners can derail or interfere with a collaborative effort. Addressing areas of disagreement to resolve points of friction can uncover opportunities for mutual gain (Bingham & O’Leary, 2006; McGuire, 2006).

Collaborative leaders serve as mediators to address areas of conflict and broker differences between stakeholders (Ansell & Gash, 2012). Part of their role is to “facilitate positive exchanges between different stakeholders through adjudication of conflict, to arbitrage

between different positions, to stabilize the conditions for positive exchange, and to promote trust-building” (Ansell & Gash, 2012, p. 11). As conflict is time-consuming and challenging, it is important for collaborative leaders to develop and employ the interpersonal skills required to reconcile issues and resolve conflict inherent in collaboration (O’Leary et al., 2012).

The research indicates that conflict can be detrimental to a collaborative arrangement. Accordingly, I propose:

H16<sub>a</sub>: A high level of conflict is negatively associated with collaborative relationship quality in HSOs.

H16<sub>b</sub>: A high level of conflict is negatively associated with collaborative goal achievement in HSOs.

### 3.7. Model 3 – Expansion of the Framework for Human Service Organizations

The purpose of Model 3 is to combine factors from Model 1 with the factors from Model 2 and test an expanded framework of collaboration within the human services context. Table 3.1 provides an overview of the key variables and their hypothesized role in this study. The table indicates the expected impact (positive, negative, or non-directional) for each hypothesis on *relationship quality* and *goal achievement (organizational goals and client goals)*.

### 3.8. Overview of the Hypotheses

In Table 3.1 I provide a summary of the hypotheses I propose and their projected impact on *relationship quality* and *goal achievement (organizational goals and client goals)*.

Table 3.1. Summary of Hypotheses and Projected Impact

	<i>relationship quality</i>	<i>goal achievement</i>	
		<i>organizational goals</i>	<i>client goals</i>
<b>H1: relationship duration</b>	+/-	+/-	+/-
<b>H2: fiscal dependence</b>	+/-	+/-	+/-
<b>H3: organizational ownership</b>	+/-	+/-	+/-
<b>H4: trust (credibility &amp; benevolence)</b>	+	+	+
<b>H5: commitment</b>	+	+	+
<b>H6: shared understanding</b>	+	+	+
<b>H7: incremental gains</b>	+	+	+
<b>H8: dialogue</b>	+	+	+
<b>H9: facilitation</b>	+	+	+
<b>H10: contract term</b>	+	+	+
<b>H11: contract specificity</b>	+/-	+/-	+/-
<b>H12: contract language</b>	+/-	+/-	+/-
<b>H13: adaptation</b>	+	+	+
<b>H14: innovation</b>	+	+	+
<b>H15: cultivation</b>	+	+	+
<b>H16: conflict</b>	-	-	-



## **Chapter 4. Research Design, Data, and Methodology**

### **4.1. Introduction**

This chapter begins with the identification of the study design and provides information on the study background and context. For the quantitative data, I first review the survey instrument development and question design, followed by the sampling and data collection processes. I then review the study measures and variables. These are operationalized based on the extant research identified in Chapter 3 which provides support for inclusion in this study. Finally, I present the analytical approach that I used, which covers the model specification and selection, the coding process and quantification of the contract variables, and regression analyses.

### **4.2. Study Design**

To determine the factors that impact the success of a collaboration between public and private HSOs, I examine formal factors (contractual elements) and informal/relational factors (relationship elements) that may facilitate or impede successful collaboration between public HSOs contracting with private HSOs for service provision.

Using Ansell and Gash's (2008) collaborative governance framework, I first tested the existing framework to validate the factors in the human services context (Model 1). Second, I proposed additional factors that are relevant for human services collaboration which may also impact the success of a collaboration effort between public HSOs and private HSOs (Model 2). Third, I assessed the existing factors together with the proposed new factors to expand the framework (Model 3).

I examined cross-sectional quantitative survey data administered to organizational members (executive, administrative, and front-line roles) from private HSOs to assess their perspectives and experiences working with their counterparts in public HSOs. I analyzed qualitative contractual data between these public and private HSOs to assess how contractual elements impact the collaborative relationships. The quantitative survey data and qualitative contractual data were collected separately but consecutively. These data were initially analyzed separately using separate quantitative and qualitative software and then integrated together into statistical models.

The triangulation of multiple sources of data generates more insights than if each source was used alone. It also allows for a more in-depth investigation of a phenomenon. The use of multiple data sources provides a more holistic perspective by increasing validity, developing or expanding on knowledge, and providing complementary perspectives (Creswell & Creswell, 2017; Tashakkori & Creswell, 2007).

Collaboration is a multi-level phenomenon but research focusing on individual-level respondents in collaboration is scant, as most research in this domain focuses on the organizational- or network-level attributes (Gazley & Guo, 2020). Using survey data that is a mixture of objective and subjective responses coupled with contractual data provides a new – and more comprehensive – perspective on HSO collaborative relationships.

#### 4.3. Study Background and Context

The Bay Area Social Services Consortium (BASSC) is an agency-university-foundation partnership in northern California. BASSC works to advance knowledge of human services and disseminate knowledge across scholarly and practice communities (BASSC, 2021). Founded in

1987, the consortium is composed of collaborators across five universities, twelve<sup>3</sup> county social service agencies, and two foundations. BASSC operates as an intermediary to connect the consortium partners together to address issues and needs that are specific to the organizations and communities in this region (Austin et al., 1999; Austin & Carnochan, 2020). In addition, it strives to develop and share knowledge across the scholarly and practice communities (BASSC, 2021). Through collaborations with practice partners, research topics “reflect the challenges and opportunities of the evolving policy and practice environment in which they operate” (Austin, 2018, p. 387). The mission of BASSC is “to expand the knowledge base of nonprofit and public sector human service organizations by conducting practice research with our agency partners and sharing this knowledge with the practice and scholarly communities” (BASSC, 2021).

Representatives from each of these partners and staff from the Mack Center on Nonprofit and Public Sector Management in the Human Services located at the University of California – Berkeley meet on a regular basis. The purpose of these meetings is to exchange information, assess current legislation and policy on human service topics, publish policy reports, and conduct multi-county executive development training programs for managers. BASSC leverages the expertise of its partners and provides a forum to identify and share regional problems. Through these exchanges, BASSC members collaborate to develop innovative solutions that are responsive to the changing landscape of human services with legislative, administrative, educational, and training implications (Anthony & Austin, 2008).

The consortium focuses on three core areas of social services research, training, and policy development. These core areas are tailored for the needs of the Bay Area region. Through these initiatives, BASSC works to address the shared interests and needs of public social service

---

<sup>3</sup> At the time of this study, there were eleven county social service agencies participating in BASSC.

agencies to address organizational challenges, develop the human service workforce, and create strategies to better serve client needs (Anthony & Austin, 2008). For research, BASSC conducts engaged research to incorporate researchers, practitioners, and service users in the research process from research aims to findings dissemination. For training, BASSC conducts management training for middle and senior HSO managers to address workforce development and capacity issues. For policy development, BASSC analyzes policies and practices that are implemented in response to federal and state policy initiatives to advance regional HSO goals.

#### 4.4. Survey Instrument Development and Question Design

The survey instrument was designed “to capture county managerial perspectives on interorganizational service delivery relationships and contract processes” (McBeath et al., 2019a, p. 119). The survey was informed by case studies and extant research around the challenges of public-nonprofit cross-sector contracting. The initial version of the survey was pilot tested with public and private HSO managers involved with BASSC to identify confusing or problematic questions. Pre-testing of surveys is an important step in survey development to determine areas of applicability, suitability, and difficulty. The pre-test was conducted to ensure consistency of understanding across respondents and to ensure that responses provided valid measures of what the questions were designed to measure (Fowler, 2013). Based on the survey responses and participant feedback, the survey was revised before its official administration.

Three versions of the survey were created to accommodate the different respondent type as part of a larger study of HSOs in BASSC (Carnochan et al., 2019; Chuang et al., 2020; McBeath et al., 2017; McBeath et al., 2019a). I focused primarily on the survey designed for individual respondents from the private HSOs that were contracting with the public HSOs. This

survey consisted of 157 total questions (44 high-level question categories) and included questions that centered around five topic domains. These included organizational role and responsibilities, the human service delivery system and environment, contract management and relationship with contractual partner, performance management and measurement challenges, and strategies for resolving contract challenges. The last section of the survey pertained to respondent demographics, such as age, gender, race, ethnicity, education, and experience. I also incorporated data from the survey designed for the private HSOs at the organizational level. These questions were intended for a representative from each of the private HSOs to answer on behalf of the organization and to capture information at the organizational level. This survey consisted of 33 total questions pertaining to the organization's characteristics and demographics, scope of operations, budget and funding, service provision, populations served, and contract relationship(s) with the public HSOs.

All three surveys followed best practices for survey design and administration (Bradburn, Sudman, & Wansink, 2004; De Vaus, 2002; Dillman, Smyth, & Christian, 2014; Tourangeau, Rips, & Rasinski, 2000). Proper survey design is paramount as survey questions are used as measures (Fowler, 2013). The survey followed best practices for design, format, and layout of a self-administered questionnaire (Fowler, 2013). The surveys included clearly stated questions using straight-forward, objective, and simple language with well-defined terms (Bradburn, Sudman, & Wansink, 2004; Fowler, 2013). Questions were organized by topic domain that were clearly labeled and included instructions for the respondents in an effort to reduce the cognitive burden for respondents. The question flow was based on a skip logic to improve the likelihood that if a question did not pertain to a respondent's area of knowledge or experience, the respondent could skip to the next applicable question so that only relevant questions were

presented. Questions were clear and concise to avoid ambiguity, double-barreled questions, or non-neutral/biased questions. Response options for the questions varied between a 5-point Likert scale (e.g., level of agreement, ease, frequency, and presence), multiple choice options, and open-ended text responses. Likert scales were composed of multi-item measures constructed from multiple ordered-category rating items (Lavrakas, 2008).

#### 4.5. Sampling and Data Collection

Data collection began in 2015 and the study was conducted in compliance with the Institutional Review Board of The University of California-Berkeley procedures for human subjects. Of the 11 counties in partnership with BASSC, five county-level HSOs were selected using a purposive sampling strategy to maximize the variety of county size and demographics, organizational size, and contracting. County governments in California are responsible for the delivery of human services to clients (McBeath et al., 2019a). They deliver services, both directly and through contracted providers, using a combination of federal, state, and local funding. The primary service areas of these agencies focus on adult/aging services, children and family services, employment assistance, and financial assistance.

The five counties were deidentified in this study to ensure confidentiality. They will be referred to as County A, County B, County C, County D, and County E. An overview<sup>4</sup> of each of the five county's HSOs and county sociodemographic information are included in Table 4.1.

From the data call, 811 contracts were received and compiled the original data corpus. The final number of contracts included in this study was 414 based on the inclusion criteria (e.g.,

---

<sup>4</sup> Data compiled from Chuang et al., 2020; McBeath et al., 2019a. County Budget, FTE, and sociodemographic information = FY 2015-2016. Contract information = FY 2013-2014.

timeframe, relevance to HSO services). Across the five counties, each county had on average of 83 contracts with a private HSO provider. Contract amounts ranged from \$400 to \$10.9 million for a total of \$146 million. The average contract amount was \$352,000 and the average term was 15 months. See Table 4.7 for descriptive statistics on the contract data.

Table 4.1. County Demographics

	County A	County B	County C	County D	County E
<b>Public HSOs</b>					
Budget (millions)	723.8	447.8	133	932.4	339.5
Full-Time Employees	2,614	2,049	578	2,055	970
Number of Contracts	219	73	53	416	70
Amount Contracted (in millions)	\$71.4	\$14.5	\$6.5	\$607.1	\$12.4
<b>County Sociodemographic</b>					
Population (millions)	1.64	1.13	0.27	0.86	5.02
Poverty rate	11.5	10.2	15.4	12.4	12.0
% Black or African-American	10.9	8.8	1.0	5.1	1.5
% Hispanic or Latinx	22.6	25.3	33.3	15.3	26.3
% Asian	28.9	16.2	4.5	34.7	4.1

Public human service directors and managers (n=295) across the five counties were emailed an invitation to participate in the online survey. The web-based survey was administered via a link to Qualtrics. Directors were encouraged to share the survey with employees at all organizational levels (i.e., administrators, managers, front-line staff) who were knowledgeable about their organization's relationship with their contractual partners. Organizational respondents were also selected using a nonprobability sampling strategy to maximize variation of roles, involvement, with contracting, experience, and expertise (Palinkas et al., 2015). This strategy

was also appropriate since inferences were being drawn to a specific population (human service workers) and not the general population (Battaglia, 2008).

The five county-level public HSOs provided copies of their service contracts with private HSOs. These service contracts were used to identify 329 private HSOs across the five counties. The private HSOs were selected if they had at least one service contract in place with at least one of the five counties during the fiscal year 2013-2014<sup>5</sup>. Many of these HSOs had more than one contract in a particular county and also across multiple counties. These organizations provide a wide range of services focusing primarily on services for seniors and/or people with disabilities, children and families, employment, and public assistance. Other services include food and nutrition, legal aid, shelter and housing, transportation, counseling, healthcare, and education.

Through the service contracts, a primary contact at each of the private HSOs was identified and contacted with an invitation to participate in the survey. Similar to the survey distribution with the public HSOs, the primary contact at the private HSOs shared the web-based link to the Qualtrics survey with their organizational workforce. The primary contact received three email reminders and one telephone reminder to distribute and complete the survey. Responses were kept confidential. Surveys are valuable for the collection of primary data and the use of web-based surveys allows for the collection of large amounts of data at a relatively low financial cost to researchers and low burden for respondents.

From the 329 private HSOs, 206 organizations submitted the individual-level survey and the organizational-level survey for a response rate of 63%, which is a higher-than-average response rate for survey research in the social sciences. A response rate of 35% or higher for organizational surveys is deemed appropriate for web-based surveys in the social sciences

---

<sup>5</sup> If a multi-year contract, it started or ended during this timeframe.



(Baruch & Holtom, 2008). The higher the response rate, the less likely non-response bias becomes an issue. Additionally, of the 415 respondents from the private HSOs who started the survey, 353 finished the survey for a completion rate of 85%. These high rates may be attributed in part to the county human service directors' involvement in BASSC as well as their professional interest and investment in this study. This may have impacted their willingness to participate and encourage their organizational members to also participate in the study. The potential implications of this high response rate are addressed in the Discussion (Chapter 6).

#### 4.6. Data Measures

Using the survey data and contract data, I constructed measures for the independent and dependent variables. These measures were based on extant theory and the literatures on collaboration, HSOs, and contracting.

For several measures, I created a composite variable based on multiple survey items that were related and interchangeable. A composite variable is created using multiple, individual variables that may be conceptually or statistically related (Song et al., 2013) to produce a more comprehensive and accurate measure. Each constituent variable that comprises a composite variable must be measured on the same scale. I created the composite variables using mean indices based on the values of the constituent variables. If a respondent did not answer a question for any one of the constituent variables in the composite variable, the entire observation was dropped.

As attitudes and behaviors are complex, the use of multiple indicators was important to accurately capture the full scope of a complex and multidimensional concept (De Vaus, 2002). The selection and composition of these measures was conceptually-driven and then statistically

assessed in to ensure appropriate relevance and correlation with each other. Several of the following measures have been previously used in research and are well-established.

To statistically check that these composite variables were comprised of survey items that were closely related to each other (and therefore, the extent to which these items measured the same concept), I tested them using Cronbach's alpha ( $\alpha$ ) to ensure they there was internal consistency and that they correlated with each other (Cronbach, 1951; Lavrakas, 2008; Tavakol & Dennick, 2011). Scores typically range from 0-1 and a minimum score of 0.70 is considered acceptable while a score higher than 0.90 is considered to have strong reliability (Cortina, 1993). Cronbach's alpha was used to assess the reliability of the constructed measures and the alpha scores for all the measures in this study ranged between 0.68-0.94, indicating moderate to high internal consistency across the measures.

#### 4.7. Dependent Variables

*Successful collaborative outcomes* was operationalized and measuring using three variables: *relationship quality*, *organizational goals*, and *client goals*.

##### 4.7.1. Relationship Quality

*Relationship quality* was measured as the respondents' attitudes towards their relationship with their public HSO counterpart. Respondents were asked to indicate their relationship satisfaction with their public HSO counterpart. Responses were based on a 5-point Likert scale to indicate the strength of agreement, with 1 indicating "Strongly Disagree" and 5 indicating "Strongly Agree."

#### 4.7.2. Goal Achievement

*Goal achievement* is a multi-dimensional construct that consists of *organizational goals* and *client goals*. Each dimension was measured using a mean index created from responses to survey items related to the quality of contract services provided. Respondents were asked about the quality of the service provision based on the performance of the contracts. Responses to all items were based on a 5-point Likert scale to indicate the level of quality, with 1 indicating “Poor” and 5 indicating “Excellent.” Due to the different dimensions, *organizational goals* and *client goals* were analyzed separately as distinct composite variables.

- (1) *Organizational goals* was a four-item mean index ( $\alpha = 0.83$ ) based on responses to questions regarding the contract performance for meeting organizational-related outcomes, which included the number of services provided, the timeliness of services, the service coverage, and the quality of services.
- (2) *Client goals* was a three-item mean index ( $\alpha = 0.79$ ) based on responses to questions regarding the contract performance for meeting client-related outcomes, which included the fulfillment of client needs, client satisfaction, and client outcomes.

Table 4.2 summarizes the dependent variables, supporting literature, corresponding survey items, and the alignment to the Ansell and Gash (2008) Collaborative Governance Framework for collaborative outcomes.

Table 4.2. Measures for Dependent Variables

A&G Framework	Variable	Description	Supporting Literature	Survey Item & Measurement
Successful Collaborative Outcomes	<i>relationship quality</i>	Satisfaction of stakeholders with relationship.  Captures the quality of the relationship.	Atouba & Shumate (2020); Bunger et al. (2018); Chen (2008); Vernis et al. (2006)	Satisfaction with the current relationship. Single-item Likert-scale.
	<i>goal achievement</i>	(1) <i>organizational goals</i> The ability to produce organizational-related outcomes ( $\alpha = 0.83$ ).  (2) <i>client goals</i> The ability to produce client-related service outcomes ( $\alpha = 0.79$ ).  Captures organizational and client outcomes.	Bardach (1998); Bryson et al. (2006); Chen (2008, 2010); Ramadass et al. (2018); Scott & Davis (2007); Vangen & Huxham (2012); Vernis et al. (2006)	<i>Organizational goals</i> is performance quality with the number of services provided, the timeliness of services, the service coverage, and the quality of services. Indexed based on 4-item measure. Likert scale.  <i>Client goals</i> is performance quality with the fulfillment of client needs, client satisfaction, and client outcomes. Indexed based on 3-item measure. Likert scale.

### **Model 1 – Contractor Data Measures (Independent Variables)**

This model tested the existing Ansell and Gash (2008) Framework to validate its application in a HSO context.

#### **4.8. Starting Conditions**

Ansell and Gash (2008) identify three elements that comprise Starting Conditions. These include imbalances in power, knowledge, or resources, incentives for participation, and a previous

history of confliction or cooperation. I operationalize Starting Conditions using the length of the relationship between the private and public HSOs (*relationship duration*) and the dependence of the private HSOs on the financial resources of their public HSO counterpart (*fiscal dependence*).

#### 4.8.1. Relationship Duration

*Relationship duration* refers to the length of time the private HSO has had a contractual relationship with the public HSO. This was measured using the difference between when the private HSO initiated a contract with the public HSO and the time of the study. This is a count variable measured in years.

#### 4.8.2. Fiscal Dependence

*Fiscal dependence* refers to the reliance of the private HSO on funding from the public HSO. This was measured using the percentage of a private HSO's budget that was based on funding from contracts with the public HSO(s). This is a count variable measured as a percentage.

### 4.9. Institutional Design

Ansell and Gash (2008) identify four elements that comprise Institutional Design. These include participatory inclusiveness, forum exclusiveness, clear ground rules, and process transparency. These elements establish the structures and processes under which collaboration occurs and is legitimized (Ansell & Gash, 2008). I operationalize Institutional Design based on the ownership status (nonprofit or for-profit) of the private HSOs (*organizational ownership*).

#### 4.9.1. Organizational Ownership

*Organizational ownership* refers to the ownership of the private HSO – either for-profit or nonprofit. This was measured using a binary variable with 0 = for-profit and 1 = nonprofit.

#### 4.10. Collaborative Process

Ansell and Gash (2008) identify five elements that comprise Collaborative Process. These include trust-building, commitment to process, shared understanding, intermediate outcomes, and face-to-face dialogue. I operationalize these five elements using *trust*, *commitment*, *shared understanding*, *incremental gains*, and *dialogue*.

##### 4.10.1. Trust

*Trust* is a multi-dimensional construct (Cummings & Bromiley, 1996; Mayer et al., 1995). In an organizational context, it is comprised of two conceptually distinct dimensions. *Credibility* consists of the perception that a partner adheres to acceptable guidelines, will act with integrity and reliability, and there is congruence between their words and actions (intentionality and ability to keep promises) (Mayer et al., 1995). *Benevolence* consists of the genuine concern for a partner and interactions are based on a positive orientation that is separate from a profit-motive or extrinsic reward (Mayer et al., 1995). I examined these two dimensions using responses to questions that focused on the different aspects of *trust* (Chuang et al., 2020).

