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NETWORKS IN PUBLIC ADMINISTRATION: SEARCHING FOR DEMOCRATIC
LEGITIMACY

A Dissertation Submitted in Partial Fulfillment of the
Requirements for the Degree
Doctor of Public Administration

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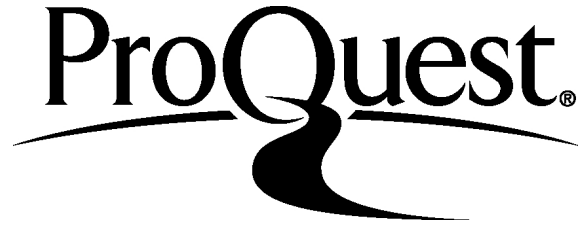
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ABSTRACT

Networks in Public Administration: Looking for Democratic Legitimacy

By David Gonzalez, DPA

Purpose. Studies on networks in public administration demonstrate the utility and effectiveness of networks, however questions about the democratic legitimacy of networks is of continued interest. The purpose of this study was to determine how collaborative networks in public administration demonstrate democratic legitimacy. This research sought to contribute to the understanding of networks in public administration as functionaries operating within a democratic republic.

Theoretical framework. Democratic theory was used to help researchers understand how principles of democratic institutions can be applied networks. Democratic theory assists in the structuration for concrete understanding of variables to be observed in networks.

Methodology. This study examined two collaborative networks. An exploratory case study methodology was used to investigate the presence of democratic legitimacy by examining the characteristics of the networks to discover the presence of legitimating variables. The two collaborative networks studied are located in Orange County, California: The La Habra Collaborative (La Habra, CA), and the Orange County Food Access Coalition (Santa Ana, CA). The leadership of the networks completed a survey relating to the composition of the networks and their structures.

Findings. The two collaborative networks were made up of actors who occupy professional and other civic roles that come vested with some level of public trust or authority/mandate to act. Examples include elected/appointed officials and those with licenses/credentials issued by a governing body. The practice of either designing or accepting the structure of a network to include actors vested with public trust or authority/mandate to act may be viewed as a legitimating function (actor as mediating variable).

Conclusions and recommendations. Network actors brought a level of legitimacy to the network. Research into the democratic legitimacy of collaborative networks should include investigating the composition of the network and actor roles outside of the network. Attempts at explaining, categorizing for creation of typology or hypothesis building, must include consideration of the individual actor. Recommendations for public administration practitioners include researching any offer for participating in a collaborative network (specifically expectations of the public administrator). Practitioners should consider collaborative networks as potentially legitimate, effective, and efficient models of service delivery or solution/mitigating alternative discovery.

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Kyrie eleison, Christe eleison!

DEDICATION

This work is dedicated to my family: my mom Rita Gomez (because of your hard work and sacrifice we are better) and the man who took over as dad, Eric Granado; my sisters Amanda Marie, Frances Lorraine, Elena Sophia, and their children. To Grandma Dolores who made her own brave decisions resulting in what is my story today. Never said enough, I know: I love you, dearly.

To some friends who helped me to see a better me:

OCM....KM.....RV.....RR.....MP.....MP (no not a typo).....and many more.

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To my students and those I have mentored (especially those who think they cannot succeed): Yes, you can! Just keep moving forward.

PREFACE

In 2010, I was a teaching criminal justice and crime scene investigation to high schoolers through a local high school, regional occupational program district in Orange County, California. I ended up teaching these courses by way of my own public service career heritage. I had been a police explorer (volunteer), a police jailer, then a community service officer trained as a traffic investigator (I enjoyed the hit and run investigations and it was great to be able to locate someone who did wrong to another), and when I transitioned to teaching, I remained with my police agency part time as a police dispatcher. My sense of justice and my abilities to see a factor or factors that went wrong or should not have happened were sharpened through my specialized training, and of course my education (mostly the education of being in daily interaction with high schoolers). At about this same time, Southern California started to hear the first rumblings of something going wrong in the City of Bell.

The Fall of 2011, I started my doctoral studies in La Verne. Diving into the academic conversation of what had been my “swimming pool” (public service delivery and public value creation), I carried with me the sense of justice, the questioning mind that wondered about things such as legitimacy and authority, and right and wrong, and a need to understand how or why. To be sure, my professional life reinforced ideas of what ought to be the case, what cannot be the case, and the reality that as a public servant my role is to figure out how to take the “what ought to be” and make it happen (or at least

try). By this time, the City of Bell saw the rumblings from 2010 turn into six former council members begging a judge to dismiss corruption charges, arguing that their salaries were legitimately authorized by the People of their city. Their defense to allegations of public corruption was immediately based on claims of legitimate, lawful, and authorized legislative or administrative actions. What we were starting to see from the City of Bell investigation was a gross lack of respect or care for the People of Bell, their hard-earned money, their trust, and truly their future. Just as I was reading and writing, gravitating toward ideas of democratic legitimacy and ideas of democracy in local government the City of Bell, elected officials and chief administrative people (including the city manager and assistance city manager) were being exposed as having ridiculously inflated salaries, and a blatant disregard for the People's business and the hard-working families they each swore an oath to serve and protect.