##### (1) Credibility.

*Credibility* was a four-item mean index ( $\alpha = 0.94$ ) based on responses to questions regarding the public HSO's reliability with promises, honesty about problems,

consistency with the application of policies, and dependability with their information. Responses to all items were based on a 5-point Likert scale to indicate the strength of agreement, with 1 indicating “Strongly Disagree” and 5 indicating “Strongly Agree.”

## (2) Benevolence.

*Benevolence* was a three-item mean index ( $\alpha = 0.89$ ) based on responses to questions regarding the public HSO’s genuine concern for the private HSO achieving its goals, considering their interests, and being helpful. Responses to all items were based on a 5-point Likert scale to indicate the strength of agreement, with 1 indicating “Strongly Disagree” and 5 indicating “Strongly Agree.”

### 4.10.2. Commitment

In an organizational context, *commitment* is the motivation to maintain a relationship. It consists of an affective component (relational) and a calculative (instrumental) component (Allen & Meyer, 1990; Chuang et al., 2020; Mowday et al., 1979). The affective component based on an emotional identification and attachment to an organization while the calculative component is based on a rational, cost-benefit assessment of one’s investment in an organization (Allen & Meyer, 1990). *Commitment* was measured as a three-item mean index ( $\alpha = 0.68$ ) based on responses to questions about continuing the relationship with the public HSO counterpart even if other contracts provided better conditions, intent to continue working with the public HSO counterpart based on revenue source and/or client base, and maintaining the relationship because terminating it would be too costly for the private HSO. Responses to all items were based on a 5-

point Likert scale to indicate the strength of agreement, with 1 indicating “Strongly Disagree” and 5 indicating “Strongly Agree.”

#### 4.10.3. Shared Understanding

*Shared understanding* was measured as goal congruence and alignment between stakeholders. This was measured as a four-item mean index ( $\alpha = 0.92$ ) based on responses to questions about interactions with the public HSO counterpart concerning the sharing of responsibility when errors were made, sharing of goals, knowing about the work, and respecting the work being done. Responses to all items were based on a 5-point Likert scale to indicate the strength of agreement, with 1 indicating “Strongly Disagree” and 5 indicating “Strongly Agree.”

#### 4.10.4. Incremental Gains

*Incremental gains* was measured by assessing the time spent (average per month) exchanging information or consulting with the public HSO. The time spent on these activities indicates the effort being made towards progress to build and maintain momentum. Responses to all items were measured using four categories to indicate the amount of time (none, a little, moderate, a lot).

#### 4.10.5. Dialogue

*Dialogue* was measured using a three-item mean index composed of the accuracy, frequency, and timeliness of communication between partners ( $\alpha = 0.81$ ). Respondents were asked to rate the extent to which they agree/disagree with the accuracy, frequency, and timeliness of communication with their HSO counterpart. Responses to all items were based on a 5-point



Likert scale to indicate the strength of agreement, with 1 indicating “Strongly Disagree” and 5 indicating “Strongly Agree.”

#### 4.11. Facilitative Leadership

Ansell and Gash (2008) identify Facilitative Leadership as the “critical ingredient” to steward the collaborative process and “ensure the integrity of the consensus-building process itself” (p. 554).

I operationalize Facilitative Leadership using *facilitation*.

##### 4.11.1. Facilitation

*Facilitation* was measured as time spent on activities (average per month) related to staff involvement and development with the public HSO using a three-item mean index ( $\alpha = 0.85$ ).

This was based on responses to questions regarding identifying and involving the right people, facilitating agreement on leadership and administrative roles, and helping to develop a working structure (e.g., committees, meetings, assignments) for the partnership. Responses to all items were measured using four categories to indicate the amount of time (none, a little, moderate, a lot).

Table 4.3 summarizes the Model 1 variables, supporting literature, corresponding survey items, and the alignment to four conditions in the Ansell and Gash (2008) Collaborative Governance Framework.

Table 4.3. Measures for Independent Variables (Model 1)

A&G Framework	Variable	Description	Supporting Literature	Survey Item & Measurement
Starting Conditions	<i>relationship duration</i>	Length of relationship working together.  Captures prehistory of working together.	Ansell & Gash (2008); Bertelli & Smith (2010); Bunker (2013); Chen & Graddy (2010); Chuang et al. (2020); Gray (1989); Gulati (1995); Lambright (2009); Mattessich & Monsey (1992); Mattessich et al. (2001); Miltenberger & Sloan (2017); Murphy & Robichau (2016); Peng et al. (2020); Ring & Van de Ven (1994); Thomson & Perry (2006); Van Slyke (2007)	Length of relationship in years. Continuous.
	<i>fiscal dependence</i>	Percentage of budget derived from contract agreement.  Captures resource asymmetry.	Amirkhanyan (2009); Austin & Seitanidi (2016); Chen (2010); Emerson (1962); Gazley & Brudney (2007); Graddy & Chen (2006); Guo & Acar (2005); Malatesta & Smith (2014); Peng et al. (2020); Pfeffer & Salancik (1978); Smith & Lipsky (1993); Thomson & Perry (2006); Van de Ven & Walker (1984); Van Slyke (2003)	Percentage of budget based on contract. Continuous.
Institutional Design	<i>organizational ownership</i>	Type of organization - nonprofit or for-profit organization.  Captures the basic procedures, ground rules, and participation.	Amirkhanyan (2009, 2010); Amirkhanyan et al. (2012); Hefetz & Warner (2012); Heinrich (2000); Lamothe & Lamothe (2012b); O'Regan & Oster (2000); Salamon (1995); Smith & Lipsky (1993); Van Slyke (2007, 2009); Witesman & Fernandez (2013)	Type of agency – Nonprofit or For-profit. Binary.

Continued

Collaborative Process	<i>trust</i>	<p>(1) <i>credibility</i> Reliable and honest with information/issues (<math>\alpha = 0.94</math>).</p> <p>(2) <i>benevolence</i> Concern for interests (<math>\alpha = 0.89</math>).</p> <p>Captures ability to build trust.</p>	Chuang et al. (2020); Cummings & Bromiley (1996); Emerson et al. (2012); Fernandez (2009); Gulati (1995); Guo & Acar (2005); Huxham (2003); Huxham & Vangen (2005); Jing & Hu (2017); Lawson (2004); Mattessich et al. (2001); Mayer et al. (1995); Ring & Van de Ven (1994); Thomson et al. (2009); Vangen & Huxham (2004); Williamson (1979); Zaheer et al. (1998)	<p>Credibility is reliability of promises, honesty about problems, consistency, and confidence in the information provided. Indexed based on 4-item measure. Likert scale.</p> <p>Benevolence is genuine concern about achieving goals and consideration of interests. Indexed based on 3-item measure. Likert scale.</p>
	<i>commitment</i> ( $\alpha = 0.68$ )	<p>Motivation – rational and social-emotional</p> <p>Captures recognition of interdependence, shared ownership of process, and potential for mutual gains.</p>	Allen & Meyer, 1990; Chuang et al. (2020); Cook & Emerson (1978); Emerson et al. (2012); Mowday et al. (1979); Peng et al. (2020); Thomson & Perry (2006)	Intent to continue relationship and need to maintain relationship, despite potential better opportunities. Indexed based on 3-item measure. Likert scale.
	<i>shared understanding</i> ( $\alpha = 0.92$ )	<p>Aligning goals, interests, and purpose.</p> <p>Captures alignment of joint problem, purpose, mission.</p>	Bryson et al. (2015); Chen (2008); Huxham (2003); Vernis et al. (2006)	Sharing responsibility for errors, sharing goals, awareness of work, respect for work. Indexed based on 4-item measure. Likert scale.
	<i>incremental gains</i>	<p>Making progress by identifying and sharing relevant information.</p> <p>Captures the “small wins” through short-term results.</p>	Ansell & Gash (2008); Bryson (1988); Chen (2008); Droppa & Giunta (2015); Huxham (1993, 1996); Huxham & Vangen (2005); Mattessich et al. (2001); Sun (2017); Vangen & Huxham (2003); Vernis et al. (2006); Weick (1984)	Time spent on information exchange/consultation per month. Single item measure. Categorical.

*Continued*

Collaborative Process	<i>dialogue</i> ( $\alpha = 0.81$ )	Quality of communication based on accuracy, frequency, and timeliness.  Captures ability to break down barriers and stereotypes.	Ansell & Gash (2008); Bryson et al. (2006); Carnochan et al. (2019); Fernandez (2009); Hill & Lynn (2003); Huxham & Vangen (1996); Lundin (2007); Mattessich et al. (2001); May & Winter (2007); O'Leary et al. (2012); Thomson & Perry (2006); Van de Ven & Walker (1984); Vernis et al. (2006)	Accuracy, frequency, and timeliness of communication. Indexed based on 3-item measure. Likert scale.
Facilitative Leadership	<i>facilitation</i> ( $\alpha = 0.85$ )	Time spent on activities related to staff involvement and development.  Captures the skills needed for stewarding stakeholders.	Amsler & O'Leary (2017); Ansell & Gash (2012); Bryson et al. (2015); Getha-Taylor & Morse (2013); Huxham & Vangen (2000); Lasker & Weiss (2003); O'Leary & Bingham (2009); O'Leary & Vij (2012); Scott & Thomas (2017); Weber & Khademian (2008a); Williams (2002)	Time spent on identifying the right people to achieve goals, overseeing leadership and administrative roles, and developing a working structure for relationships. Indexed based on 3-item measure. Categorical.

## **Model 2 – Contractor Data Measures (Independent Variables)**

This model proposed new factors unaccounted for in the Ansell and Gash (2008) Framework to take into consideration factors that may be relevant in the HSO context. These are organized by Institutional Design, Collaborative Process, and Facilitative Leadership components to correspond with the Framework.

### **4.12. Institutional Design**

To account for the human services context, I propose the addition of three elements to Institutional Design using the contract data. These are the length of the contractual service

(*contract term*), the usage of language related to “collabor” (*contract language*), and the inclusion of specific elements in the contract (*contract specificity*).

#### 4.12.1. Contract Term

*Contract duration* was measured as the number of months that the contract was in operation (e.g., Fernandez, 2009). This was calculated using the difference between the start date of the contracted service and the end date. This was measured as a continuous variable derived from the qualitative coding of the contract data.

#### 4.12.2. Contract Specificity

*Contract specificity* was measured by the inclusion and details of specific contractual elements. This measured as a binary variable indicating a low-level or high-level of specification derived from the qualitative coding of the contract data.

#### 4.12.3. Contract Language

*Contract language* was measured as the frequency of the presence of the stem word “collabor” appeared in the main text of a contract. This was measured as a continuous variable derived from the qualitative coding of the contract data.

### 4.13. Collaborative Process

To account for the human services context, I propose the addition of two elements to Collaborative Process using the survey data. These are the ability to adjust to changes as needed

(*adaptation*) and the ability to learn and change structures and processes improve service delivery (*innovation*).

#### 4.13.1 Adaptation

*Adaptation* was measured by the ability to adjust to new information or changing conditions, and act accordingly. This was examined using a three-item mean index ( $\alpha = 0.87$ ) based on questions regarding flexibility in decision-making, openness for pursuing different work approaches, and ability to modify the contract if needed (e.g., fewer funds, changing climate, political landscape, or leadership). Responses to all items were based on a 5-point Likert scale to indicate the strength of agreement, with 1 indicating “Strongly Disagree” and 5 indicating “Strongly Agree.”

#### 4.13.2. Innovation

*Innovation* was measured using a two-item mean index ( $\alpha = 0.83$ ) from survey items that addressed the ability to tailor services (in response to agent, client, or community needs) and use new or different approaches. Together, these two items demonstrate the fundamental learning and application of new knowledge that is used to change structures and/or processes for service provision. Responses to all items were based on a 5-point Likert scale to indicate the strength of agreement, with 1 indicating “Strongly Disagree” and 5 indicating “Strongly Agree.”

#### 4.14. Facilitative Leadership

To account for the human services context, I propose the addition of two elements to Facilitative Leadership using the survey data. These are the ability to foster and nurture relationships with

stakeholders (*cultivation*) and the presence of significant discord between collaborative partners (*conflict*).

#### 4.14.1 Cultivation

*Cultivation* was measured by the time and effort spent engaging stakeholders and building relationships. Respondents were asked about the activities they engaged in with their collaborative partner. This was examined using a two-item mean index ( $\alpha = 0.85$ ) based on the amount of time in an average month that was spent on strengthening the commitment of critical stakeholders and facilitating the relationships. Responses to all items were measured using four categories to indicate the amount of time (none, a little, moderate, a lot).

#### 4.14.2. Conflict

*Conflict* was measured by examining the occurrence of conflict between collaborative partners. This was examined using a single-item measure based on the frequency of significant disagreement with the primary HSO counterpart. Responses to the item were based on a 5-point Likert scale, with 1 indicating “Never” and 5 indicating “Almost Always.”

Table 4.4 summarizes the Model 2 variables, supporting literature, corresponding survey items, and the alignment to three conditions in the Ansell and Gash (2008) Collaborative Governance Framework.

Table 4.4. Measures for Independent Variables (Model 2)

A&G Framework	Variable	Description	Supporting Literature	Survey Item & Measurement
Institutional Design	<i>contract term</i>	The duration of the contract (length of time).	Amirkhanyan et al. (2012); Bertelli & Smith (2010); Johnston & Romzek (2008); Meinhard et al. (2016); Romzek & Johnston (2002); Thomson & Perry (2006); Van Slyke (2007, 2009); Vangen & Huxham (2003); Witesman & Fernandez (2013)	Content Analysis Coding
	<i>contract specificity</i>	Amount of information and level of detail included in contract.	Amirkhanyan et al. (2012); Bennett & Mills (1998); DeHoog (1990); Entwistle & Martin (2005); Faems et al. (2008); Griffith & Zhao (2015); Lambright (2009; Lamothe & Lamothe (2012b); McBeath & Meezan (2010); McBeath et al. (2017); Page (2004); Poppo & Zenger (2002); Van Slyke (2009)	Content Analysis Coding
	<i>contract language</i>	Language that uses the stem word “collabor.”	Amirkhanyan (2009); Lamothe and Lamothe (2012b); Poppo & Zenger (2002); Tausczik & Pennebaker (2010); Thomson et al. (2009); Van Slyke (2007)	Content Analysis Coding
Collaborative Process	<i>adaptation</i> ( $\alpha = 0.87$ )	Flexibility and openness to adjust course if needed	Alexander (2000); Berzin et al. (2015); Bryson et al. (2015); Chandler (2017); Cornforth et al. (2015); Emerson et al. (2012); Fiol & Lyles (1985); Mattessich et al. (2001); Mosley (2021); Smith (2015)	Flexibility in decision-making, openness for pursuing different approaches, and adjusting if needed. Indexed based on 3-item measure. Likert scale.
	<i>innovation</i> ( $\alpha = 0.83$ )	Learning and incorporating new approaches and strategies into organizational structures and processes.	Berzin et al. (2015); Chen (2010); Chen & Graddy (2010); Fiol & Lyles (1985); Gulati (1999); Koppenjan (2008); Lawson (2004); Leach et al. (2014); Mattessich et al. (2001); Mowery et al. (1996); Selden et al. (2006); Thomson & Perry (2006); Vernis et al. (2006)	Tailoring services and using new approaches based on changing needs and conditions. Indexed based on 2-item measure. Likert scale.



*Continued*

Facilitative Leadership	<i>cultivation</i> ( $\alpha = 0.85$ )	Engaging stakeholders and building relationships.	Ansell & Gash (2008; 2012); Bryson et al. (2015); Huxham & Vangen (1996); McGuire & Silvia (2010); O'Leary et al. (2012); Ospina & Saz-Carranza (2010); Piatak et al. (2018); Sagawa & Segal (2000); Weber & Khademian (2008a); Williams (2002)	Time spent strengthening the commitment of stakeholders and nurturing relationships. Indexed based on 2-item measure. Categorical.
	<i>conflict</i>	Occurrence of conflict between partners.	Ansell & Gash (2012); Bingham & O'Leary (2006); Lawson (2004); McGuire (2006); O'Leary et al. (2012)	Frequency of significant disagreement. Likert scale.

### **Model 3 – Contractor Data Measures (Independent Variables)**

This model proposed an expanded Ansell and Gash (2008) Framework to include the existing factors (Model 1) in combination with the newly proposed factors (Model 2).

#### **4.15. Data Management**

Stata was used for the management and analyses of the data. The survey data were downloaded from Qualtrics and imported into Stata17. The contract data were imported into NVivo12 for coding and the quantified variables were later transferred into Stata. The key variables in this study were cleaned and missing responses were manually excluded from the dataset. During the analyses, Stata automatically removed missing observations (listwise deletion) from the independent and dependent variables during the creation of the composite variables and through the regression modeling. The majority of the variables in the dataset had no missing values on the observations. For the variables that did have missing values, these were numbers were low and only comprised a small percentage of the total number – except for one survey item in a

composite variable. Three of the independent variables had missing values and the range of any given survey item was between 5-47 values (1.5-14%). The exception to this was one survey item with 78 responses indicated “I don’t know” in response to a question about whether the private HSO was able to accurately estimate the need for services. For the three dependent variables with missing values, the range for any given survey item was between 1-23 values (1-7%).

Missing data are problematic in a study for several reasons. Missing data can result in fewer observations, reducing the statistical power and leading to biased estimates (Allison, 2001). This produces invalid or inaccurate study conclusions. While missing data can occur even in a well-designed study, the best course to address missing data is prevention. This can reduce the possibility of missing data resulting from noncoverage of participants, survey total nonresponse, or survey item nonresponse. For the BASSC survey, preventative measures were taken with the careful design and implementation of the survey (e.g., administration to relevant participants only, follow-up reminders, straightforward survey questions, and a skip-logic pattern).

#### 4.16. Analytical Approach

To determine the factors that impact the success of a collaborative effort between public and private HSOs, I analyzed cross-sectional quantitative survey data and qualitative contract data. I tested my hypotheses using a combination of quantitative and qualitative approaches. For the survey data, I employed logistic regressions and for the contract data, I employed a qualitative coding approach (a mixture of deductive and inductive approaches). From the qualitative coding,

I created three variables that were integrated into the quantitative analysis. I used Stata17 for the quantitative analyses and NVivo12 for the content analysis of the qualitative data.

#### 4.16.1. Model Specification

I approached my modeling using two different approaches. First, I used a theoretical approach to decide the variables that should be included in each model. This approach, also known as forced entry, includes variables that are indicated by theory and/or praxis to have an impact on the outcome variable. The variables I included in the theoretical models corresponded to the Ansell and Gash (2008) framework and the additional variables I proposed were included to account for the HSO context.

Second, drawing from the theoretically relevant variables, I used a statistical approach to establish the criteria for variable inclusion (and exclusion) in the models. This approach, also known as stepwise selection or purposeful selection, uses standard regression techniques<sup>6</sup> to select meaningful and significant variables for model inclusion (Hosmer & Lemeshow, 2000). This approach ensures that the selected variables make the greatest impact in predicting the outcome variable, while also remaining as parsimonious as possible.

Bivariate analyses were run for each of the dependent variables on the independent variables. This was conducted for each regression model-type (e.g., binomial, ordinal, and multinomial). During the bivariate regression stage for each modeling approach (see below), I used a p-value of 0.25 to establish a cutoff for inclusion. The variables that were statistically significant at each threshold were included in the model. I also used a stricter threshold p-value of 0.10 and modeled the statistically significant variables for each of the outcome variables

---

<sup>6</sup> MNLR uses the same standard techniques for variable selection as OLS (Petrucchi, 2009).

across each regression type. If a variable did not pass either one of the p-value cutoffs, it was excluded at the next step of regression analyses. The stricter threshold allowed for a comparison of differences in the resulting inclusion variables across the purposeful models. Using both approaches provided a sensitivity analysis to cross-check the models.

For each of the outcome variables, I analyzed a theoretical model and a statistical model for (a) testing the variables to validate the Ansell and Gash (2008) Framework in a HSO context for Model 1, (b) testing the proposed new variables to add to the Ansell and Gash (2008) Framework to account for a HSO context for Model 2, and (c) testing the expanded version of the Ansell and Gash (2008) Framework for application in a HSO context for Model 3. This resulted in six models analyzed for each outcome variable, (one theoretical and one statistical version each for Model 1, Model 2, and Model 3) for a total of 18 models. These multiple analyses provided cross-checks and acted as sensitivity analyses to determine the final, and more appropriate, models. In Chapter 5, I present the results of the final nine statistically significant models.

I used the Spearman's rho to calculate the direction and strength of the association between the independent variables to ensure there were no problems with multicollinearity (Table 4.9). I used Spearman's rho instead of Pearson's correlation to account for the non-parametric variables that are categorical. Results indicate a range of weak to moderate positive and negative associations between the variables.

Table 4.5. Correlation Matrix of Independent and Control Variables

Variables	Duration	Fiscal	Owner	Credibility	Benevolence	Commitment	Shared	Dialogue	Incremental	Facilitation	Term	Language	Specificity	Adaptation	Innovation	Cultivation	Mediation	HSO	Contract	Role
Duration	1.00																			
Fiscal	0.06	1.00																		
Ownership	0.13	-0.18	1.00																	
Credibility	-0.17	-0.12	-0.02	1.00																
Benevolence	-0.14	0.03	0.00	0.73	1.00															
Commitment	0.10	0.36	0.12	-0.05	0.12	1.00														
Shared	-0.06	0.04	0.00	0.54	0.63	0.12	1.00													
Dialogue	-0.17	0.11	-0.04	0.41	0.44	0.18	0.64	1.00												
Incremental	0.00	0.20	-0.02	0.00	0.02	0.18	0.05	0.24	1.00											
Facilitation	0.02	0.24	0.01	-0.08	-0.05	0.14	-0.07	0.10	0.37	1.00										
Term	-0.04	-0.02	-0.05	0.13	0.11	-0.12	0.17	0.12	-0.05	-0.01	1.00									
Language	-0.04	0.13	0.01	0.17	0.18	-0.05	0.17	0.19	0.04	0.10	0.53	1.00								
Specificity	-0.08	0.06	-0.07	0.20	0.18	-0.07	0.18	0.14	-0.08	-0.10	0.38	0.50	1.00							
Adaptation	-0.17	-0.05	0.06	0.67	0.71	0.17	0.48	0.44	0.09	-0.08	0.06	0.10	0.13	1.00						
Innovation	-0.11	0.04	-0.10	0.19	0.13	0.15	0.05	0.13	0.08	0.06	-0.03	0.05	0.05	0.27	1.00					
Cultivation	-0.06	0.30	-0.06	-0.11	-0.07	0.10	0.01	0.11	0.29	0.62	0.06	0.16	0.02	-0.04	0.03	1.00				
Mediation	0.15	0.11	0.15	-0.47	-0.44	-0.07	-0.43	-0.30	0.12	0.10	-0.10	-0.09	-0.18	-0.43	-0.09	0.08	1.00			
HSO	0.14	-0.12	-0.09	-0.07	-0.14	-0.09	-0.04	-0.08	-0.04	-0.08	0.07	-0.11	-0.09	-0.03	-0.01	-0.02	-0.01	1.00		
Contract	0.17	-0.11	-0.09	0.00	-0.14	-0.13	-0.09	-0.06	-0.03	-0.07	0.05	-0.02	0.00	-0.13	-0.03	0.03	0.03	0.66	1.00	
Role	0.05	0.03	-0.11	0.00	0.11	0.10	-0.08	-0.02	0.10	0.02	-0.06	0.04	-0.01	0.11	0.15	-0.18	-0.06	-0.29	-0.29	1.00

#### 4.16.2. Model Selection

As the outcome variables were categorical in nature, using ordinary least squares (OLS) regression for modeling would lead to biased and inconsistent coefficients (Williams, 2016). The statistical assumptions for OLS (e.g., linearity and normality) are too strict for these data (Peng, Lee, & Ingersoll, 2002). When the outcome variable is binary or categorical in nature, logistic regression is the most appropriate method for modeling (Long & Freese, 2014). Logistic regression uses maximum likelihood estimation (MLE) to identify the probability of occurrence and this approach “is well suited for describing and testing hypotheses about relationships between a categorical outcome variable and one or more categorical or continuous predictor variables” (Peng et al., 2002, p. 4).

In the following sections, I explain my coding process of the qualitative contract data and the quantification of these measures. Next, I explain my iterative process of using different types of logistic regression to accommodate the quantitative data. I employed ordinal logistic regression (OLR), multinomial logistic regression (MNLR), and binomial logistic regression (BLR).

#### 4.16.3. Contract Coding

Contract documents provide a valuable – and largely untapped – source of information. While the presence and usage of contracts provides an important source of data, the contents of the contract documents also provide meaningful information. Contracts are a method of communication and reveal the goals, priorities, and values of a collaborative arrangement. I used content analysis to systematically categorize and analyze the qualitative text from the contract documents. Content analysis is an empirically grounded method that uses a systematic and

replicable approach for the analysis of qualitative information (Elo et al., 2014; Krippendorff, 2018; Weber, 1990). Although similar to grounded theory, content analysis emphasizes the classification of communication materials into categories to systematically describe textual information but does not focus on identifying relationships among these categories (Cho & Lee, 2014).

There are different types of content analysis and I employed conceptual content analysis. This method is used to identify the presence, frequency, and centrality of certain words or phrases in a text document (Huxley, 2020). Conceptual content analysis is useful for measuring and quantifying terms (Huxley, 2020), and identifying patterns of concepts (i.e., words, phrases) in qualitative data.

Using conceptual content analysis, I identified and coded specific concepts that I later quantified and integrated into my logistic regression modeling. From the data call, 811 contracts were received and compiled the original data corpus. I imported the data into NVivo12 and then reviewed a subset of the data to become familiar with the documents.

First, I determined the criteria and parameters for inclusion in the content analysis. To maintain the integrity of coding across the contracts, I excluded contracts if they (a) did not relate to direct HSO service provision, (b) did not provide services fully or partially in the year 2013-2014 (e.g., multi-year contract), or (c) were missing multiple pages or were indecipherable due to electronic transmission. I applied the inclusion criteria which reduced the final dataset to 414 contracts which were coded. The number of contracts per a county ranged from 42-141, with an average 83 contracts per county with a private HSO provider. The primary service areas of the contract consisted of adult and aging, child welfare, employment training, and economic assistance.

Second, I focused on the presence of specific words or phrases and their centrality (location) in the contract document. I developed the coding categories using a combination of a deductive approach and an inductive approach. The coding process resulted in three coding categories. These codes reflected the Institutional Design component of the Ansell and Gash (2008) Collaborative Governance Framework, which consists of “the basic protocols and ground rules for collaboration, which are critical for the procedural legitimacy of the collaborative process” (p. 555).

For the deductive approach, I relied on the extant literature on contracting. I created two coding categories – the length of a contractual arrangement and the specificity of a contract’s contents – based on extant research that has demonstrated that the length of a contract term and the inclusion of specific contractual elements (e.g., purpose, roles, and performance measures) can impact the contractual relationship. The code for *contract term* encompassed the length of the contract. For each contract, I coded the indicated start-date and end-date for service delivery. The code for *contract specificity* encompassed the inclusion and level of detail for key contractual elements that are considered “best practices” regarding the quality and effectiveness of a contract. I organized these elements into five broad classifications. These include the purpose or goals of the contract, the service plan (scope of work), the responsibilities for each contractual partner, performance measures (e.g., service quantity and quality, process and outcome deliverables, timelines), and sanction or termination clauses.

The inductive approach was based on an emergent process where I observed instances of the stem word “collabor” in the contract documents. I examined the contract documents for the presence and frequency of “collabor” or any iteration that used this stem (e.g., collaborate,



collaboration, collaborating). The code *collaborative language* encompassed the presence and frequency of “collabor” in the contract documents.

Third, I conducted manual coding according to the three coding categories. I initially coded 50 contracts randomly selected across multiple counties and service areas. From this, I refined my coding categories (i.e., the inclusion criteria and code definition) and then applied to the entire dataset for continuity and reliability. I conducted manual coding for several reasons. I wanted to ensure that the presence or usage of a concept was meaningful. Manual coding provided an opportunity to understand semantic and contextual information embedded in the text to help make sense of nuanced information and interpretation meaning based on context clues. A critique of content analysis is the potential for overly simplistic and reductive coding results when reducing text into quantifiable units. Manual coding mitigates some of these issues since contextual factors and meaning can be taken into consideration when coding to present a more accurate and holistic perspective in the coding. See Section 4.12 for more information on how these codes were operationalized and measured.

Fourth, I quantified the three coding categories from the results of the content analysis. I quantified *contract term* by calculating the number of months that each contract was in operation and created a continuous variable. The time frame for contracts ranged from 2-24 months with an average duration of just under 15 months.

I quantified *contract specificity* by calculating the presence and detail of the aforementioned “best practices” contractual elements. I created a binary variable based on a low-level of specificity versus a high-level of specificity. For *contract specificity*, the average contract had a high-level of specificity. One-fifth of contracts had low-level of specificity. If a contract was missing one or more of the five main categories (purpose/goals, service plan,

responsibilities, performance measures, or sanction/termination) or if any of the five categories was severely anemic, then I coded it as a low-level. The remaining four-fifths (80%) of contracts indicated a high-level of specificity.

I quantified *contract language* by calculating the frequency the stem word “collabor” appeared in the contracts and created a continuous variable. On average 1.8 times per contract for a total of 759 instances across the 414 contracts. There was significant variation with the usage of “collabor” as the instances per a contract ranged from 0-80. If “collabor” was not included in the main text of the contract, then it was not coded. There was no distinction made between the different words based on “collabor” (e.g., collaborate versus collaboration).

Overall, the HSO contracts tended to be on a shorter timeframe despite research indicating that these types of service agreements tend to be executed for a longer timeframe based on the complexity and uncertainty of HSO service provision. However, almost half of the contracts included some type of collaborative language, indicating the attention to collaborative factors in a contractual relationship. The specificity for the contracts had the least amount of variation with the majority of contracts indicating a high-level of specificity.

Once the three codes were quantified, I performed descriptive statistics on each one and then added to my logistic regression models for each of my dependent variables for Models 2 and 3. Similar to my quantitative survey data, I ran bivariate regressions to check for statistical significance (stepwise approach) and also added these three variables into my theoretically-based models. See Table 4.7 for the descriptive statistics.

#### 4.16.4. Regression Analyses

First, I tested the variables that I operationalized based on the existing Ansell and Gash (2008) framework for validation in the human services context. I estimated the effects of the factors in Starting Conditions, Institutional Design, Collaborative Process, and Facilitative Leadership on achieving successful collaborative outcomes. Second, I proposed the additional factors of *adaptation*, *innovation*, *cultivation*, and *conflict* to account for the HSO context that may impact the success of a collaborative outcome between public and private HSOs. Finally, I combined the variables from Model 1 with the variables from Model 2 to determine if an expanded collaborative governance framework is appropriate for the human services context. All of the modeling was conducted in an iterative fashion to ensure careful consideration of the theoretically- and statistically-relevant factors.

As my outcome variables were categorical variables, with five ordered categories, I first employed ordinal logistic regression analyses to assess the impact of multiple independent variables on each dependent variable. Ordinal logistic regression is an extension of binomial logistic regression (Brant, 1990; McCullagh, 1980). I employed ordinal logistic regression as my dependent variables were ordinal variables that were categorical and with more than two categories that were naturally ordered (Agresti, 2018). As Likert items consist of ranked response alternatives to create an attitudinal measurement scale (Likert, 1932), using ordinal logistic regression was an appropriate approach to analyze these data. Ordinal data consist of response categories that have a ranked order based on the level of magnitude but the true distance between each value may be unequal or unknown (Norman, 2010).

Due to issues with all the ordinal logistic regression models properly fitting the data and violating the proportional odds assumption (Brant, 1990), I turned next to using multinomial

logistic regression. Multinomial logistic regression is often considered an extension of binomial logistic regression as it allows for more than two outcome categories (Long & Freese, 2014) and it can “leverage the power of binary logistic regression and generalize it to a categorical dependent variable with more than two categories” (Osborne, 2015, p. 338). Multinomial logistic regression requires at least three categories for the dependent variable (Hosmer & Lemeshow, 2000). These categories can be ordered or unordered, but multinomial logistic regression does not assume an inherent order. Multinomial logistic regression assigns a reference group, using one category of the dependent variable for comparison. The interpretation of the model coefficients is always explained in terms of the probability of each independent variable belonging to a specific outcome category of the dependent variable, in comparison to a reference category.

There are several strengths to utilizing multinomial logistic regression. This approach allows for the determination of differential characteristics of each category via estimation of coefficients for each level of the comparison in the dependent-independent variable relationships (Hosmer & Lemeshow, 2000). As different estimates are calculated for each of these relationships, the effect of a particular variable can be isolated and identified (Petrucci, 2009). In addition, this approach is useful in the social sciences where it is common – and useful – to classify data in a categorical manner (Petrucci, 2009). Creating meaningful categories of the outcome variable is also useful for practitioners. The limitation of multinomial logistic regression is the need for a relatively large sample size across all categories of the dependent variable and independent variables to ensure accurate estimation of parameters (Petrucci, 2009).

Multinomial logistic regression is based on the independence of irrelevant alternatives (IIA) assumption. IIA requires that between the categories of the outcome variable, the inclusion

or exclusion of one category does not impact the probability (or relative risk ratio) of another remaining category. For example, a respondent's probability for choosing a high-level of satisfaction with *relationship quality* was made independently of whether there existed an option to choose a neutral-level or a low-level of satisfaction.

*Relationship quality* originally consisted of five outcome categories, ranging from “strongly disagree” to “strongly agree” for satisfaction with the relationship with their public HSO counterpart. For analysis, I collapsed these five categories into three categories to account for the level of satisfaction. These three categories were low (responses indicating strongly disagree and disagree), neutral (responses indicating neither disagree or agree), and high (responses indicating satisfied and highly satisfied). I reduced the number of categories for two reasons. First, to improve the power of the model, as each outcome category must have enough observations in order provide enough power to fit the model. Second, for ease of interpretation (for theory development and practical application) as a five-category outcome variable can be difficult to understand (Hosmer & Lemeshow, 2000). I modeled *relationship quality* as a three-categorical version and analyzed the theoretical model as well as the statistical model. This approach was effective for assessing the impact of the independent variables on *relationship quality*.

While *organizational goals* and *client goals* were each originally assessed using multinomial logistic regression, issues with a highly skewed distribution of responses created problems with sufficient variation and adequate power to model as more than two outcome categories. As a result, these two variables were converted into binary variables and analyzed using binomial logistic regression. I collapsed the five outcome categories to two categories for each variable to stabilize the distribution and reduce the skewness. While there is a potential for

loss of information or nuance with collapsing data categories, I kept the number of observations intact for each variable. Two versions were analyzed to determine which re-classification strategy of the categories was most relevant. I present the results of the more robust version.

*Organizational goals* originally consisted of five outcome categories ranging from “poor” to “excellent” to account for the quality of service for achieving organizational-related outcomes. I collapsed these five categories into two categories to account for the level of quality. These two categories were low (responses indicating poor, acceptable, fair, and good) and high (responses indicating excellent). *Client goals* originally consisted of five outcome categories, ranging from “poor” to “excellent” to account for the quality of service for achieving client-related outcomes. I collapsed these five categories into two categories to account for the level of quality. These two categories were low (responses indicating poor, acceptable, fair, and good) and high (responses indicating excellent).

## Chapter 5. Results

### 5.1. Introduction

In this chapter I present the key findings from my analyses from Chapter 4. I begin with the descriptive statistics for each variable. I then provide an overview of the results for each outcome of interest in this study: *relationship quality*, *organizational goals*, and *client goals*. For each outcome of interest, I present the results from each of the three models. First, I present the results from Model 1 where I tested the existing variables to validate the existing Ansell and Gash (2008) Collaborative Governance Framework in the human services context. Second, I present the results from Model 2 where I tested the proposed new variables to account for the HSO context. Third, I present the results from Model 3 where I combined the existing variables with the new variables to test an expanded framework that incorporates universal and context-specific factors relevant to collaboration in HSOs.

### 5.2. Descriptive Statistics

The following sections provide the descriptive statistics for the study's measures. All the variables were derived from the Contractor Survey (Survey 2) with the exception of three independent variables (*relationship duration*, *fiscal dependence*, and *ownership*) which were derived from the Organizational Survey (Survey 3). Variables were measured using binary, categorical, continuous, and ordinal scales. Variables measured in years were based on 2015 as the end date.

### 5.2.1. Relationship Quality

*Relationship quality* was a categorical variable with five mutually exclusive outcome categories. There were 345 observations measured on a scale of 1-5 with a mean value of 3.86 (SD = 1.09) with a median value of 4. One-third of the respondents reported that they felt moderately satisfied with their relationship with their contractual partner in a public HSO while another one-third reported feeling highly satisfied.

### 5.2.2. Organizational Goals

*Organizational goals* was a composite, categorical variable with five mutually exclusive outcome categories, ranging from “poor” to “excellent” for service quality. There were 337 observations measured on a scale of 1-5 with a mean value of 4.58 (SD = 0.55) and a median value of 5. The majority of respondents reported that the quality of services based on contract performance for meeting organizational-related outcomes was excellent. Only 1% of the respondents reported the quality as being “poor.”

### 5.2.3. Client Goals

*Client goals* was a composite, categorical variable with five mutually exclusive outcome categories, ranging from “poor” to “excellent” for service quality. There were 331 observations measured on a scale of 1-5 with a mean value of 4.45 (SD = 0.58) and a median value of 5. The majority of respondents reported that the quality of services based on contract performance for meeting client-related outcomes was excellent. No respondents reported the quality as being “poor” and only 1% reported the quality as being “below average.”



Table 5.1 summarizes the descriptive statistics for the Dependent Variables. The ordinal variables were measured in ascending order on a 5-point scale, with 1 indicating a “low” level and 5 indicating a “high” level.

Table 5.1. Descriptive Statistics for Dependent Variables

Variable	Type	Scale	Obs.	Mean	Median	Freq.	SD	Min.	Max.
<i>relationship quality</i>									
	Ordinal (level of agreement)	5-point Likert 1 item	345	3.86	4	1 = 14 2 = 25 3 = 75 4 = 114 5 = 117	1.09	1	5
<i>goal achievement</i>									
<i>(1) organizational goals</i>	Ordinal (level of quality)	5-point Likert 4 items	337	4.58	5	1 = 1 2 = 0 3 = 7 4 = 97 5 = 232	0.55	1	5
<i>(2) client goals</i>	Ordinal (level of quality)	5-point Likert 3 items	331	4.45	5	1 = 0 2 = 1 3 = 12 4 = 147 5 = 171	0.58	1	5

#### 5.2.4. Independent Variables (Model 1)

There were nine independent variables for Model 1. These variables were continuous, categorical, and ordinal in nature. The number of observations ranged from 246–351 for the

variables. On average, private HSOs had a relationship with public HSOs for 20 years (*relationship duration*) (SD = 14.16) and reported 31% of their revenue was based on public HSO contracts (*fiscal dependence*) (SD = 28.02). The majority of the private HSOs were nonprofit (93%) (*organizational ownership*).

Respondents reported a moderate level of *trust* – both on the *credibility* and the *benevolence* dimension – with their public HSO counterpart. Respondents indicated a moderate-high level of *commitment* to the collaborative process and a *shared understanding* of the collaborative effort. While respondents indicated that there was moderately-strong *dialogue* in terms of the accuracy frequency, and timeliness of communication, the time spent working towards achieving *incremental gains* was very limited. Similarly, the time spent on the *facilitation* of staff involvement and development was also very limited.

Table 5.2 summarizes the descriptive statistics for the Independent Variables in Model 1. The ordinal variables were measured in ascending order on a 5-point scale, with 1 indicating a “low” level and 5 indicating a “high” level.

Table 5.2. Descriptive Statistics for Independent Variables (Model 1)

Variable	Type	Scale	Obs.	Mean	Median	Freq.	SD	Min.	Max.
<i>relationship duration</i>	Continuous	Time - Years	246	20	17		14.16	0	86
<i>fiscal dependence</i>	Continuous	Percentage	300	31.33%	20.5%		28.02	0	100
<i>organizational ownership</i>	Binary	For-profit (0) or Nonprofit (1)	383	0.93	1	0 = 27 1 = 356	.27	0	1
<i>trust</i>									
<i>(1) credibility</i>	Ordinal (level of agreement)	5-point Likert 4 items	346	3.88	4	1 = 8 2 = 29 3 = 67 4 = 133 5 = 109	1.02	1	5
<i>(2) benevolence</i>	Ordinal (level of agreement)	5-point Likert 3 items	344	3.81	4	1 = 12 2 = 28 3 = 77 4 = 122 5 = 105	1.07	1	5
<i>commitment</i>	Ordinal (level of agreement)	5-point Likert 3-items	316	4.10	4	1 = 2 2 = 26 3 = 50 4 = 128 5 = 141	0.95	1	5
<i>shared understanding</i>	Ordinal (level of agreement)	5-point Likert 4 items	312	4.23	5	1 = 5 2 = 12 3 = 47 4 = 90 5 = 158	0.95	1	5
<i>dialogue</i>	Ordinal (level of agreement)	5-point Likert 3 items	309	3.82	4	1 = 4 2 = 15 3 = 95 4 = 113 5 = 82	0.92	1	5
<i>incremental gains</i>	Categorical (amount of time)	4 options (none, a little, moderate, a lot) 1 item	351	2.39	2	1 = 41 2 = 166 3 = 111 4 = 33	0.81	1	4
<i>facilitation</i>	Categorical (amount of time)	4 options (none, a little, moderate, a lot) 3 items	339	2.12	2	1 = 93 2 = 136 3 = 92 4 = 18	0.87	1	4

#### 5.2.5. Independent Variables (Model 2)

There were seven independent variables for Model 2 – three derived from the contract data and four from the survey data. In the contract data, the variables were either continuous or binary. The number of observations for each contract variable was 414. The average contract lasted for almost 15 months and ranged from 2-24 months (*contract term*). More than half of the contracts (54%) did not include any mention of “collabor” with an average occurrence of 1.83 and a range of 0-80 occurrences (*contract language*). The majority of the contracts included multiple “best practice” elements with significant detail (*contract specificity*). In the survey data, the variables were categorical and ordinal in nature. The number of observations for the survey data ranged from 333-352 for the variables. Respondents were neutral with regards to their ability to adjust to changes (*adaptation*). They indicated a moderate-high level for their ability to acquire and apply new knowledge to change service delivery structures and/or processes (*innovation*). Respondents indicated a little to a moderate amount of time was spent cultivating relationships with stakeholders (*cultivation*) and a low-level of conflict as there were very few significant disagreements with their public HSO counterparts (*conflict*).