As I briefed myself on the issue of Bell, the sense of justice, the sense making created by training, and the knowledge I was starting to glean from my studies caused an immediate idea in my mind: While the People of Bell were experiencing this terrible betrayal in an instant, as an incidental in their collective community life, the journey of selfish decisions, insufficient personal leadership, and lack of respect mediated over time and through a network structure that must have started many years prior to when it began to emerge in 2010. In short, I sensed that this was network activity that should have never happened.

Digging into dissertation research, I wanted to discover what differentiates "good" network activity from dark network activity, and how might public administration researchers characterize a gray area that may be exploited by some for the appearance of

the cover of legitimacy but with malicious, wrong intent. My traffic investigator mind wanted to know one simple, yet complex thing: What variable if omitted from the event that would have stopped or likely mitigated the event or its ramifications?

CHAPTER I

THE PROBLEM

In a society that touts the hallmarks of a democratic republic, democratic legitimacy is a central focus for scholars and practitioners of public administration. For various reasons, of which democratic accountability is but one, the concern for democratic legitimacy of the structures engaged in service delivery to the public requires an understanding of how one might characterize the composition of the structures. This study is an exploratory case study of two collaborative networks engaged in cooperative, networked activity for the purpose of addressing public needs during an era characterized by what Frederickson (1999) referred to as a disarticulated state.

The disarticulated state is a condition when a government's ability "to deal with complex social and economic issues has eroded significantly" (Frederickson, 1999, p. 703). Frederickson argued that under conditions of disarticulation, networks have a featured role. Frederickson's comments on the response to disarticulation by public administration are reflected in the field's "theories of cooperation, networking and institution building and maintenance" (p. 702). In the described disarticulation, collaborative networks are a specific example of structures that have emerged and are engaging in problem solving, service delivery, and a form of governance that have

traditionally been the purview of public organizations. Traditional public organizations enjoy standing in community and society at large as a result of democratic legitimacy.

For traditional public organizations, democratic legitimacy rarely comes into question as they have clear and defined lines of political/electoral accountability, which mediates power into legitimate authority to act as appointed by elected officials. A chief public administrator is appointed by an elected official or by an elected body. The elected officials are responsive to the political will of the People. The public administrator is authorized to select and hire public employees to provide a public service using lines of responsibility. Ultimately, the public organization can be characterized as democratically legitimate. How a public organization is fixed to its democratic system and values is largely supposed in daily social life.

A police department, a social services department, and a public planning department all enjoy an assumption of democratic legitimacy and station in the community and are able to deliver services with little question from service recipients, and with the recipients confident in a structure of accountability, expertise, and authority to act. As decisions and services in and for the public good and welfare continue to become the purview of networks (or as Frederickson [1999] described, are shifted to entities of cooperation and networking), lines of accountability become less clear. Those making the decisions are not accountable in the manner the public has come to expect, and legitimacy to act is unclear. This study is predicated on concepts and understandings about networks, power, legitimacy, and democratic anchorage. The next section briefly explores these topics as they relate to this research.

Background of the Problem

Networks

One of the most basic conceptualizations of networks that is of help for public administrators to understand is the network as a collection of *nodes* (*n*) related by *ties* (*t*) (Rhodes, 1997) with the simplest of networks being a dyad (see Figure 1).

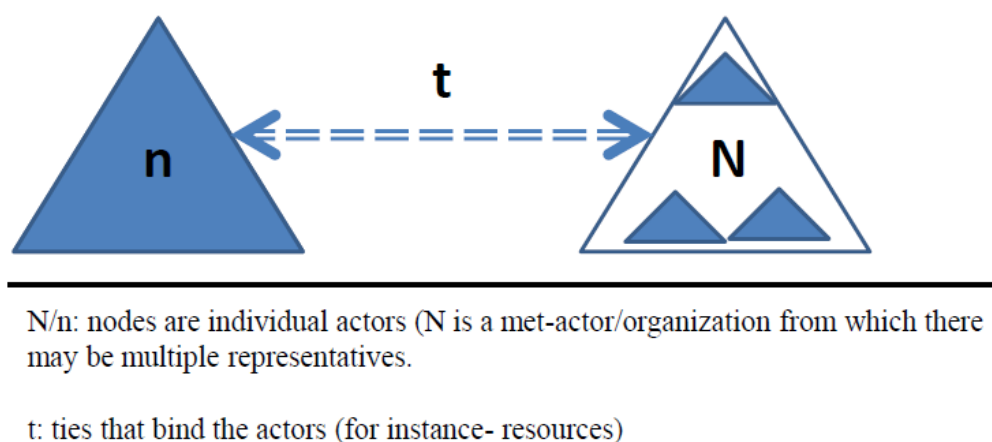


Figure 1. Depiction: Simple network explained. Adapted from *Understanding Governance: Policy Networks, Governance, Reflexivity and Accountability*, by R. Rhodes, 1997, Buckingham, UK: Open University Press.