Table 5.3 summarizes the descriptive statistics for the Independent Variables in Model 2. The ordinal variables were measured in ascending order on a 5-point scale, with 1 indicating a “low” level and 5 indicating a “high” level.

Table 5.3. Descriptive Statistics for Independent Variables (Model 2)

Variable	Type	Scale	Obs.	Mean	Median	Freq.	SD	Min.	Max.
<i>contract term</i>	Continuous	Time - Months	414	14.70	12		6.49	2	24
<i>contract specificity</i>	Binary	Low (0) or High (1)	414	0.72	1	0 = 112 1 = 302	0.45	0	1
<i>contract language</i>	Continuous	Count	414	1.83	0		5.08	0	80
<i>adaptation</i>	Ordinal (level of agreement)	5-point Likert 3 items	333	3.24	3	1 = 19 2 = 66 3 = 112 4 = 88 5 = 48	1.10	1	5
<i>innovation</i>	Ordinal (level of agreement)	5-point Likert 2 items	352	4.16	5	1 = 10 2 = 21 3 = 50 4 = 93 5 = 178	1.06	1	5
<i>cultivation</i>	Categorical (amount of time)	4 options (none, a little, moderate, a lot) 2 items	337	2.51	3	1 = 53 2 = 107 3 = 128 4 = 49	0.93	1	4
<i>conflict</i>	Ordinal (level of frequency)	5-point Likert 1 item	335	1.73	2	1 = 155 2 = 129 3 = 38 4 = 11 5 = 2	0.83	1	5

### 5.2.6. Control Variables

In this study I controlled for several key variables that were theoretically relevant and could impact successful collaborative outcomes. The descriptive statistics are presented in Table 5.4. Across three variables, the observations ranged from 358-369. On average, respondents had 19 years of *human services experience*. These respondents had an average of 12 years of *contract*

*experience*, either managing or participating in the contract process. For *organizational role*, the respondents identified as currently working in at the executive, administrative, or program staff (front-line) level. More than half of the respondents (57%) worked at the executive level in their organization (n=210) while the other 43% either worked at the administrative level (n=65) and or at the program level (n=94).

Table 5.4 summarizes the descriptive statistics for the Control Variables.

Table 5.4. Descriptive Statistics for Control Variables

Variable	Type	Scale	Obs.	Mean	Median	Freq.	SD	Min.	Max
<i>human services experience</i>	Continuous	Years	358	18.78	17		11.67	0	56
<i>contract experience</i>	Continuous	Years	365	14.55	12		10.60	0	45
<i>organizational role</i>	Categorical	Job Position (executive, administrative, program)	369	1.69	1	1 = 210 2 = 65 3 = 94	0.85	1	3

### 5.3. Relationship Quality

*Relationship quality* was modeled as a three-category outcome variable using multinomial logistic regression. The original variable consisted of five categories (based on an ordinal scale), but these were condensed to improve the fit of the model and for ease of interpretation. The revised version of *relationship quality* consisted of three categories. Each category corresponded to the level of satisfaction with the relationship: Low (dissatisfied, n=39), neutral (neither dissatisfied or satisfied, n=75), and high (satisfied, n=231). The referent group for *relationship quality* was the high-level of satisfaction and the comparison groups were the low- and neutral-levels of satisfaction.

In the next section, I present the results of the multinomial logistic regressions. I review the statistically significant variables that met a  $p < 0.01$  or  $p < 0.05$  cutoff. These variables are from the statistically significant models that used a cutoff of  $p < 0.10$  during model-building for purposeful selection. The results of these models aligned very closely with the theoretically-based models with the exception of a higher number of observations and some slight variation in the significant coefficients.

Based on my analyses on the three models for *relationship quality*, I found support for several of my hypotheses for the validation, addition, and expansion of Ansell and Gash's (2008) Collaborative Governance Framework in the human services context.

#### 5.3.1. Model 1 Results (Framework Validation)

In Model 1, I found support for several of my hypotheses for variables from the Collaborative Process and Facilitative Leadership components in the Framework. The variables of *trust (credibility and benevolence)*, *incremental gains*, *dialogue*, and *facilitation* have a positive

association with *relationship quality*. I did not find support for the other variables in the Collaborative Process or any variables from Starting Conditions or Institutional Design.

#### 5.3.1.1. Trust

The relationship between *trust* (H4a) and *relationship quality* is statistically significant for both dimensions of *trust* (*credibility and benevolence*). As *trust* (*credibility and benevolence*) increases, the likelihood for indicating a low or neutral satisfaction with the relationship decreases, indicating that the likelihood for achieving *relationship quality* increases as a result. For every one unit increase in *credibility*, low satisfaction with the relationship decreases by a factor of .07 relative to high relationship quality, all else constant. For every one unit increase in *credibility*, neutral satisfaction with the relationship decreases by a factor of 0.24, relative to high relationship satisfaction, all else constant. For every one unit increase in *benevolence*, low satisfaction with the relationship decreases by a factor of 0.12, relative to high relationship satisfaction, all else constant. For every one unit increase in *benevolence*, neutral satisfaction with the relationship decreases by a factor of 0.34, relative to high relationship satisfaction, all else constant.

#### 5.3.1.2. Incremental Gains

The relationship between *incremental gains* (H7a) and *relationship quality* is statistically significant for one outcome category. As *incremental gains* increases, the likelihood for indicating a neutral satisfaction with the relationship decreases, indicating that the likelihood for achieving *relationship quality* increases as a result. Achieving “small wins” and building momentum during collaboration has a positive association with *relationship quality*. *Incremental*



*gains* is not statistically significant for low satisfaction relative to a high relationship satisfaction. For every one unit increase in *incremental gains*, neutral satisfaction with the relationship decreases by a factor of 0.14, relative to high relationship satisfaction, all else held constant.

#### 5.3.1.3. Dialogue

The relationship between *dialogue* (H8a) and *relationship quality* is statistically significant for one outcome category. As *dialogue* increases, the likelihood for indicating a low satisfaction with the relationship decreases, indicating that the likelihood for achieving *relationship quality* increases as a result. Communication between collaborative has a positive association with *relationship quality*. For every one unit increase in dialogue, low satisfaction with the relationship decreases by a factor of 0.30, relative to high relationship satisfaction, all else constant.

#### 5.3.1.4. Facilitation

The relationship between *facilitation* (H9a) and *relationship quality* is statistically significant for one outcome category but does not support the projected directional impact of my hypothesis. As *facilitation* increases, the likelihood for indicating a low satisfaction with the relationship increases. Stewarding the collaborative process has a negative association with *relationship quality*. For every one unit increase in *facilitation*, low satisfaction with the relationship increases by a factor of 6.50, relative to high relationship satisfaction, all else constant. While statistically significant, the standard error for this variable is 5.91.

### 5.3.2. Model 2 Results (Framework Addition)

In Model 2, I found support for two of my hypotheses for variables from the Collaborative Process component and the Facilitative Leadership component in the Framework. *Adaptation* has a positive association with *relationship quality* while *conflict* has a negative association with *relationship quality*. I did not find support for any other proposed variables for Model 2.

#### 5.3.2.1. Adaptation

The relationship between *adaptation* (H13a) and *relationship quality* is statistically significant. As *adaptation* increases, the likelihood for indicating a low or neutral satisfaction with the relationship decreases, indicating that the likelihood for achieving *relationship quality* increases as a result. The ability to adjust and make changes has a positive association with *relationship quality*. For every one unit increase in *adaptation*, low satisfaction with the relationship decreases by a factor of 0.15, relative to high relationship satisfaction, all else constant. For every one unit increase in *adaptation*, neutral satisfaction with the relationship decreases by a factor of 0.39, relative to high relationship satisfaction, all else constant.

#### 5.3.2.2. Conflict

The relationship between *conflict* (H16a) and *relationship quality* is statistically significant for one outcome category. As *conflict* increases, the likelihood for indicating low satisfaction with the relationship increases, indicating that the likelihood for achieving *relationship quality* decreases as a result. A high frequency of *conflict* between collaborative partners has a negative association with *relationship quality*. For every one unit increase in *conflict*, low satisfaction

with the relationship increases by a factor of 3.19, relative to high relationship satisfaction, all else constant.

### 5.3.3. Model 3 Results (Framework Expansion)

In Model 3, I found support for several variables from the Collaborative Process component and the Facilitative Leadership component in the Framework. The variables *trust (credibility and benevolence)*, *incremental gains*, *dialogue*, and *adaptation* have a positive association with *relationship quality*.

#### 5.3.3.1. Trust

The relationship between *trust* (H4a) and *relationship quality* is statistically significant for both dimensions of *trust (credibility and benevolence)*. As *trust* increases, the likelihood for indicating a low or neutral satisfaction with the relationship decreases, indicating that the likelihood for achieving *relationship quality* increases as a result. For every one unit increase in *credibility*, low satisfaction with the relationship decreases by a factor of 0.12, relative to high relationship satisfaction, all else constant. For every one unit increase in *credibility*, neutral satisfaction with the relationship decreases by a factor of 0.26, relative to high relationship satisfaction, all else constant. For every one unit increase in *benevolence*, low satisfaction with the relationship decreases by a factor of 0.14, relative to high relationship satisfaction, all else constant. For every one unit increase in *benevolence*, neutral satisfaction with the relationship decreases by a factor of 0.39, relative to high relationship satisfaction, all else constant.

#### 5.3.3.2. Incremental Gains

The relationship between *incremental gains* (H7a) and *relationship quality* is statistically significant. As *incremental gains* increases, the likelihood for indicating a low or neutral satisfaction with the relationship decreases, indicating that the likelihood for achieving *relationship quality* increases as a result. Achieving “small wins” and momentum during collaboration has a positive association with *relationship quality*. For every one unit increase in *incremental gains*, low satisfaction with the relationship decreases by a factor of 0.06, relative to high relationship satisfaction, all else constant. For every one unit increase in *incremental gains*, neutral satisfaction with the relationship decreases by a factor of 0.12, relative to high relationship satisfaction, all else constant.

#### 5.3.3.3. Dialogue

The relationship between dialogue (H8a) and *relationship quality* is statistically significant for one outcome category. As dialogue increases, the likelihood for indicating a low satisfaction with the relationship decreases, indicating that the likelihood for achieving *relationship quality* increases as a result. Communication between collaborative has a positive association with *relationship quality*. For every one unit increase in dialogue, low satisfaction with the relationship decreases by a factor of 0.34, relative to high relationship satisfaction, all else constant.

#### 5.3.3.4. Adaptation

The relationship between *adaptation* (H13a) and *relationship quality* is statistically significant for one outcome category. As *adaptation* increases, the likelihood for indicating a low satisfaction with the relationship decreases, indicating that the likelihood for achieving

*relationship quality* increases as a result. The ability to adapt and adjust course during the collaborative process has a positive association with *relationship quality*. *Adaptation* (H13a) is not statistically significant for neutral satisfaction relative to a high relationship satisfaction. For every one unit increase in *adaptation*, low satisfaction with the relationship decreases by a factor of 0.35, relative to high relationship satisfaction, all else constant.

#### 5.3.4. Summary of Results for Relationship Quality

Several of my projected hypotheses were supported in terms of the directional relationship in addition to demonstrating statistical significance. For Model 1 (framework validation), I found a positive relationship between *trust (credibility and benevolence)*, *incremental gains*, and *dialogue* with *relationship quality*. Although statistically significant, the relationship between *facilitation* and *relationship quality* was not supported by my hypothesis as it has a negative association with *relationship quality*. For Model 2 (framework addition), I found a positive relationship between *adaptation* and *relationship quality* and a negative relationship between *conflict* and *relationship quality*. For Model 3 (framework expansion), I found a positive relationship between *trust (credibility and benevolence)*, *incremental gains*, and *adaptation* with *relationship quality*. However, despite the statistical significance of these variables, it is important to note that the small values of the coefficients indicate minimal practical significance. I discuss several potential reasons for this in Chapter 6.

Table 5.5 presents the results of the multinomial logistic regression for *relationship quality*. For meaningful and applicable interpretation, I present the relative risk ratios (RRR) for each

coefficient. The RRR is the ratio of the probability of an outcome for one category compared to the probability of an outcome for another category. The  $RRR > 1$  for a coefficient indicates that the probability (risk) of the outcome being in the comparison category, relative to the referent category, *increases* as the independent variable increases. The  $RRR < 1$  for a coefficient indicates that the probability (risk) of the outcome being in the comparison category, relative to the referent category, *decreases* as the independent variable increases. The RRR is also referred to as the “likelihood” of an outcome occurring, relative to the referent category. The referent group is the high-level of satisfaction<sup>7</sup>.

---

<sup>7</sup> Empty cells indicate the variable dropped out of the model due to lack of statistical significance during model-building or if not included due to lack of relevance for a specific model (Model 1 or Model 2).

Table 5.5. Multinomial Logistic Regression Results: Relationship Quality

VARIABLES	<b>Model 1</b> Relationship Quality		<b>Model 2</b> Relationship Quality		<b>Model 3</b> Relationship Quality	
	Low vs. High	Neutral vs. High	Low vs. High	Neutral vs. High	Low vs. High	Neutral vs. High
<b>credibility</b>	<b>0.07**</b> (0.03)	<b>0.24**</b> (0.07)			<b>0.12**</b> (0.06)	<b>0.26**</b> (0.08)
<b>benevolence</b>	<b>0.12**</b> (0.06)	<b>0.34**</b> (0.11)			<b>0.14**</b> (0.07)	<b>0.39**</b> (0.12)
commitment	0.84 (0.28)	0.71 (0.15)			1.00 (0.37)	0.71 (0.17)
shared understanding	1.95 (0.93)	1.00 (0.32)			1.56 (0.79)	0.89 (0.31)
<b>incremental gains</b>	0.16 (0.19)	<b>0.14**</b> (0.10)			<b>0.06*</b> (0.09)	<b>0.12**</b> (0.09)
<b>dialogue</b>	<b>0.30**</b> (0.13)	0.62 (0.18)			<b>0.34*</b> (0.18)	0.69 (0.21)
<b>facilitation</b>	<b>6.50*</b> (5.91)	2.09 (1.25)			5.32 (6.99)	1.57 (1.24)
specificity			0.76 (0.40)	0.99 (0.35)	0.92 (0.74)	1.33 (0.65)
<b>adaptation</b>			<b>0.15**</b> (0.05)	<b>0.39**</b> (0.07)	<b>0.35*</b> (0.18)	0.75 (0.21)
innovation			0.77 (0.17)	0.93 (0.15)	0.62 (0.20)	0.77 (0.16)
cultivation			1.55 (1.37)	0.74 (0.49)	2.19 (3.38)	1.14 (1.12)
<b>conflict</b>			<b>3.19**</b> (1.00)	1.55 (0.35)	1.31 (0.63)	1.05 (0.34)
contracts	1.00 (0.03)	1.01 (0.02)	1.02 (0.02)	1.01 (0.02)	1.00 (0.03)	1.01 (0.02)
Observations	284		299		274	

Standard errors in parentheses  
 \*\* p<0.01, \* p<0.05

#### 5.4. Organizational Goals

*Organizational goals* was modeled as a binary outcome variable using binomial logistic regression. The original variable consisted of five categories (based on an ordinal scale), but I collapsed the five categories into two categories to improve the fit of the model. The revised version of *organizational goals* consisted of two categories. Each category corresponded to the performance quality for meeting organizational-related goals: Low quality (poor, acceptable, fair, and good performance, n=105) and high quality (excellent performance, n=122).

Table 5.6 shows the results of the binomial logistic regression based on the statistically significant models (cutoff of  $p < 0.10$  for purposeful selection). The results of these models aligned very closely with the theoretically-based models with the exception of significant differences in the number of observations and some slight variation of the significant coefficients. For meaningful and applicable interpretation, I present the odds ratio for each variable and the standard error in parentheses below. The odds ratio is the exponentiation of the beta coefficient which indicates the change in the logit or “log odds.” The odds ratio indicates the strength of the association between the independent and dependent variables.

Based on my analyses on the three models for *organizational goals*, I found support for two of my proposed hypotheses for adding to the collaborative governance framework for application in HSOs. For Model 2 and Model 3, *conflict* was statistically significant for achieving excellent performance in meeting *organizational goals*, all else held constant. For Model 3, *commitment* was statistically significant for achieving excellent performance in meeting *organizational goals*, all else held constant



#### 5.4.1. Model 1 Results (Framework Validation)

In Model 1, I did not find any support for any of the existing variables.

#### 5.4.2. Model 2 Results (Framework Addition)

In Model 2, I found support for *conflict* from the Facilitative Leadership component in the Framework.

##### 5.4.2.1. Conflict

The relationship between *conflict* (H16b) and *organizational goals* is statistically significant. The occurrence of conflict has a negative association with *organizational goals*. As the frequency of significant disagreement between collaborative partners increases, the odds of achieving *organizational goals* decreases. For every one unit increase in *conflict*, the odds of achieving *organizational goals* decreases by 0.55, all else constant.

#### 5.4.3. Model 3 Results (Framework Expansion)

In Model 3, I found support for *commitment* from the Collaborative Process component in the Framework and for *conflict* from the Facilitative Leadership component in the Framework.

##### 5.4.3.1. Commitment

The relationship between *commitment* (H5b) and *organizational goals* is statistically significant. As identification with and active involvement or efforts in the collaborative process increases, the odds for achieving *organizational goals* increases. For every one unit increase in

*commitment*, the odds of achieving a high quality for *organizational goals* increases by 1.39, all else constant.

#### 5.4.3.2. Conflict

The relationship between conflict (H16b) and organizational goals is statistically significant. The occurrence of conflict has a negative association with *organizational goals*. As the frequency of significant disagreement between collaborative partners increases, the odds of achieving *organizational goals* decreases. For every one unit increase in conflict, the odds of achieving *organizational goals* decreases by 0.55, all else constant.

#### 5.4.4. Summary of Results for Organizational Goals

For Model 1 (framework validation), I found no relationship between my independent variables and *organizational goals*. For Model 2 (framework addition) and For Model 3 (framework expansion), I found a negative relationship between *conflict* and *organizational goals*, which supports my projected hypothesis. However, the odds ratios of 0.55 (Model 2) and 0.55 (Model 3) suggest that the practical significance is limited. I also found a positive relationship between *commitment* and *organizational goals*, which supports my projected hypothesis. The odds ratio of 1.39 (Model 3) also suggests a limited practical significance. The variables *credibility*, *incremental gains*, *contract specificity*, and *innovation* did not quite meet the  $p < 0.05$  cutoff for statistical significance. I discuss several potential reasons for this in Chapter 6.

Table 5.6 presents the results of the binomial logistic regression for *organizational goals*. Results are presented as odds ratios.

Table 5.6. Binomial Logistic Regression Results: Organizational Goals

	<b>Model 1</b>	<b>Model 2</b>	<b>Model 3</b>
VARIABLES	Org. Goals	Org. Goals	Org. Goals
credibility	1.43 (0.27)		1.35 (0.30)
benevolence	1.06 (0.20)		1.00 (0.21)
<b>commitment</b>	1.16 (0.17)		<b>1.39*</b> (0.23)
shared understanding	1.08 (0.21)		1.03 (0.23)
dialogue	1.08 (0.21)		1.04 (0.22)
incremental	1.53 (0.97)		1.49 (1.06)
specificity		1.50 (0.42)	1.71 (0.53)
adaptation		1.07 (0.14)	0.78 (0.15)
innovation		1.25 (0.15)	1.25 (0.17)
cultivation		0.99 (0.58)	1.15 (0.77)
<b>conflict</b>		<b>0.55**</b> (0.10)	<b>0.55**</b> (0.12)
Constant	0.07** (0.06)	2.58 (2.15)	0.18 (0.24)
Observations	288	304	277

Standard errors in parentheses

\*\* p<0.01, \* p<0.05

## 5.5. Client Goals

*Client goals* was modeled as a binary outcome variable using binomial logistic regression.

The original variable consisted of five categories (based on an ordinal scale), but I collapsed the five categories into two categories to improve the fit of the model. The revised version of *client goals* consisted of two categories. Each category corresponded to the performance quality for meeting organizational-related goals: Low quality (poor, acceptable, fair, and good performance, n=160) and high quality (excellent performance, n=171).

Table 5.7. shows the results of the binomial logistic regression based on the statistically significant models (cutoff of  $p < 0.10$  for purposeful selection). The results of these models aligned very closely with the theoretically-based models with the exception of significant differences in the number of observations and some slight variation of the significant coefficients. For meaningful and applicable interpretation, I present the odds ratio for each variable and the standard error in parentheses below. The odds ratio is the exponentiation of the beta coefficient which indicates the change in the logit or “log odds.” The odds ratio indicates the strength of the association between the independent and dependent variables.

Based on my analyses on the three models for *client goals*, I found support for one of the proposed hypotheses for validating the collaborative governance framework for application in HSOs. For Model 1, *organizational ownership* was statistically significant. I did not find support for any of the other hypotheses for Model 2 or Model 3.

#### 5.5.1. Model 1 Results (Framework Validation)

In Model 1, I found support *organizational ownership* from the Starting Conditions component in the Framework. I did not find support for the other variables in the Collaborative Process, Institutional Design, or Facilitative Leadership components of the Framework.

##### 5.5.1.1. Organizational Ownership

The relationship between *organizational ownership* (H3b) and *client goals* is statistically supported. The hypothesized impact of *organizational ownership* was non-directional and the results indicate there is a negative association between *innovation* (H14b) and *client goals*. If the ownership status of an organization is nonprofit, compared to a for-profit ownership, the odds for achieving a high level of service quality related to *client goals* decreases. For every one unit increase in *organizational ownership* (identifying as nonprofit), the odds of achieving *client goals* decreases by 0.34 (66%), all else constant.

#### 5.5.2. Model 2 Results (Framework Addition)

In Model 2, I did not find any support for any of the proposed new variables.

#### 5.5.3. Model 3 Results (Framework Expansion)

In Model 3, I did not find any support for the combination of any existing or proposed variables.

#### 5.5.4. Summary of Results for Client Goals

For Model 1 (framework validation), I found a statistically significant and negative relationship between *organizational ownership* and *client goals*. This indicates that the status as a for-profit

HSO, compared to a nonprofit HSO, may be better for achieving high-quality *client goals*. However, due to the small value of the odds ratio, the practical significance of this finding is limited. I did not find any other support for Model 2 or Model 3 between the proposed hypotheses and *client goals*. Both *facilitation* and *conflict* did not quite meet the  $p < 0.05$  cutoff for statistical significance. I discuss several potential reasons for this in Chapter 6.

Table 5.7 presents the results of the binomial logistic regression for *client goals*. Results are presented as odds ratios.

Table 5.7. Binomial Logistic Regression Results: Client Goals

	<b>Model 1</b>	<b>Model 2</b>	<b>Model 3</b>
VARIABLES	Client Goals	Client Goals	Client Goals
<b>ownership</b>	<b>0.34*</b>		0.38
	(0.19)		(0.22)
credibility	1.20		1.32
	(0.22)		(0.26)
benevolence	1.21		1.31
	(0.21)		(0.25)
shared	1.16		1.14
	(0.18)		(0.19)
facilitation	1.17		1.27
	(0.69)		(0.76)
adaptation		1.11	0.79
		(0.13)	(0.13)
conflict		0.77	0.96
		(0.12)	(0.18)
Constant	0.52	1.23	0.60
	(0.43)	(0.67)	(0.64)
Observations	293	306	280

Standard errors in parentheses

\*\* p<0.01, \* p<0.05

## 5.6. Summary of Supported Hypotheses

For *relationship quality*, the hypotheses for *trust* (*credibility* and *benevolence*) (H4), *incremental gains* (H7), *dialogue* (H8), *adaptation* (H13), and *innovation* (H14) were statistically significant

and supported my proposed directional impact. Although statistically significant, *facilitation* (H9) was not supported by the projected impact of the hypothesis. For *organizational goals*, only the hypotheses for *commitment* (H5) and *conflict* (H16) were supported. For *client goals*, only the hypothesis for *organizational ownership* (H3) was supported.

The hypotheses for *relationship duration* (H1), *fiscal dependence* (H2), *shared understanding* (H6), *contract term* (H10), *contract specificity* (H11), *contract language* (H12), and *cultivation* (H15) were not supported in any of the models for *relationship quality* or *goal achievement* based on the projected directional impact. I discuss potential reasons for the support (or lack thereof) of the hypotheses in the Discussion (Chapter 6).



Table 5.8 identifies the hypothesized relationships between this study's variables and *relationship quality* and *goal achievement* (organizational goals and client goals).

Table 5.8. Summary of All Hypotheses

	Relationship Quality	Goal Achievement	
		<i>Organizational Goals</i>	<i>Client Goals</i>
<b>H1: relationship duration</b>	Not Supported	Not Supported	Not Supported
<b>H2: fiscal dependence</b>	Not Supported	Not Supported	Not Supported
<b>H3: organizational ownership</b>	Not Supported	Not Supported	<b>Supported</b>
<b>H4: trust<sup>8</sup></b>	<b>Supported</b>	Not Supported	Not Supported
<b>H5: commitment</b>	Not Supported	<b>Supported</b>	Not Supported
<b>H6: shared understanding</b>	Not Supported	Not Supported	Not Supported
<b>H7: incremental gains</b>	<b>Supported</b>	Not Supported	Not Supported
<b>H8: dialogue</b>	<b>Supported</b>	Not Supported	Not Supported
<b>H9: facilitation</b>	Not Supported	Not Supported	Not Supported
<b>H10: contract term</b>	Not Supported	Not Supported	Not Supported
<b>H11: contract specificity</b>	Not Supported	Not Supported	Not Supported
<b>H12: contract language</b>	Not Supported	Not Supported	Not Supported
<b>H13: adaptation</b>	<b>Supported</b>	Not Supported	Not Supported
<b>H14: innovation</b>	Not Supported	Not Supported	Not Supported
<b>H15: cultivation</b>	Not Supported	Not Supported	Not Supported
<b>H16: conflict</b>	<b>Supported</b>	<b>Supported</b>	Not Supported

<sup>8</sup> Both dimensions of trust (credibility and benevolence) were statistically significant for *relationship quality*.

## Chapter 6. Discussion and Implications

### 6.1. Introduction

This chapter begins with a discussion of the findings and implications for research and praxis.

Next, I discuss the study limitations and potential avenues for future research.

### 6.2. Discussion of Findings

Overall, these findings indicate both universal and context-specific factors should be considered in HSO cross-sector collaboration. Of the 16 hypotheses in this study, seven hypotheses were found to support at least one of the three dependent variables. Of note, despite the statistical significance of these variables, the practical significance is limited due to the small values for the relative risk ratios and odds ratios. I address some of the potential reasons for these findings in Section 6.5.

While “successful collaborative outcomes” is often referred to broadly in the literature, findings from this study provide support for why further conceptual clarification is necessary. In addition to the variables that overlapped (or almost overlapped) across both *relationship quality* and *goal achievement*, there were other variables that were clearly only statistically significant for one or the other. Only *conflict* was significant for both *relationship quality* and *goal achievement* (for the *organizational goals* dimension). There was no other overlap between the remaining variables. There were several variables that were statistically significant for one dependent variable but narrowly missed the p-value cutoff for the other dependent variables (e.g., *trust*, *commitment*).

The enduring presence (and significance) of *conflict* across the models highlights its importance in collaboration, both for relational outcomes as well as organizational outcomes. As

the frequency of conflict increases, the quality of the relationship quality decreases, as does the ability to achieve goals. High levels of conflict may be an indication of the lack of a collaborative leader who is skilled with mediating conflict. Conflict is a common and normal part of collaboration, but without effective management of problems and issues, conflict can become detrimental to the collaborative process and outcome, in terms of the relationship between partners and in the ability to provide services to users.

It is especially important to note the number of variables that were associated with *relationship quality* compared to *goal achievement*. There were six variables that were statistically significant – *trust*, *incremental gains*, *dialogue*, *facilitation*, *conflict*, and *adaptation*. This is in comparison to *goal achievement* which only had three statistically significant variables – *commitment*, *conflict*, and *organizational ownership*. The first takeaway from this finding is that *relationship quality* is an important, yet often neglected, aspect of collaborative outcomes and should be investigated further, especially in the HSO context. The second takeaway is that due to the limited support for *goal achievement*, there is the potential that other collaborative indicators should be considered and that may help further explain factors that impact collaborative outcomes.

For the validation of the Ansell and Gash (2008) Collaborative Governance Framework, there were three variables that were not statistically significant. The hypotheses for the *relationship duration* (H1), *fiscal dependence* (H2), and *shared understanding* (H6) were not statistically significant in any of the models. These first two variables were organizational-level variables, which may indicate a divergent perspective between the organizational-level and the individual-level of respondents and what matters to organizational members during collaboration. While these three variables are supported in the literature as being relevant in

HSOs, further refinement may be necessary. For example, *relationship duration* only measures the length of a relationship between public and private HSOs. It does not specify the quality of the relationship or if there have been any significant changes or major disruptions throughout the duration of the relationship. It also does not specify if the relationship is voluntary or mandated. *Fiscal dependence* only accounts for the financial dependence on another organization. This is a valid measure for resource dependence, but it may not fully account for other tangible resources that are important, such as workforce capacity and expertise. The lack of support for *shared understanding* may be a reflection of divergent goals and understanding between partners regarding the purpose of the collaborative arrangement. However, it is also possible that other variables that were significant, such as *trust*, *dialogue*, and *conflict*, captured this aspect. With good communication, low conflict, and trust in the collaborative partnership, partners may have reconciled their differing priorities and identities to reach a mutual understanding.

For the addition of HSO-specific variables, there were five variables that were not statistically significant. From the survey data, *innovation* (H14) and *cultivation* (H15) were not supported by any of the models. *Innovation*, which consists of learning and applying knowledge to change underlying structures and processes is important in collaboration as collaborative arrangements fundamentally change the way in which organizations and people work together. *Innovation* occurs over time, which may be a reason that these cross-sectional data did not capture the process or effects of *innovation* in this study. Although *cultivation* was not statistically significant, *facilitation* was statistically significant. While *facilitation* is more of a task-based process, rather than a relationship-based process, it is possible that *facilitation* may have picked up on some of the effects of this variable and can be used to explain some of these behaviors (e.g., developing relationships). Other variables that may have “captured” some of the

elements of other variables include *trust*. *Trust* may also be a proxy for *cultivation*, since both involve relational, interpersonal skills. However, in this study, *facilitation* had a negative association with *relationship quality*. If *facilitation* is not done well, such as not identifying the right people for a particular task or not properly supporting them, then *facilitation* may hinder collaboration, instead of supporting its success. While *facilitation* in this study was measured using an average amount of time spent on related activities, there may be times or instances when *facilitation* is more necessary during collaboration, such as at the beginning of a new collaborative effort or during a time of significant change or crisis.

From the contract data, the hypotheses for *contract term* (H10), *contract specificity* (H11), and *contract language* (H12) were not supported in the models. There is potential that due to the significance of multiple variables on *relationship quality*, these variables (e.g., *trust*) captured more of the relational aspects of these collaborative arrangements, rendering some of the formal factors (e.g., *contract term*) less relevant.

While *organizational ownership* (H3) was statistically significant, the ownership status of a private HSO does not reveal how well its mission, goals, and capacity aligns with a particular public HSO counterpart or if this varies by service focus. As these data are from self-reported surveys, it is possible that respondents from for-profit organizations were more likely to indicate that their organization met client goals than respondents from nonprofit organizations. The lack of objective metrics for measuring client outcomes and the lack of client perspectives may be one reason for this finding. In addition, due to the limited sample size, it was not possible to stratify the data by service area to identify if there exists self-selection between nonprofit and for-profit organizations for the type(s) of contractual services they provide. If different types of organizations only provide certain types of services, this may also affect this finding.

### 6.3. Implications for Research

The need and demand for HSO service provision continues, coupled with a changing landscape and often unpredictable environment due to social and cultural changes (e.g., pandemic, financial cutbacks, growing and changing demographics). As a result, HSOs “will continue to be faced with funding challenges along with growing demands for new and more effective and efficient service delivery programs” (Packard, 2021, p. 19).

As HSOs continue to face existing and emerging challenges in the 21<sup>st</sup> century, improving our conceptual and empirical understanding of collaborative factors is important to support HSOs in cross-sector collaborative arrangements. This study demonstrates the importance of the integration of universal and context-specific collaborative factors, building on extant research and identifying new pathways for further development and refinement of collaborative governance in the human services context. Identifying context-specific factors can be integrated with general factors that may also impact other public and nonprofit service sectors, such as education, policing, and environmental management. This study also points to the need – and value – for examining both formal (contractual) and informal (relational) elements in HSOs. I address potential avenues for further research in Section 6.6.

### 6.4. Implications for Praxis

This study also has practical implications that are of equal relevance to public and nonprofit organizations and their workforce. As HSOs increasingly rely on cross-sector collaborative arrangements with nonprofit and for-profit organizations to meet service needs, it is imperative to train practitioners and provide them with the appropriate tools and skills for working with

collaborative partners and stakeholders across different sectors to successfully navigate these relationships while still pursuing service objectives.

Training and providing guidance on collaborative practices to leaders and managers can improve collaborative competencies by directing them to areas they should invest in to support collaboration (and areas that are not as productive). This study highlights several of those areas, including the importance of trust and conflict, for achieving successful collaborative outcomes. For example, can targeted training and team-building initiatives improve how cross-sector partners collaborate? Do these types of targeted exercises improve factors important to the collaborative relationship, such as building trust or improving communication?

In this study, facilitation was found to have an inverse relationship with achieving successful collaborative outcomes. This may be an indication that leaders are not properly trained or understand their role during collaboration to ensure its success. Collaborative management activities, such as stewarding a collaborative process, often require different or even contradictory skills than traditional management skills. As such, it is important to train public and nonprofit leaders to effectively steward collaborative processes.

All organizational stakeholders involved in a collaborative effort can benefit from understanding how different components of collaboration are important. Developing a shared understanding of collaboration, its purpose, and its potential impact on every stakeholder will benefit organizations, their workforce, and ultimately, service users. For HSOs that formalize these collaborative arrangements with contracts, there is value in training employees to manage and implement contracts that support collaboration and to align management strategies with collaborative governance tactics. For example, what are the opportunities for structuring

contracts that may help support collaborative efforts? Are collaborative goals and processes clearly reflected in the contract?

## 6.5. Study Limitations

In light of the contributions of this dissertation, I identify several limitations and address how future research can build on this study to address some of these limitations.

The sampling strategy for the public HSOs was conducted using a non-probability approach. Within these counties, every private HSO with a contract with the public HSOs was included in the sampling frame. This approach was used intentionally in order to improve understanding of the relationships between public and private HSOs involved in BASSC. It is impossible to know how well the final sample represents the overall population of HSOs, which results in limited generalizability of this study's results. It does however provide a broad basis for further exploration.

The cross-sectional survey design allowed for examination of a phenomenon at one point in time. While this provides valuable information about the collaborative relationships between the public and private HSOs, I am unable to determine a causal relationship between the independent variables and successful collaborative outcomes. A point-in-time perspective limits the ability to examine changes and patterns over time, including the history of the collaborative partners.

The survey was developed using best practices and pilot-tested to correct instances of poor or confusing wording, which could lead to inaccurate responses. Questions were presented in a clear manner and well-organized. Skip-logic was used so that if a question did not pertain to a particular respondent's expertise, the respondent could skip the question. The survey was



constructed using clear, straight-forward language. Questions were grouped according to subject category and headers were used to signal a new section or topic.

Although the development of the survey instrument was done carefully and implemented using survey design best practices, there were still opportunities for biases to emerge. With any survey, there is the potential for subjective perceptions that may bias the responses due to memory recall issues or subjective interpretations or perceptions. Respondents may become fatigued, confused, or misread the questions.

A common issue when administering surveys is the potential for social desirability bias to emerge during self-reporting. Survey respondents often avoid the extreme responses or provide responses that may be deemed more “favorable.” Respondents were able to answer the survey in private, at their convenience, using a protected web-based link. Respondents were also guaranteed that their identities and responses would be kept confidential.

There was potential for common source bias since all the variables were obtained from the same surveys and respondents. The risk and intensity of common source bias was mitigated using several strategies, including the placement of related questions into corresponding topic sections, the use of temporal and physical distance to separate questions related to the independent and dependent variables, and using a variety of measurements for the variables (e.g., continuous, categorical, Likert-scale) (Podsakoff, MacKenzie, & Podsakoff, 2012). In addition, I supplemented the survey data with measures derived from coding of the qualitative contract data.

The modest sample size may have led to under-powered models. There was a lack of statistical significance on several variables that are considered to be theoretically and practically relevant during a collaborative effort. There were several variables that missed the  $p < .05$  cutoff

by a few tenths. A larger sample size could lead to more statistical significance among the variables, as well as practical significance, improving the precision of the models.

While ordinal scales are a useful and accessible way to measure data (both from a researcher and a participant perspective), ordinal scales limit the amount and depth of information. For example, what is the practical difference between a respondent who answered “somewhat” and a respondent who answered “really” satisfied with the relationship with their collaborative partner? Is this meaningful for how managers try to improve cross-sector collaborative relationships? The inclusion of more and different types of data sources, such as interviews or focus groups, could allow for more in-depth probing of respondents and provide more meaningful information when used in addition to survey questions and contract documents.

It is important to acknowledge the unique context of the public and private HSOs participating in the study due to their pre-existing connection to BASSC. The public HSOs voluntarily participated in the study due to their interest in their contracting relationships with private HSOs. While not necessarily a limitation of the data, this “unusual structure of this collaborative partnership is worth noting” impacted (Austin & Carnochan, 2020, p. 13). The ongoing relationships of the public and private HSOs in BASSC may have impacted the results, including higher than average response rates and positively skewed responses across multiple measures related to the Ansell and Gash (2008) Framework. This is also an area that is conducive for further investigation to understand how these collaborative partnerships function in order to improve understanding of partnerships that appear to be working well.

It is important to acknowledge that no one study can “do it all” and this study is no exception. However, the contributions of this study offer multiple avenues for future research, which I discuss in the following section. These include the use of longitudinal data, additional

types of data, and service users as respondents. Future research can examine additional factors not accounted for in these data but may inform the success of a collaborative outcome.

## 6.6. Future Research

This dissertation lays the foundation for pursuing several avenues of research that can build on these results.

### 6.6.1. Evolution of Cross-Sector Collaborative Arrangements

As collaborative arrangements are dynamic and ongoing processes (Bryson et al., 2015; Graham & Barter, 1999), factors may emerge at the outset of a collaborative arrangement that may be different or more salient than factors for an established collaborative relationship. Examining collaboration over time allows for observation of both the collaborative process and the collaborative outcome, to identify relevant factors, if changes occurred, and how they impacted the outcome. This also allows for assessment of the short-term and long-term outcomes, to understand the “ripple effects” of collaboration (Bryson et al., 2006; Innes & Booher, 1999).

A longitudinal study that collects data at multiple points of time during a collaborative effort can document its evolution and assess other contextual or organizational factors that may change over time to incorporate feedback loops. This type of study can identify how relationships and processes change over time and determine patterns that may emerge at different stages. What elements in the process encourage/discourage sustainability of the relationship? How do collaborative partners examine, evaluate, and reassess their desire and engagement for improvement?

Establishing trusting relationships and a true understanding of each partner's organizational operations takes time to develop (e.g., Shaw, 2003). Collaboration is an iterative process and there are factors that may become easier or harder over time, or more- or less-relevant. In addition, a new(er) collaborative relationship may require different factors than a more established relationship. For instance, does the initial trust level (based on prehistory of cooperation or conflict) change or intensify over time? If trust becomes more dominant over time (Van Slyke, 2007), do other factors become less relevant? How are contracts (re)negotiated over time as the relationships evolve (Amirkhanyan, 2009).

A longitudinal design also allows for the inclusion of an intervention to test causal relationships. This would allow for measuring different factors over time to identify which factors are the most salient or what the minimal level of specific factors are required to achieve a successful collaborative outcome. Further research can test a different combination of various factors at different levels to understand which factors elevate “good” collaboration to “great” collaboration. The presence of certain factors may not be enough by themselves. For example, *dialogue* was shown to be important for impacting *relationship quality*, but are there specific dimensions of communication that appear to be more important? Is there a difference between daily or weekly communication? Are there certain methods of communication, such as in-person or written, that are more effective? Or types of information that appear to matter more (progress reports, official reports, informal communication, etc.)? Future research could examine the intensity and degree of collaboration (e.g., highly-collaborative or moderately-collaborative) to examine when different levels of collaboration are necessary or more successful.

Lastly, a longitudinal design would allow for a further examination into the relationships between the three dependent variables. While each dependent variable in this study was measured

concurrently and separately, but there may be temporal effects between them. Does the relationship quality between partners affect the ability to achieve client goals? Or does the ability to achieve organizational goals then affect the ability to achieve client goals?

#### 6.6.2. Collaborative Leadership

Another stream of research can further examine the role of leadership and build on the extant body of “collaborative leadership” research. While this study addresses the role of leadership in collaboration, future work can focus solely on the leadership attributes, behaviors, and skills that are impactful during collaboration. The Ansell and Gash (2008) Collaborative Governance Framework locates facilitative leaders outside of the collaborative process – but exerting influence on it. In reality, leaders are often more embedded in all of the collaboration elements (i.e., the starting conditions, collaborative process, and institutional design). Their interactions in the collaborative relationship begin before the process gets underway and this should be integrated into the research. For example, are there different collaborative leadership skills required to work through challenges at the outset of collaboration versus during the process of an ongoing effort?

This stream of research can build on the small but growing body of work that indicates that leadership – specifically collaborative leadership – matters in collaboration. Building on the findings from this dissertation and the work of others (e.g., Weber & Khademian, 2008a), there are opportunities to advance our understanding of the role of leaders in collaborative settings and improve understanding of the competencies and skills that are important. It is important for public managers and nonprofit boards to be aware of key leadership skills and behaviors for recruiting and training future leaders. This knowledge can also be used to help train public and

nonprofit practitioners. For example, this study identified that conflict may hinder the quality of collaborative relationships and organizational goals. What skills are important to instill in leaders so they can effectively prevent or mediate conflict during collaboration? In addition to facilitative skills, how can leaders encourage and develop factors related to the collaborative process (e.g., *trust, dialogue, commitment*)?

### 6.6.3. Inter-Organizational and Intra-Organizational Collaboration

Future research can also delve further into examining different inter-organizational and intra-organizational roles in a collaborative effort to identify areas of congruence or divergence with respect to the facilitators and barriers during collaboration. There is research that demonstrates that organizational roles across different organizational levels (e.g., administrative, managerial, front-line worker) interact, experience, and perceive organizational operations differently (e.g., Austin et al., 2009). As such, there is a need to include multiple perspectives. While this study found some differences across levels, it did not have enough power to empirically examine the variation. Future research can identify areas where variation may exist across roles and between sectors. This research may focus more on differences that exist across organizational roles in public HSOs or private HSOs. Or this research may focus on the dyadic relationship itself between public and private HSO respondents. This may uncover more evidence about the determinants, barriers, and catalysts across sectors to create sector-specific strategies for strengthening collaborative practices.

Collaboration requires the commitment of significant organizational resources and the restructuring of organizational processes and practices. This study has focused more on the practices and processes of organizational members during collaboration. As collaboration

“entails the design and use of a structure and processes that enable actors to direct, coordinate and allocate resources for the collaboration as a whole and to account for its activities” (Vangen et al., 2015, p. 1244), organizational structures should also be examined. Structural arrangements, “such as goals, specialization of tasks and division of labor, rules and standard operating procedures, and designated authority relationships” interact with collaborative efforts (Bryson et al., 2006, p. 48). These interactions impact the implementation of collaboration and may cause tension or undermine collaboration. Future research should incorporate more of the structural elements to understand how these elements may facilitate or constrain collaborative practices.

Related, this study only focuses on main effects and does not incorporate interaction effects between the different elements that impact a successful collaborative outcome. Future research can incorporate some of the structural elements identified above to assess how they interact with the main effects as well as incorporate interaction effects between the process variables. Process and people elements do operate in isolation and future research can identify how they affect each other. For example, how does *relationship duration* impact *trust* and how does this interaction impact a successful collaborative outcome?

#### 6.6.4. Collaboration Failure

This study centers around *successful* collaborative outcomes but there are unanswered questions that remain about factors and processes that lead to failures in the collaborative process and outcomes (Gazley & Guo, 2020). The absence or weakness of factors that lead to successful collaboration are not necessarily the same as those that lead to unsuccessful collaboration (Droppa & Giunta, 2015). There is a normative idea that collaboration is carte-blanche always a

good idea or that all organizations are equipped to collaborate (Longoria, 2005). Collaboration is not always feasible and does not always lead to positive outcomes.

There are opportunities for scholars to critically examine the elements that are important to both success and failure (McNamara, Miller-Stevens, & Morris, 2019). Can failures in the process still lead to a successful outcome? If so, which types of failures are the least impactful while still achieving successful outcomes? Are there particular areas in the collaborative process that are more prone to failure or that may be more impactful on the outcome? What are the degrees of “successful” collaborative outcomes? What are the minimal conditions needed to meet an “acceptable” level of collaboration? How do we define “acceptable” levels? What separates “great” collaboration from “good” or “acceptable” collaboration?

Related, additional research could examine the possible detractors to collaboration. For example, does a high-level of performance-monitoring negate the collaborative elements of the relationship? Or a top-down authority structure that relies on compliance-based practices? How do legal or regulatory requirements influence collaboration? Next steps would be not just to identify the challenges of collaboration but how to overcome these challenges or managing with less-than-optimal outcomes, such as overcoming complacency or stifled innovation or tactics for providing and receiving constructive feedback and critique.

#### 6.6.5. Contract Analysis

Methodologically, future research can build on the contributions of this study for leveraging the use of contracts as a source of data. Contracts provide rich and meaningful information that can inform research and praxis. Additional qualitative coding methods can tap into more of the contextual and nuanced patterns in the data to provide more detail information about the presence, frequency, and intent of a word or phrase, such as “collabor.” Qualitative methods,



combined with other methods, can answer questions such as: What is the minimal threshold for the occurrence of “collabor” to signal its importance and ensure its realization? Does a different usage of “collabor” (e.g., collaboration versus collaborative) result in different outcomes? Are there other words or phrases that can be substituted for the use of “collabor”? Is the context or location in the contract in which specific language is used relevant? Further qualitative analysis of the contract data can also provide additional insight into how contractual elements affect or are affected by the relational elements of the collaborative arrangement between partners. For example, if partners identify a high-level of trust, does this mitigate the need for a high-level of specification or does this produce a more specified contract that is tailored to each partner’s needs? Does a strong relationship quality between partners impact the formal inclusion (or exclusion) of certain contractual elements?

#### 6.6.6. Service User Outcomes

And lastly, but importantly, an area of collaboration research that needs more development is how service users are affected by cross-sector collaborations. It is imperative to understand how public-private HSO collaborative arrangements impact service users and their outcomes and further research can examine this relationship (Chen, 2010; McBeath et al., 2019a; Selden et al., 2006). Future research should address how service recipients are impacted by collaboration.

There is a need to understand collaborative outcomes from a service user perspective, in terms of their experience, access, quality of services, and equity (Maleku et al., 2020). Related, the inclusion of additional sources of data, such as interviews or focus groups with organizational members and service users, can provide a more comprehensive – and actionable – picture of HSO collaboration for improving both organizational and service user outcomes.

## **Chapter 7. Conclusion**

### **7.1. Introduction**

This chapter concludes the dissertation with a brief overview and concluding thoughts.

### **7.2. Summary of Dissertation**

There is an increasing reliance on cross-sector collaboration between public, nonprofit, and for-profit organizations. This shift towards collaborative arrangements has arisen to address the complexity and magnitude of public issues and the increasing diversity and scale of service user needs on individual organizations (Head & Alford, 2015; Kettl, 2006).

Public HSOs are one type of organization that employ collaborative governance mechanisms for public service provision (Sowa, 2008). These mechanisms are grounded in either formal or informal approaches, or a combination of both. HSOs often use contracts to designate an intentional, deliberate, and formalized relationship with their collaborative partner (Bryson et al., 2006; Bunker et al., 2020; Cheng, 2019b; Peng et al., 2020). Public HSOs rely on these contractual arrangements with private HSOs for service provision (Bunker et al., 2018; Chen & Graddy, 2010; Chuang et al., 2020; Gazley, 2008, 2017; Smith & Lipsky, 1993). HSOs are a natural candidate for collaboration as they operate in fragmented administrative, fiscal, and service environments, amidst uncertain economic and political conditions, and provide various services to diverse populations with numerous, interrelated, and complex needs (Bunker et al., 2017; Graaf et al., 2016; Hasenfeld & Schmid, 1989; Mosley & Smith, 2018).

Despite the increasing use and need of these cross-sector collaborative arrangements (Almog-Bar & Schmid, 2018), research examining the factors that impact successful

collaborative outcomes and the processes that support and sustain these collaborative arrangements is limited (Cheng, 2019; Gazley, 2017). In particular, there is a need to improve understanding of how formalized contractual arrangements impact cross-sector collaboration in the human services context.

This dissertation addresses this gap by examining HSOs that engage in cross-sector collaborations to improve understanding of the facilitators and barriers to achieving successful outcomes in collaborative arrangements. The guiding question for this dissertation addressed the formal factors (contractual elements) and informal factors (relationship elements) that impact successful collaborative outcomes between public and private HSOs. I used Ansell and Gash's (2008) Collaborative Governance Framework as a lens for examining these factors and their impact on the relationship quality of stakeholders and the achievement of organizational and client goals. I used survey data administered to public HSOs contracting private HSOs supplemented with contractual documents used to formalize these collaborative arrangements. Findings indicate that there is a need to consider universal collaborative indicators in combination with factors that reflect the human services context. Findings also support the need to examine both formal (contractual) and informal (relational) elements in HSOs.

### 7.3. Concluding Thoughts

As the complexity and magnitude of public issues and the increasing diversity and scale of service user needs continues to expand, HSOs will continue to pursue multi-organizational and multi-sector arrangements, making cross-sector collaboration “an inescapable feature” for the provision of human services (Bingham & O’Leary, 2006, p. 165).

With the ongoing economic uncertainty, partisan decision-making, lasting effects from a global pandemic, threats of environmental crises, and the increase in service needs, now more than ever, there is a role for HSOs to tackle society's wicked problems and provide a safety net for those in need. To do this effectively will require ongoing investment in collaborative arrangements between public and private HSOs, both scholarly and practically. The reality and need for collaborative arrangements provide the conditions and invitation to improve our understanding of cross-sector collaboration between public and private HSOs that are formalized through the use of contracts.

While this dissertation provides useful insight into collaborative arrangements between public and private HSOs formalized through contracts, there is still more work to do in this area. Findings from this dissertation raise several empirical questions and identify several avenues for future research that can build on this study. My hope is this study provides an opportunity to guide reflection and action to improve human service delivery systems and the well-being of the people they serve.

## References

- Abramovitz, M., & Zelnick, J. (2015). Privatization in the human services: Implications for direct practice. *Clinical Social Work Journal*, 43(3), 283-293.
- Agranoff, R. (1991). Human services integration: Past and present challenges in public administration. *Public Administration Review*, 51(6), 533.
- Agranoff, R. (2012). *Collaborating to manage: A primer for the public sector*. Georgetown University Press.
- Agranoff, R., & McGuire, M. (2003). *Collaborative public management: New strategies for local governments*. Georgetown University Press.
- Agresti, A. (2018). *An introduction to categorical data analysis* (2<sup>nd</sup> ed.). John Wiley & Sons.
- Aldrich, H. (1976). Resource dependence and interorganizational relations: Local employment service offices and social services sector organizations. *Administration & Society*, 7(4), 419-454.
- Alexander, J. (1999). The impact of devolution on nonprofits. *Nonprofit Management and Leadership*, 10(1), 57-70.

- Alexander, J. (2000). Adaptive strategies of nonprofit human service organizations in an era of devolution and new public management. *Nonprofit Management and Leadership*, 10(3), 287-303.
- Allen, N. J., & Meyer, J. P. (1990). The measurement and antecedents of affective, continuance and normative commitment to the organization. *Journal of Occupational Psychology*, 63(1), 1-18.
- Allison, P. D. (2001). *Missing data*. Sage Publications.
- Almog-Bar, M. (2018). Insider status and outsider tactics: Advocacy tactics of human service nonprofits in the age of new public governance. *Nonprofit Policy Forum*, 8(4), 411-428.
- Alter, C. (1990). An exploratory study of conflict and coordination in interorganizational service delivery system. *Academy of Management Journal*, 33(3), 478-502.
- Amirkhanyan, A. A. (2009). Collaborative performance measurement: Examining and explaining the prevalence of collaboration in state and local government contracts. *Journal of Public Administration Research and Theory*, 19(3), 523-554.
- Amirkhanyan, A. A. (2010). Monitoring across sectors: Examining the effect of nonprofit and for-profit contractor ownership on performance monitoring in state and local contracts. *Public Administration Review*, 70(5), 742-755.

- Amirkhanyan, A. A., Kim, H. J., & Lambright, K. T. (2012). Closer than “arms length”: Understanding the factors associated with collaborative contracting. *American Review of Public Administration*, 42(3), 341-366.
- Amsler, L. B. (2016). Collaborative governance: Integrating management, politics, and law. *Public Administration Review*, 76(5), 700-711.
- Amsler, L. B., & O’Leary, R. (2017). Collaborative public management and systems thinking. *International Journal of Public Sector Management*, 30(6-7), 626-639.
- Andrews, R., & Entwistle, T. (2010). Does cross-sectoral partnership deliver? An empirical exploration of public service effectiveness, efficiency, and equity. *Journal of Public Administration Research and Theory*, 20(3), 679-701.
- Ansell, C., & Gash, A. (2008). Collaborative governance in theory and practice. *Journal of Public Administration Research and Theory*, 18(4), 543-571.
- Ansell, C., & Gash, A. (2012). Stewards, mediators, and catalysts: Toward a model of collaborative leadership. *The Innovation Journal*, 17(1), 2.
- Anthony, E. K., & Austin, M. J. (2008). The role of an intermediary organization in promoting

- research in schools of social work: The case of the Bay Area Social Services Consortium. *Social Work Research*, 32(4), 287-293.
- Arya, B., & Lin, Z. (2007). Understanding collaboration outcomes from an extended resource-based view perspective: The roles of organizational characteristics, partner attributes, and network structures. *Journal of Management*, 33(5), 697-723.
- Atouba, Y. C., & Shumate, M. D. (2020). Meeting the challenge of effectiveness in nonprofit partnerships: Examining the roles of partner selection, trust, and communication. *VOLUNTAS: International Journal of Voluntary and Nonprofit Organizations*, 31(2), 301-315.
- Austin, J. E. (2000). Strategic collaboration between nonprofits and businesses. *Nonprofit and Voluntary Sector Quarterly*, 29(Suppl. 1), 69-97.
- Austin, J. E., & Seitanidi, M. M. (2016). Value creation through collaboration. In D. O. Renz & R. D. Herman (Eds.), *The Jossey-Bass handbook of nonprofit leadership and management* (4th ed.) (pp. 427-443). John Wiley & Sons.
- Austin, M. J. (2003). The changing relationship between nonprofit organizations and public social service agencies in the era of welfare reform. *Nonprofit and Voluntary Sector Quarterly*, 32(1): 97-114.



- Austin, M. J. (2018). Mack Center on nonprofit and public sector management in human service organizations. *Research on Social Work Practice*, 28(3), 386-391.
- Austin, M. J., & Carnochan, S. (2020). *Practice research in the human services: A university-agency partnership model*. Oxford University Press.
- Austin, M. J., Dal Santo, T., & Lewis, D. (2012). Boundary-crossing careers of senior human service administrators: A cross-case analysis. *Administration in Social Work*, 36(2), 109-132.
- Austin, M. J., Johnson, M. A., Chow, J. C. C., De Marco, A., & Ketch, V. (2009). Delivering welfare-to-work services in county social service organizations: An exploratory study of staff perspectives. *Administration in Social Work*, 33(1), 105-126.
- Austin, M. J., Martin, M., Carnochan, S., Goldberg, S., Berrick, J. D., Weiss, B., & Kelley, J. (1999). Building a comprehensive agency-university partnership: A case study of the Bay Area social services consortium. *Journal of Community Practice*, 6(3), 89-106.
- Babiak, K., & Thibault, L. (2009). Challenges in multiple cross-sector partnerships. *Nonprofit and Voluntary Sector Quarterly*, 38(1), 117-143.
- Bardach, E. (1998). *Getting agencies to work together: The practice and theory of managerial craftsmanship*. Brookings Institution Press.

- Bardach, E., & Lesser, C. (1996). Accountability in human services collaboratives—For what? And to whom? *Journal of Public Administration Research and Theory*, 6(2), 197-224
- Baruch, Y., & Holtom, B. C. (2008). Survey response rate levels and trends in organizational research. *Human Relations*, 61(8), 1139-1160.
- BASSC. (2021). Berkeley Mack Center. <https://mackcenter.berkeley.edu/about-us>.
- Battaglia, M.P. (2008). Nonprobability sampling. In P.J. Lavrakas (Ed.), *Encyclopedia of survey research methods* (Vol. 1, pp. 524-527). Sage Publications.
- Bennett, S., & Mills, A. (1998). Government capacity to contract: Health sector experience and lessons. *Public Administration and Development: The International Journal of Management Research and Practice*, 18(4), 307-326.
- Bertelli, A. M., & Smith, C. R. (2010). Relational contracting and network management. *Journal of Public Administration Research and Theory*, 20(Suppl. 1), i21-i40.
- Berzin, S. C., Pitt-Catsoupes, M., & Gaitan-Rossi, P. (2015). Defining our own future: Human service leaders on social innovation. *Human Service Organizations: Management, Leadership & Governance*, 39(5), 412-425.

- Bianchi, C., Nasi, G., & Rivenbark, W. C. (2021). Implementing collaborative governance: Models, experiences, and challenges. *Public Management Review*, 23(11), 1581-1589.
- Bingham, L. B., & O'Leary, R. (2006). Conclusion: Parallel play, not collaboration: Missing questions, missing connections. *Public Administration Review*, 66, 161-167.
- Bingham, L. B., & O'Leary, R. (Eds.). (2008). *Big ideas in collaborative public management*. Georgetown University Press.
- Bingham, L. B., Nabatchi, T., & O'Leary, R. (2005). The new governance: Practices and processes for stakeholder and citizen participation in the work of government. *Public Administration Review*, 65(5), 547-558.
- Bradburn, N. M., Sudman, S., & Wansink, B. (2004). *Asking questions: The definitive guide to questionnaire design--for market research, political polls, and social and health questionnaires*. John Wiley & Sons.
- Brant, R. (1990). Assessing proportionality in the proportional odds model for ordinal logistic regression. *Biometrics*, 46(4), 1171-1178.
- Bode, I., & Brandsen, T. (2014). State-third sector partnerships: A short overview of key issues in the debate. *Public Management Review*, 16(8), 1055-1066.

Brodkin, E. Z. (2007). Bureaucracy redux: Management reformism and the welfare state. *Journal of Public Administration Research and Theory*, 17(1), 1-17.

Brown, A., Langridge, R., & Rudestam, K. (2016). Coming to the table: Collaborative governance and groundwater decision-making in coastal California. *Journal of Environmental Planning and Management*, 59(12), 2163-2178.

Brudney, J. L., Cho, C., & Wright, D. S. (2009). Understanding the collaborative public manager: Exploring contracting patterns and performance for service delivery by state administrative agencies in 1998 and 2004. In R. O'Leary & L. B. Bingham (Eds.), *The collaborative public manager: New ideas for the twenty-first century* (pp. 117-136). Georgetown University Press.

Bryson, J. (1988). Strategic planning: Big wins and small wins. *Public Money & Management*, 8(3), 11-15.

Bryson, J. M., Crosby, B. C., & Stone, M. M. (2006). The design and implementation of cross-sector collaborations: Propositions from the literature. *Public Administration Review*, 66, 44-55.

Bryson, J. M., Crosby, B. C., & Stone, M. (2015). Designing and implementing cross-sector collaborations: Needed and challenging. *Public Administration Review*, 75(5), 647-663.

- Bunger, A. C. (2013). Administrative coordination in nonprofit human service delivery networks: The role of competition and trust. *Nonprofit and Voluntary Sector Quarterly*, 42(6), 1155-1175.
- Bunger, A. C., Cao, Y., Girth, A. M., Hoffman, J., & Robertson, H. A. (2016). Constraints and benefits of child welfare contracts with behavioral health providers: Conditions that shape service access. *Administration and Policy in Mental Health and Mental Health Services Research*, 43(5), 728-739.
- Bunger, A. C., Chuang, E., Girth, A., Lancaster, K. E., Gadel, F., Himmeger, M., Saldana, L., Powell, B. J., & Aarons, G. A. (2020). Establishing cross-systems collaborations for implementation: protocol for a longitudinal mixed methods study. *Implementation Science*, 15(1), 1-14.
- Bunger, A. C., Collins-Camargo, C., McBeath, B., Chuang, E., Pérez-Jolles, M., & Wells, R. (2014). Collaboration, competition, and co-opetition: Interorganizational dynamics between private child welfare agencies and child serving sectors. *Children and Youth Services Review*, 38, 113-122.
- Bunger, A. C., & Lengnick-Hall, R. (2019). Implementation science and human service organizations research: Opportunities and challenges for building on complementary strengths. *Human Service Organizations: Management, Leadership & Governance*, 43(4), 258-268.

Bunger, A. C., McBeath, B., Chuang, E., & Collins-Camargo, C. (2017). Institutional and market pressures on interorganizational collaboration and competition among private human service organizations. *Human Service Organizations: Management, Leadership & Governance*, 41(1), 13-29.

Bunger, A. C., McBeath, B., Collins-Camargo, C., Chuang, E., & Pérez-Jolles, M. (2018). Levels and consequences of embeddedness among private human service organizations: national survey evidence from child welfare. *Human Service Organizations: Management, Leadership & Governance*, 42(2), 225-244.

Campbell, D. A., & Lambright, K. T. (2017). Struggling to get it right: Performance measurement challenges and strategies for addressing them among funders of human services. *Nonprofit Management and Leadership*, 27(3), 335-351.

Carnochan, S., McBeath, B., & Austin, M. J. (2017). Managerial and frontline perspectives on the process of evidence-informed practice within human service organizations. *Human Service Organizations: Management, Leadership & Governance*, 41(4), 346-358.

Carnochan, S., McBeath, B., Chuang, E., & Austin, M. J. (2019). Perspectives of public and nonprofit managers on communications in human services contracting. *Public Performance & Management Review*, 42(3), 657-684.

- Castañer, X., & Oliveira, N. (2020). Collaboration, coordination, and cooperation among organizations: Establishing the distinctive meanings of these terms through a systematic literature review. *Journal of Management*, 46(6), 965-1001.
- Chandler, S. M. (2017). Managing innovative collaborations: The role of facilitation and other strategies for working collaboratively. *Human Service Organizations: Management, Leadership & Governance*, 41(2), 133-146.
- Chandler, S. M. (2018). *Making collaboratives work: How complex organizational partnerships succeed*. Routledge.
- Chen, B. (2008). Assessing interorganizational networks for public service delivery: A process-perceived effectiveness framework. *Public Performance & Management Review*, 31(3), 348-363.
- Chen, B. (2010). Antecedents or processes? Determinants of perceived effectiveness of interorganizational collaborations for public service delivery. *International Public Management Journal*, 13(4), 381-407.
- Chen, B., & Graddy, E. A. (2010). The effectiveness of nonprofit lead-organization networks for social service delivery. *Nonprofit Management and Leadership*, 20(4), 405-422.
- Cheng, Y. (2019a). Exploring the role of nonprofits in public service provision: Moving from

- coproduction to cogovernance. *Public Administration Review*, 79(2), 203-214.
- Cheng, Y. (2019b). Governing government-nonprofit partnerships: Linking governance mechanisms to collaboration stages. *Public Performance & Management Review*, 42(1), 190-212.
- Cheng, Y. (2019c). Nonprofit spending and government provision of public services: Testing theories of government–nonprofit relationships. *Journal of Public Administration Research and Theory*, 29(2), 238-254.
- Cho, J. Y., & Lee, E. H. (2014). Reducing confusion about grounded theory and qualitative content analysis: Similarities and differences. *The Qualitative Report*, 19(64), 1-20.
- Chuang, E., McBeath, B., Carnochan, S., & Austin, M. J. (2020). Relational mechanisms in complex contracting: Factors associated with private managers' satisfaction with and commitment to the contract relationship. *Journal of Public Administration Research and Theory*, 30(2), 257-274.
- Cohen, S. (2001). A strategic framework for devolving responsibility and functions from government to the private sector. *Public Administration Review*, 61(4), 432-440.
- Cohen, S. (2008). *The responsible contract manager: Protecting the public interest in an outsourced world*. Georgetown University Press.



Cook, K. S., & Emerson, R. M. (1978). Power, equity and commitment in exchange networks.

*American Sociological Review*, 43(5), 721-739.

Cooper, P.J. (2003). *Governing by contract: Challenges and opportunities for public managers*.

CQ Press.

Cornforth, C., Hayes, J. P., & Vangen, S. (2015). Nonprofit–public collaborations:

Understanding governance dynamics. *Nonprofit and Voluntary Sector Quarterly*, 44(4), 775-795.

Cortina, J. M. (1993). What is coefficient alpha? An examination of theory and applications.

*Journal of Applied Psychology*, 78(1), 98-104.

Creswell, J. W. (2007). *Qualitative inquiry and research design: Choosing among five approaches*. Sage Publications.

Creswell, J. W. (2009). *Research Design: Qualitative, quantitative and mixed method approaches*. Sage Publications.

Creswell, J. W., & Clark, V. L. P. (2017). *Designing and conducting mixed methods research* (5<sup>th</sup> ed.). Sage Publications.

- Cronbach, L. J. (1951). Coefficient alpha and the internal structure of tests. *Psychometrika*, 16(3), 297-334.
- Crosby, B. C., & Bryson, J. M. (2005). A leadership framework for cross-sector collaboration. *Public Management Review*, 7(2), 177-201.
- Crosby, B. C., & Bryson, J. M. (2010). Integrative leadership and the creation and maintenance of cross-sector collaborations. *The Leadership Quarterly*, 21(2), 211-230.
- Cummings, L. L., & Bromiley, P. (1996). The organizational trust inventory (OTI). In R. M. Kramer & T. R. Tyler (Eds.), *Trust in organizations: Frontiers of theory and research* (pp. 302-330). Sage Publications.
- Davis, J. H., Schoorman, F. D., & Donaldson, L. (1997). Toward a stewardship theory of management. *Academy of Management Review*, 22(1), 20-47.
- De Vaus, D. (2002). *Surveys in social research* (5<sup>th</sup> ed.). Routledge.
- DeHoog, R. H. (1985). Human services contracting: Environmental, behavioral, and organizational conditions. *Administration & Society*, 16(4), 427-454.
- DeHoog, R. H. (1990). Competition, negotiation, or cooperation: Three models for service contracting. *Administration & Society*, 22(3), 317-340.

- Deverell, E., Alvinus, A., & Hede, S. (2019). Horizontal collaboration in crisis management: An experimental study of the duty officer function in three public agencies. *Risk, Hazards & Crisis in Public Policy*, 10(4), 484-508.
- Deyle, R. E., & Wiedenman, R. E. (2014). Collaborative planning by metropolitan planning organizations: A test of causal theory. *Journal of Planning Education and Research*, 34(3), 257-275.
- Dillman, D. A., Smyth, J. D., & Christian, L. M. (2014). *Internet, phone, mail, and mixed-mode surveys: The tailored design method* (4<sup>th</sup> ed.). John Wiley & Sons.
- DiMaggio, P. J., & Powell, W. W. (1983). The iron cage revisited: Institutional isomorphism and collective rationality in organizational fields. *American Sociological Review*, 48(2), 147-160.
- Douglas, S., & Ansell, C. (2021). Getting a grip on the performance of collaborations: Examining collaborative performance regimes and collaborative performance summits. *Public Administration Review*, 81(5), 951-961.
- Douglas, S., Berthod, O., Groenleer, M., & Nederhand, J. (2020). Pathways to collaborative performance: Examining the different combinations of conditions under which collaborations are successful. *Policy and Society*, 39(4), 638-658.

Eisenhardt, K. M. (1989). Agency theory: An assessment and review. *Academy of Management Review*, 14(1), 57-74.

Elo, S., Kääriäinen, M., Kanste, O., Pölkki, T., Utriainen, K., & Kyngäs, H. (2014). Qualitative content analysis: A focus on trustworthiness. *SAGE Open*, 4(1), 1-10.

Emerson, R. M. (1962). Power-dependence relations. *American Sociological Review*, 27(1), 31-41.

Emerson, K., & Nabatchi, T. (2015). *Collaborative governance regimes*. Georgetown University Press.

Emerson, K., Nabatchi, T., & Balogh, S. (2012). An integrative framework for collaborative governance. *Journal of Public Administration Research and Theory*, 22(1), 1-29.

Entwistle, T., & Martin, S. (2005). From competition to collaboration in public services delivery: A new agenda for research. *Public Administration*, 83(1): 233-242.

Faems, D., Janssens, M., Madhok, A., & Looy, B. V. (2008). Toward an integrative perspective on alliance governance: Connecting contract design, trust dynamics, and contract application. *Academy of Management Journal*, 51(6), 1053-1078.

- Fernandez, S. (2009). Understanding contracting performance: An empirical analysis. *Administration & Society*, 41(1), 67-100
- Fiol, C., & Lyles, M. (1985). Organizational learning. *Academy of Management Review*, 10(4), 803-814.
- Forrer, J., Kee, J. J., & Boyer, E. (2014). *Governing cross-sector collaboration*. John Wiley & Sons.
- Fosler, R. S. (2002). *Working better together: How government, business, and nonprofit organizations can achieve public purposes through cross-sector collaboration, alliances, and partnerships*. Independent Sector.
- Foster, M. K., & Meinhard, A. G. (2002). A regression model explaining predisposition to collaborate. *Nonprofit and Voluntary Sector Quarterly*, 31(4), 549–564.
- Fowler Jr., F. J. (2013). *Survey research methods* (5<sup>th</sup> ed.). Sage publications.
- Frahm, K. A., & Martin, L. L. (2009). From government to governance: Implications for social work administration. *Administration in Social Work*, 33(4), 407-422.
- Frederickson, H. G., Smith, K. B., Larimer, C. W., & Licari, M. J. (2016). *The public administration theory primer* (3<sup>rd</sup> ed.). Routledge.

Froelich, K. A. (1999). Diversification of revenue strategies: Evolving resource dependence in nonprofit organizations. *Nonprofit and Voluntary Sector Quarterly*, 28(3), 246-268.

Fu, J. S., & Cooper, K. R. (2021). Interorganizational network portfolios of nonprofit organizations: Implications for collaboration management. *Nonprofit Management and Leadership*, 31(3), 437-459.

Garrow, E. E. (2010). Receipt of government revenue among non-profit human service organizations. *Journal of Public Administration Research and Theory*, 21(3), 445-471.

Garrow, E., & Hasenfeld, Y. (2010). Theoretical approaches to human service organizations. In Y. Hasenfeld (Ed.), *Human services as complex organizations* (2<sup>nd</sup> ed.) (pp. 33-57). Sage Publications.

Gazley, B. (2008). Beyond the contract: The scope and nature of informal government–nonprofit partnerships. *Public Administration Review*, 68(1), 141-154.

Gazley, B. (2010). Why not partner with local government? Nonprofit managerial perceptions of collaborative disadvantage. *Nonprofit and Voluntary Sector Quarterly*, 39(1), 51-76.

Gazley, B. (2017). The current state of interorganizational collaboration: Lessons for human

- service research and management. *Human Service Organizations: Management, Leadership, & Governance*, 41(1), 1-5.
- Gazley, B., & Brudney, J. L. (2007). The purpose (and perils) of government-nonprofit partnership. *Nonprofit and Voluntary Sector Quarterly*, 36(3), 389-415.
- Gazley, B., & Guo, C. (2020). What do we know about nonprofit collaboration? A systematic review of the literature. *Nonprofit Management and Leadership*, 31(2), 211-232.
- Getha-Taylor, H., & Morse, R. S. (2013). Collaborative leadership development for local government officials: Exploring competencies and program impact. *Public Administration Quarterly*, 37(1), 71-102.
- Girth, A. M. (2022). Outsourcing state functions. In M. Wright, G. T. Wood, A. Cuervo-Cazurra, P. Sun, I. Okhmatovskiy, & A. Grosman (Eds.). *The Oxford Handbook of State Capitalism and the Firm* (pp. 403-425). Oxford University Press.
- Girth, A. M., Hefetz, A., Johnston, J. M., & Warner, M. E. (2012). Outsourcing public service delivery: Management responses in noncompetitive markets. *Public Administration Review*, 72(6), 887-900.
- Graaf, G., Hengeveld-Bidmon, E., Carnochan, S., Radu, P., Austin, M. J. (2016). The impact of

- the great recession on county human service organizations: A cross case analysis. *Human Service Organizations: Management, Leadership & Governance*, 40(2), 152-169.
- Graddy, E. A., & Chen, B. (2006). Influences on the size and scope of networks for social service delivery. *Journal of Public Administration Research and Theory*, 16(4), 533-552.
- Graham, J. R., & Barter, K. (1999). Collaboration: A social work practice method. *Families in Society*, 80(1), 6-13.
- Gray, B. (1989). *Collaborating: Finding common ground for multiparty problems*. Jossey-Bass.
- Gray, B., & Wood, D. J. (1991). Collaborative alliances: Moving from practice to theory. *The Journal of Applied Behavioral Science*, 27(1), 3-22.
- Griffith, D. A., & Zhao, Y. (2015). Contract specificity, contract violation, and relationship performance in international buyer–supplier relationships. *Journal of International Marketing*, 23(3), 22-40.
- Grønbjerg, K. A. (2010). The U.S. nonprofit human service sector: A creeping revolution. In Y. Hasenfeld (Ed.), *Human services as complex organizations* (2<sup>nd</sup> ed.) (pp. 79-96). Sage Publications.
- Gulati, R. (1995). Does familiarity breed trust? The implications of repeated ties for contractual



- choice in alliances. *Academy of Management Journal*, 38(1), 85-112.
- Gulati, R. (1999). Network location and learning: The influence of network resources and firm capabilities on alliance formation. *Strategic Management Journal*, 20(5), 397-420.
- Guo, C., & Acar, M. (2005). Understanding collaboration among nonprofit organizations: Combining resource dependency, institutional, and network perspectives. *Nonprofit and Voluntary Sector Quarterly*, 34(3), 340-361.
- Hall, P. D. (2016). Historical perspectives on nonprofit organizations in the United States. In D.O. Renz & R. D. Herman (Eds.), *The Jossey-Bass handbook of nonprofit leadership and management* (4th ed.) (pp. 3-42). John Wiley & Sons.
- Hardy, C., Phillips, N., & Lawrence, T.B. (2003). Resources, knowledge and influence: The organizational effects of interorganizational collaboration. *Journal of Management Studies* 40(2): 321-347.
- Hasenfeld, Y. (Ed.). (2010). *Human services as complex organizations* (2<sup>nd</sup> ed.). Sage Publications.
- Hasenfeld, Y. (2010). The attributes of human service organizations. In Y. Hasenfeld (Ed.), *Human services as complex organizations* (2<sup>nd</sup> ed.) (pp. 9-32). Sage Publications.

- Hasenfeld, Y., & Schmid, H. (1989). The life cycle of human service organizations: An administrative perspective. *Administration in Social Work, 13*(3-4), 243-269.
- Head, B. W., & Alford, J. (2015). Wicked problems: Implications for public policy and management. *Administration & Society, 47*(6), 711-739.
- Hefetz, A., & Warner, M. E. (2012). Contracting or public delivery? The importance of service, market, and management characteristics. *Journal of Public Administration Research and Theory, 22*(2), 289-317.
- Heinrich, C. J. (2000). Organizational form and performance: An empirical investigation of nonprofit and for-profit job-training service providers. *Journal of Policy Analysis and Management: The Journal of the Association for Public Policy Analysis and Management, 19*(2), 233-261.
- Hill, C., & Lynn, L. (2003). Producing human services Why do agencies collaborate? *Public Management Review, 5*(1), 63-81.
- Hodges, S., Ferreira, K., Mowery, D., & Novicki, E. (2013). Who's in charge here? Structures for collaborative governance in children's mental health. *Administration in Social Work, 37*(4), 418-432.
- Hood, C. (1991). A public management for all seasons? *Public Administration, 69*(1), 3-19.

Hosmer, D. W. and Lemeshow, S. 2000. *Applied logistic regression* (2<sup>nd</sup> ed.). John Wiley & Sons.

Huxham, C. (Ed.). (1996). *Creating collaborative advantage*. Sage Publications.

Huxham, C., & Vangen, S. (1996). Working together: Key themes in the management of relationships between public and non-profit organizations. *International Journal of Public Sector Management*, 9(7), 5-17.

Huxham, C., & Vangen, S. (2005). *Managing to collaborate: The theory and practice of collaborative advantage*. Routledge.

Huxham, C., & MacDonald, D. (1992). Introducing collaborative advantage: Achieving interorganizational effectiveness through meta-strategy. *Management Decision*, 30(3), 50-56.

Huxham, C., & Vangen, S. (2000). Leadership in the shaping and implementation of collaboration agendas: How things happen in a (not quite) joined-up world. *Academy of Management Journal*, 43(6), 1159-1175.

Huxham, C., & Vangen, S. (2005). *Managing to collaborate: The theory and practice of collaborative advantage*. Routledge.

- Huxham, C., Vangen, S., Huxham, C., & Eden, C. (2000). The challenge of collaborative governance. *Public Management and International Journal of Research and Theory*, 2(3), 337-358.
- Huxley, K. (2020). *Content analysis, quantitative*. Sage Publications Limited.  
<https://dx.doi.org/10.4135/9781526421036880564>
- Innes, J. E., & Booher, D. E. (1999). Consensus building and complex adaptive systems: A framework for evaluating collaborative planning. *Journal of the American Planning Association*, 65(4), 412-423.
- Issett, K. R., Mergel, I. A., LeRoux, K., Mischen, P. A., & Rethemeyer, R. K. (2011). Networks in public administration scholarship: Understanding where we are and where we need to go. *Journal of Public Administration Research and Theory*, 21(Suppl. 1), i157-i173.
- Jing, Y., & Hu, Y. (2017). From service contracting to collaborative governance: Evolution of government–nonprofit relations. *Public Administration and Development*, 37(3), 191-202.
- Johnston, E. W., Hicks, D., Nan, N., & Auer, J. C. (2011). Managing the inclusion process in collaborative governance. *Journal of Public Administration Research and Theory*, 21(4), 699-721.

- Johnston, J. M., & Romzek, B. S. (1999). Contracting and accountability in state Medicaid reform: Rhetoric, theories, and reality. *Public Administration Review*, 59(5), 383-399.
- Johnston, J. M., & Romzek, B. S. (2008). Social welfare contracts as networks: The impact of network stability on management and performance. *Administration & Society*, 40(2), 115-146.
- Kaboolian, L. (1998). The new public management: Challenging the boundaries of the management vs. administration debate. *Public Administration Review*, 58(3), 189-193.
- Keast, R., Brown, K., & Mandell, M. (2007). Getting the right mix: Unpacking integration meanings and strategies. *International Public Management Journal*, 10(1), 9-33.
- Keast, R., & Mandell, M. (2014). The collaborative push: Moving beyond rhetoric and gaining evidence. *Journal of Management & Governance*, 18(1), 9-28.
- Keast, R., Mandell, M. P., Brown, K., & Woolcock, G. (2004). Network structures: Working differently and changing expectations. *Public Administration Review*, 64(3), 363-371.
- Kettl, D. F. (2000). The transformation of governance: Globalization, devolution, and the role of government. *Public Administration Review*, 60(6), 488-497.

- Kettl, D. F. (2006). Managing boundaries in American administration: The collaboration imperative. *Public Administration Review*, 66, 10-19.
- Kettner, P. M., & Martin, L. L. (1990). Purchase of service contracting: Two models. *Administration in Social Work*, 14(1), 15-30.
- Kettner, P. M., & Martin, L. L. (1995). Performance contracting in the human services: An initial assessment. *Administration in Social Work*, 19(2), 47-61.
- Kim, M., & Peng, S. (2018). The dilemma for small human service nonprofits: Engaging in collaborations with limited human resource capacity. *Nonprofit Management and Leadership*, 29(1), 83-103.
- Konrad, E. (1996). A multidimensional framework for conceptualizing human services integration initiatives. *New Directions for Evaluation*, 69, 5-19.
- Koppenjan, J. (2008). Creating a playing field for assessing the effectiveness of network collaboration by performance measures. *Public Management Review*, 10(6), 699-714.
- Krippendorff, K. (2018). *Content analysis: An introduction to its methodology* (4<sup>th</sup> ed.). Sage Publications.
- Lambright, K. T. (2009). Agency theory and beyond: Contracted providers' motivations to

properly use service monitoring tools. *Journal of Public Administration Research and Theory*, 19(2), 207-227.

Lamothe, M., & Lamothe, S. (2012a). To trust or not to trust? What matters in local government-vendor relationships? *Journal of Public Administration Research and Theory*, 22(4), 867-892.

Lamothe, M., & Lamothe, S. (2012b). What determines the formal versus relational nature of local government contracting? *Urban Affairs Review*, 48(3), 322-353.

Lamothe, S. (2015). How competitive is “competitive” procurement in the social services? *The American Review of Public Administration*, 45(5), 584-606.

Lasker, R. D., & Weiss, E. S. (2003). Broadening participation in community problem solving: A multidisciplinary model to support collaborative practice and research. *Journal of Urban Health*, 80(1), 14-47.

Lasker, R., Weiss, E., & Miller, R. (2001). Partnership synergy: A practical framework for studying and strengthening the collaborative advantage. *The Milbank Quarterly*, 79(2), 179–205.

Lavrakas, P. J. (2008). *Encyclopedia of survey research methods*. Sage Publications.

- Lawson, H. A. (2004). The logic of collaboration in education and the human services. *Journal of Interprofessional Care*, 18(3), 225-237.
- Leach, W. D., Weible, C. M., Vince, S. R., Siddiki, S. N., & Calanni, J. C. (2014). Fostering learning through collaboration: Knowledge acquisition and belief change in marine aquaculture partnerships. *Journal of Public Administration Research and Theory*, 24(3), 591-622.
- Lee, D., & Hung, C. (2021). Meta-analysis of collaboration and performance: Moderating tests of sectoral differences in collaborative performance. *Journal of Public Administration Research and Theory*, 32(2), 360-379.
- LeRoux, K., Piatak, J., Romzek, B., & Johnston, J. (2019). Informal accountability in children's service networks: The role of frontline workers. *Human Service Organizations: Management, Leadership & Governance*, 43(3), 188-204.
- Likert, R. (1932). A technique for the measurement of attitudes. *Archives of Psychology*, 22(140), 1-55.
- Linden, R. M. (2003). *Working across boundaries: Making collaboration work in government and nonprofit organizations*. John Wiley & Sons.
- Lipsky, M., & Smith, S. R. (1989). Nonprofit organizations, government, and the welfare state.



*Political Science Quarterly*, 104(4), 625-648.

Long, J. S., & Freese, J. (2014). *Regression models for categorical dependent variables using Stata* (3rd ed.). Stata Press.

Longoria, R. A. (2005). Is inter-organizational collaboration always a good thing. *Journal of Sociology and Social Welfare*, 32, 123-138.

Lynn Jr., L. E., Heinrich, C. J., & Hill, C. J. (2001). *Improving governance: A new logic for empirical research*. Georgetown University Press.

Lu, J. (2015). Which nonprofit gets more government funding? Nonprofits' organizational attributes and their receipts of government funding. *Nonprofit Management & Leadership*, 25(3): 297-312.

Lu, J. (2016). The performance of performance-based contracting in human services: A quasi-experiment. *Journal of Public Administration Research and Theory*, 26(2), 277-293.

Malatesta, D., & Smith, C. R. (2014). Lessons from resource dependence theory for contemporary public and nonprofit management. *Public Administration Review*, 74(1), 14-25.

Marwell, N. P. (2004). Privatizing the welfare state: Nonprofit community-based organizations as

political actors. *American Sociological Review*, 69(2), 265-291.

Mattessich, P. W., & Monsey, B. R. (1992). *Collaboration: What makes it work. A review of research literature on factors influencing successful collaboration*. Amherst H. Wilder Foundation.

Mattessich, P., Murray-Close, M., & Monsey, B. (2001). *Wilder collaboration factors inventory* (2<sup>nd</sup> ed.). Wilder Research.

May, P. J., & Winter, S. C. (2007). Collaborative service arrangements: Patterns, bases, and perceived consequences. *Public Management Review*, 9(4), 479-502.

Mayer, R. C., Davis, J. H., & Schoorman, F. D. (1995). An integrative model of organizational trust. *Academy of Management Review*, 20(3), 709-734.

Mayhew, F. (2012). Human service delivery in a multi-tier system: The subtleties of collaboration among partners. *Journal of Health and Human Services Administration*, 35(1), 109-135.

McBeath, B., & Meezan, W. (2010). Governance in motion: Service provision and child welfare outcomes in a performance-based, managed care contracting environment. *Journal of Public Administration Research and Theory*, 20(Suppl. 1), i101-i123.

- McBeath, B., Carnochan, S., Stuart, M., & Austin, M. J. (2017). The managerial and relational dimensions of public-nonprofit human service contracting. *Journal of Strategic Contracting and Negotiation*, 3(2), 51-77.
- McBeath, B., Chuang, E., Carnochan, S., Austin, M. J., & Stuart, M. (2019a). Service coordination by public sector managers in a human service contracting environment. *Administration and Policy in Mental Health and Mental Health Services Research*, 46(2), 115-127.
- McBeath, B., Tian, Q., Xu, B., & Huang McBeath, J. (2019b). Human service organization-environment relationships in relation to environmental justice: Old and new approaches to macro practice and research. *Human Service Organizations: Management, Leadership & Governance*, 43(4), 299-313.
- McCullagh, P. (1980). Regression models for ordinal data. *Journal of the Royal Statistical Society: Series B (Methodological)*, 42(2), 109-127.
- McGuire, M. (2006). Collaborative public management: Assessing what we know and how we know it. *Public Administration Review*, 66, 33-43.
- McGuire, M., & Silvia, C. (2010). The effect of problem severity, managerial and organizational capacity, and agency structure on intergovernmental collaboration: Evidence from local emergency management. *Public Administration Review*, 70(2), 279-288.

- McNamara, M. W., Miller-Stevens, K., & Morris, J. C. (2019). Exploring the determinants of collaboration failure. *International Journal of Public Administration*, 43(1), 49-59.
- Meinhard, A., Lo, L., & Hyman, I. (2016). Cross-sector partnerships in the provision of services to new immigrants in Canada: Characteristics, relevance and constraints. *Human Service Organizations: Management, Leadership & Governance*, 40(3), 281-296.
- Mensing, J. F. (2017). The challenges of defining and measuring outcomes in nonprofit human service organizations. *Human Service Organizations: Management, Leadership & Governance*, 41(3), 207-212.
- Meyer, J. W., & Rowan, B. (1977). Institutionalized organizations: Formal structure as myth and ceremony. *American Journal of Sociology*, 83(2), 340-363.
- Meyers, M. K., Riccucci, N. M., & Lurie, I. (2001). Achieving goal congruence in complex environments: The case of welfare reform. *Journal of Public Administration Research and Theory*, 11(2), 165-202.
- Miltenberger, L., & Sloan, M. F. (2017). Collaborative leadership: The future of nonprofit contracting. *The Journal of Nonprofit Education and Leadership*, 7(2), 123-140.
- Milward, H. B., & Provan, K. (2003). Managing the hollow state: Collaboration and

contracting. *Public Management Review*, 5(1), 1-18.

Mosley, J. E. (2020). Social service nonprofits: Navigating conflicting demands. In W. W. Powell & P. Bromley (Eds.), *The nonprofit sector: A research handbook* (3<sup>rd</sup> ed.) (pp. 251-270). Stanford University Press.

Mosley, J. E., & Smith, S. R. (2018). Human service agencies and the question of impact: Lessons for theory, policy, and practice. *Human Service Organizations: Management, Leadership & Governance*, 42(2), 113-122.

Mowday, R. T., Steers, R. M., & Porter, L. W. (1979). The measurement of organizational commitment. *Journal of Vocational Behavior*, 14(2), 224-247.

Mowery, D. C., Oxley, J. E., & Silverman, B. S. (1996). Strategic alliances and interfirm knowledge transfer. *Strategic Management Journal*, 17(S2), 77-91.

Murphy, H., & Robichau, R. W. (2016). Governmental influences on organizational capacity: The case of child welfare nonprofits. *Nonprofit Policy Forum*, 7(3), 339-367.

Never, B., & de Leon, E. (2014). The effect of government contracting on nonprofit human service organizations: Impacts of an evolving relationship. *Human Service Organizations: Management, Leadership & Governance*, 38(3), 258-270.

- Never, B., & de Leon, E. (2017). The cost of accountability for small human service contractors. *Human Service Organizations: Management, Leadership & Governance*, 41(4), 403-415.
- Norman, G. (2010). Likert scales, levels of measurement and the “laws” of statistics. *Advances in Health Sciences Education*, 15(5), 625-632.
- Norris-Tirrell, D. (2014). The changing role of private, nonprofit organizations in the development and delivery of human services in the United States. *Journal of Health and Human Services Administration*, 37(3), 304-326.
- Norris-Tirrell, D., & Clay, J. A. (2016). *Strategic collaboration in public and nonprofit administration: A practice-based approach to solving shared problems*. CRC Press.
- Nowell, B., & Harrison, L. M. (2010). Leading change through collaborative partnerships: A profile of leadership and capacity among local public health leaders. *Journal of Prevention & Intervention in the Community*, 39(1), 19-34.
- O'Leary, R., & Bingham, L. B. (Eds.). (2009). *The collaborative public manager: New ideas for the twenty-first century*. Georgetown University Press.
- O'Leary, R., Choi, Y., & Gerard, C. M. (2012). The skill set of the successful collaborator. *Public Administration Review*, 72(Suppl. 1), S70-S83.

- O'Leary, R., Gazley, B., McGuire, M., & Bingham, L. B. (2009). Public managers in collaboration. In R. O'Leary & L. B. Bingham (Eds.), *The collaborative public manager: New ideas for the twenty-first century* (pp. 1-12). Georgetown University Press.
- O'Leary, R., Gerard, C., & Bingham, L. B. (2006). Introduction to the symposium on collaborative public management. *Public Administration Review*, 66, 6-9.
- O'Leary, R., & Vij, N. (2012). Collaborative public management: Where have we been and where are we going? *The American Review of Public Administration*, 42(5), 507-522.
- O'Looney, J. (1994). Modeling collaboration and social services integration: A single state's experience with developmental and non-developmental models. *Administration in Social Work*, 18(1), 61-86.
- O'Regan, K. M., & Oster, S. M. (2000). Nonprofit and for-profit partnerships: Rationale and challenges of cross-sector contracting. *Nonprofit and Voluntary Sector Quarterly*, 29(Suppl. 1), 120-140.
- Osborne, D., & Gaebler, T. (1992). *Reinventing government: How the entrepreneurial spirit is transforming the public sector*. Addison-Wesley.
- Osborne, J. W. (2015). *Best practices in logistic regression*. Sage Publications.

Osborne, S. P. (2006). The new public governance? *Public Management Review*, 8(3), 377-387.

Osborne, S. P. (2009). The (new) public governance: A suitable case for treatment. In S. P. Osborne (Ed.), *The new public governance? Emerging perspectives on the theory and practice of public governance* (pp. 1-16). Routledge.

Ospina, S. M., & Saz-Carranza, A. (2010). Paradox and collaboration in network management. *Administration & Society*, 42(4), 404-440.

Packard, T. (2021). *Organizational change for the human services*. Oxford University Press.

Packard, T., Patti, R., Daly, D., & Tucker-Tatlow, J. (2013). Implementing services integration and interagency collaboration: Experiences in seven counties. *Administration in Social Work*, 37(4), 356-371.

Page, S. (2004). Measuring accountability for results in interagency collaboratives. *Public Administration Review*, 64(5), 591-606.

Page, S. (2005). What's new about the new public management? Administrative change in the human services. *Public Administration Review*, 65(6), 713-727.

Palinkas, L. A., Horwitz, S. M., Green, C. A., Wisdom, J. P., Duan, N., & Hoagwood, K. (2015).



- Purposeful sampling for qualitative data collection and analysis in mixed method implementation research. *Administration and Policy in Mental Health and Mental Health Services Research*, 42(5), 533-544.
- Peng, C. Y. J., Lee, K. L., & Ingersoll, G. M. (2002). An introduction to logistic regression analysis and reporting. *The Journal of Educational Research*, 96(1), 3-14.
- Peng, S., Liao, Y., & Lu, J. (2020). Stay or exit: Why do nonprofits maintain collaborations with government? *The American Review of Public Administration*, 50(1), 18-32.
- Peng, S., & Lu, J. (2021). When government is late to fulfill its end of the bargain: The relational effects of payment delays on nonprofit organizations. *Public Performance & Management Review*, 44(1), 216-242.
- Perrault, E., McClelland, R., Austin, C., & Sieppert, J. (2011). Working together in collaborations: Successful process factors for community collaboration. *Administration in Social Work*, 35(3), 282-298.
- Petrucci, C. J. (2009). A primer for social worker researchers on how to conduct a multinomial logistic regression. *Journal of Social Service Research*, 35(2), 193-205.
- Pettijohn, S. L., & Boris, E. T. (2013). Federal government contracts and grants for nonprofits. *Government-Nonprofit Contracting Relationships Brief*, 1.

- Pettijohn, S. L., Boris, E. T., De Vita, C. J., & Fyffe, S. D. (2013). Nonprofit-government contracts and grants: Findings from the 2013 national survey. *Washington, DC: Urban Institute.*
- Pfeffer, J., & Salancik, G. R. (1978). *The external control of organizations: A resource dependence perspective.* Harper & Row.
- Piatak, J. S., & Pettijohn, S. L. (2021). Within source diversification when the going gets tough: Examining alterations to human service nonprofit funding by levels of government. *Journal of Health & Human Services Administration, 44*(1), 45-66.
- Piatak, J., Romzek, B., LeRoux, K., & Johnston, J. (2018). Managing goal conflict in public service delivery networks: Does accountability move up and down, or side to side? *Public Performance & Management Review, 41*(1), 152-176.
- Podsakoff, P. M., MacKenzie, S. B., & Podsakoff, N. P. (2012). Sources of method bias in social science research and recommendations on how to control it. *Annual Review of Psychology, 63*, 539-569.
- Poppo, L., & Zenger, T. (2002). Do formal contracts and relational governance function as substitutes or complements? *Strategic Management Journal, 23*(8), 707-725.

- Prentice, C. R., & Brudney, J. L. (2016). Definitions do make a difference: County managers and their conceptions of collaboration. *Human Service Organizations: Management, Leadership & Governance*, 40(3), 193-207.
- Provan, K. G., Milward, H. B., & Isett, K. R. (2002). Collaboration and integration of community-based health and human services in a nonprofit managed care system. *Health Care Management Review*, 27(1), 21-32.
- Ramadass, S. D., Sambasivan, M., & Xavier, J. A. (2018). Collaboration outcomes in a public sector: Impact of governance, leadership, interdependence and relational capital. *Journal of Management and Governance*, 22(3), 749-771.
- Rittel, H. W. J., Webber, M. M. (1973). Dilemmas in a general theory of planning. *Policy Sciences*, 4(2), 155-169.
- Ring, P. S., & Van de Ven, A. H. (1994). Developmental processes of cooperative interorganizational relationships. *Academy of Management Review*, 19(1), 90-118.
- Romzek, B. S., & Johnston, J. M. (2002). Effective contract implementation and management: A preliminary model. *Journal of Public Administration Research and Theory*, 12(3), 423-453.
- Romzek, B. S., LeRoux, K., & Blackmar, J. M. (2012). A preliminary theory of informal

- accountability among network organizational actors. *Public Administration Review*, 72(3), 442-453.
- Sagawa, S., & Segal, E. (2000). Common interest, common good: Creating value through business and social sector partnerships. *California Management Review*, 42(2), 105-122.
- Saidel, J. R., & Searing, E. A. (2020). Public agency strategies, collaborative contracting, and Medicaid Managed Care. *Perspectives on Public Management and Governance*, 3(3), 239-255.
- Salamon, L. M. (1993). The marketization of welfare: Changing nonprofit and for-profit roles in the American welfare state. *Social Service Review*, 67(1), 16-39
- Salamon, L. M. (1995). *Partners in public service: Government-nonprofit relations in the modern welfare state*. JHU Press.
- Salamon, L. M. (ed.) (2002). *The tools of government: A guide to the new governance*. Oxford University Press.
- Salamon, L. M., & Toepler, S. (2015). Government–nonprofit cooperation: Anomaly or necessity? *VOLUNTAS: International Journal of Voluntary and Nonprofit Organizations*, 26(6), 2155-2177.

- Sandfort, J. (1999). The structural impediments to human service collaboration: Examining welfare reform at the front lines. *Social Service Review*, 73(3), 314-339.
- Sandfort, J. (2010). Human service organizational technology: Improving understanding and advancing research. In Y. Hasenfeld (Ed.), *Human services as complex organizations* (2<sup>nd</sup> ed.) (pp. 269-290). Sage Publications.
- Sandfort, J., & Milward, H. B. (2008). Collaborative service provision in the public sector. In S. Cropper, M. Ebers, C. Huxham, & P. Smith Ring (Eds.), *The Oxford handbook of inter-organizational relations* (pp. 147-174). Oxford University Press.
- Schmid, H. (2004). The role of nonprofit human service organizations in providing social services: A prefatory essay. *Administration in Social Work*, 28(3-4), 1-21.
- Schmid, H., & Almog-Bar, M. (2020). The critical role of the initial stages of cross-sector partnerships and their implications for partnerships' outcomes. *VOLUNTAS: International Journal of Voluntary and Nonprofit Organizations*, 31(2), 286-300.
- Scott, T. A., & Thomas, C. W. (2017). Unpacking the collaborative toolbox: Why and when do public managers choose collaborative governance strategies? *Policy Studies Journal*, 45(1), 191-214.
- Scott, W. R., & Davis, G. F. (2007). *Organizations and organizing: Rational, natural and open*

*systems perspectives*. Routledge.

Selden, S. C., Sowa, J. E., & Sandfort, J. (2006). The impact of nonprofit collaboration in early child care and education on management and program outcomes. *Public Administration Review*, 66(3), 412-425.

Shaw, M. M. (2003). Successful collaboration between the nonprofit and public sectors. *Nonprofit Management and Leadership*, 14(1), 107-120.

Shick, R. A., & Martin, L. L. (2019). A brief history of human service contracting. In R. A. Shick & L. L. Martin (Eds.), *Human services contracting: A public solutions handbook* (pp. 9-19). Routledge.

Siddiki, S. N., Carboni, J. L., Koski, C., & Sadiq, A. A. (2015). How policy rules shape the structure and performance of collaborative governance arrangements. *Public Administration Review*, 75(4), 536-547.

Silvia, C., & McGuire, M. (2010). Leading public sector networks: An empirical examination of integrative leadership behaviors. *The Leadership Quarterly*, 21(2), 264-277.

Smircich, L., & Stubbart, C. (1985). Strategic management in an enacted world. *Academy of Management Review*, 10(4), 724-736.

- Smith, S. R. (2015). Managing human service organizations in the 21st century. *Human Service Organizations: Management, Leadership & Governance*, 39(5), 407-411.
- Smith, S.R., & Lipsky, M. (1993). *Nonprofits for hire: The welfare state in the age of contracting*. Harvard University Press.
- Smith, S. R., & Phillips, S. D. (2016). The changing and challenging environment of nonprofit human services: Implications for governance and program implementation. *Nonprofit Policy Forum*, 7(1), 63-76.
- Song, M. K., Lin, F. C., Ward, S. E., & Fine, J. P. (2013). Composite variables: When and how. *Nursing Research*, 62(1), 45-49.
- Sowa, J. E. (2008). Implementing interagency collaborations: Exploring variation in collaborative ventures in human service organizations. *Administration & Society*, 40(3), 298-323.
- Sowa, J. E. (2009). The collaboration decision in nonprofit organizations: Views from the front line. *Nonprofit and Voluntary Sector Quarterly*, 38(6), 1003-1025.
- Stoker, G. (1998). Governance as theory: five propositions. *International Social Science Journal*, 50(155), 17-28.

- Suárez, D. F. (2011). Collaboration and professionalization: The contours of public sector funding for nonprofit organizations. *Journal of Public Administration Research and Theory*, 21(2), 307-326.
- Sun, X. (2017). Research and prospect of collaborative governance theory. *Public Policy and Administration Research*, 7(7), 50-53.
- Tashakkori, A., & Creswell, J. W. (2007). The new era of mixed methods. *Journal of Mixed Methods Research*, 1(1), 3-7.
- Tausczik, Y. R., & Pennebaker, J. W. (2010). The psychological meaning of words: LIWC and computerized text analysis methods. *Journal of Language and Social Psychology*, 29(1), 24-54.
- Tavakol, M., & Dennick, R. (2011). Making sense of Cronbach's alpha. *International Journal of Medical Education*, 2, 53-55.
- Thompson, D., Socolar, R., Brown, L., & Haggerty, J. (2002). Interagency collaboration in seven North Carolina counties. *Journal of Public Health Management and Practice*, 8(5), 55-64.
- Thompson, P., Williams, R., & Kwong, C. (2017). Factors holding back small third sector



- organizations' engagement with the local public sector. *Nonprofit Management and Leadership*, 27(4), 513-531.
- Thomson, A. M., & Perry, J. L. (2006). Collaboration processes: Inside the black box. *Public Administration Review*, 66, 20-32.
- Thomson, A. M., Perry, J. L., & Miller, T. K. (2009). Conceptualizing and measuring collaboration. *Journal of Public Administration Research and Theory*, 19(1), 23-56.
- Tollestrup, J., & Lynch, K. E. (2021). *Department of Health and Human Services: FY2022 budget request* (Report No. R46840). U.S. Congressional Research Service.  
<https://sgp.fas.org/crs/misc/R46840.pdf>
- Tourangeau, R., Rips, L. J., & Rasinski, K. (2000). *The psychology of survey response*. Cambridge University Press.
- Van de Ven, A. H., & Walker, G. (1984). The dynamics of interorganizational coordination. *Administrative Science Quarterly*, 29(4), 598-621.
- Van Slyke, D. M. (2003). The mythology of privatization in contracting for social services. *Public Administration Review*, 63(3), 296-315.
- Van Slyke, D. M. (2007). Agents or stewards: Using theory to understand the government-

- nonprofit social service contracting relationship. *Journal of Public Administration Research and Theory*, 17(2), 157-187.
- Van Slyke, D. M. (2009). Collaboration and relational contracting. In R. O'Leary & L. B. Bingham (Eds.), *The collaborative public manager: New ideas for the twenty-first century* (pp. 137-156). Georgetown University Press.
- Vangen, S., & Huxham, C. (2003). Nurturing collaborative relations: Building trust in interorganizational collaboration. *The Journal of Applied Behavioral Science*, 39(1), 5-31.
- Vangen, S., & Huxham, C. (2012). The tangled web: Unraveling the principle of common goals in collaborations. *Journal of Public Administration Research and Theory*, 22(4), 731-760.
- Vangen, S., Hayes, J. P., & Cornforth, C. (2015). Governing cross-sector, inter-organizational collaborations. *Public Management Review*, 17(9), 1237-1260.
- Vernis, A., Iglesias, M., Sanz, B., & Saz-Carranza, A. (2006). *Nonprofit organizations: Challenges and collaboration*. Springer.
- Verschuere, B., & De Corte, J. (2014). The impact of public resource dependence on the autonomy of NPOs in their strategic decision making. *Nonprofit and Voluntary Sector Quarterly*, 43(2), 293-313.

Voets, J., Brandsen, T., Koliba, C., & Verschuere, B. (2021). Collaborative governance. In *Oxford research encyclopedia of politics* (pp. 1-21). Oxford University Press.

<https://doi.org/10.1093/acrefore/9780190228637.013.1419>

Watson, L. D., & Hegar, R. L. (2013). The tri-sector environment of social work administration: Applying theoretical orientations. *Administration in Social Work*, 37(3), 215-226.

Weber, E.P., & Khademian, A. M. (2008a). Managing collaborative processes: Common practices, uncommon circumstances. *Administration & Society*, 40(5), 431-464.

Weber, E. P., & Khademian, A. M. (2008b). Wicked problems, knowledge challenges, and collaborative capacity builders in network settings. *Public Administration Review*, 68(2), 334-349.

Weber, R. P. (1990). *Basic content analysis* (2<sup>nd</sup> ed.). Sage Publications.

Weick, K. E. (1984). Small wins: Redefining the scale of social problems. *American Psychologist*, 39(1), 40.

Willging, C. E., Aarons, G. A., Trott, E. M., Green, A. E., Finn, N., Ehrhart, M. G., & Hecht, D.

- B. (2016). Contracting and procurement for evidence-based interventions in public-sector human services: A case study. *Administration and Policy in Mental Health and Mental Health Services Research*, 43(5), 675-692.
- Williams, P. (2002). The competent boundary spanner. *Public Administration*, 80(1), 103-124.
- Williams, R. (2016). Understanding and interpreting generalized ordered logit models. *The Journal of Mathematical Sociology*, 40(1), 7-20.
- Williamson, O. E. (1979). Transaction-cost economics: The governance of contractual relations. *The Journal of Law and Economics*, 22(2), 233-261.
- Witesman, E. M., & Fernandez, S. (2013). Government contracts with private organizations: Are there differences between nonprofits and for-profits? *Nonprofit and Voluntary Sector Quarterly*, 42(4), 689-715.
- Wood, D. J., & Gray, B. (1991). Toward a comprehensive theory of collaboration. *The Journal of Applied Behavioral Science*, 27(2), 139-162.
- Zaheer, A., McEvily, B., & Perrone, V. (1998). Does trust matter? Exploring the effects of interorganizational and interpersonal trust on performance. *Organization Science*, 9(2), 141-159.

Zelnick, J. R., & Abramovitz, M. (2020). The perils of privatization: Bringing the business model into human services. *Social Work*, 65(3), 213-224.