As pointed out by Koliba, Meek, and Zia (2011) and Wasserman and Faust (1994), these nodes may include microlevel actors (as in an individual demonstrated in Figure 1, lower-case *n* triangle) or macrolevel actors (interorganizational actors as demonstrated in Figure 1, upper-case *N* triangle), all of which are united (tied) by common actions or resources sharing (demonstrated by *t* in Figure 1). It is also appropriate to mention in brief the nature of the ties (*t*) that bind the actors. This work

aimed to hypothesize about the nature of the tie that exists between actors inasmuch as legitimacy is exercised as decision making and action among and between the actors in the name of duty or requirement. Helpful with this perspective is Weick's (1976) metaphor of loose-couplings, which is used to explain and help one understand the connection(s) that exist in human social activity (groups or organizations for instance). The relational tie between the actors (or as Weick might say, elements) may be tight in strength or loose (for Weick there is a continuum of coupling strength).

In his 1997 forecast, O'Toole requested that scholars pay attention to networks as they will significantly increase in number and area of activity. It is clear that networks have had a developing role in this society and in the provision services traditionally considered public service. In the 1990s, the "age of the network" was heralded (Lipnack & Stamps, 1996); it was demonstrated that traditional structures, such as markets and hierarchies, were being augmented by networks (Powell, 1990), and in 2001 Agranoff and McGuire explored how public managers are becoming concerned and occupied with horizontal and vertical networks. As formal or informal structures in public administration, networks have become *the* response to an increasingly complex reality of problems and concerns in society. With its foundations in Moreno's (1948) sociological studies, into what he would simply refer to as "group relations," may bring to the conversation of networks valid questions and ideas on inventive and dynamic ways to address *wicked* problems in complex contexts with innovative outcomes. This is where collaborative networks (and other networks to be sure) appear to be emerging.

Legitimacy

An important quality of government is legitimacy. Legitimacy—as understood for this study—is not guaranteed by the mere existence of a government or governance structure. Beetham’s (2013) view of legitimacy is helpful in understanding the constituent parts of legitimacy. What is also important to consider is Beetham’s complimentary construct of what nonlegitimate power is because this understanding helps illuminate what it means to a governance system to lack legitimacy. In Beetham’s (2013) view, nonlegitimacy can take the form of illegitimacy, a legitimacy deficit, or delegitimation. This is to say that when power is held or used without requisite consonance or conformity to existing rules (a breach of the rule of law), when power is obtained with weak support seen in the beliefs held by dominant and subordinate groups subject to the power, and when power is held or exerted even with the absence of evidence of consent, then the power is illegitimate, suffers a legitimacy deficit, or has suffered delegitimation, respectively. In the end, without legitimacy, power is relegated to force or coercion tantamount to that of a schoolyard bully. Beetham’s dimensions of legitimacy are presented in Figure 2 and serve as a guide for understanding the phenomenon.

Beetham's Dimensions of Legitimacy <i>A way to indicate or recognize democratic legitimacy</i>
1. Conforms to existing Rule of Law.
2. Rules/Regulations are justified by reference to beliefs shared by both the dominant and subordinate groups.
3. The presence of evidence of consent (particularly consent by the subordinate group).

Figure 2. Beetham's dimensions of legitimacy. Adapted from *The Legitimation of Power*, by D. Beetham, 2013, London, England: Palgrave MacMillan

Democratic Legitimacy and Networks

Collaborative networks (Isett, Mergel, LeRoux, Mischen, & Rethmeyer, 2011), local partnerships (Sullivan & Skelcher, 2002), or do-ocracies as discussed by Verhoeven, Metz, and van de Wijdeven (2014) are all examples of nontraditional, network activity carried-out by community members in the public arena to address issues that are generally accepted as the purview of official governmental structure (public organizations). Power transitions into or acquires the auspices of authority (authority to act, authority to represent an interest, authority requiring obeisance or requiring a duty to refrain or act), which founds a simultaneous obligation to obey and right to rule (Schmitter, 2001).

Traditional public organizations enjoy right to govern, generally are accepted in society, and are therefore viewed as legitimate. Questions (if there are any in a community) of legitimacy of an official governance structure are swiftly answered and

there is largely no reasonable concern about “right to act.” While networks make the de facto claim to legitimacy, there is an important question of when and why a network should be understood to be democratically legitimate? In other words, the question is, Under what conditions and why should a network operating in what is traditionally a public organization’s purview be granted the right to act for or in the name of the People? Applying this question to a traditional public organization may appear as such and helps one to understand what the potential question and concern are: Under what conditions is a public organization granted the right to act for or in the name of the People?

This question as earlier commented is rarely asked of a traditional public organization, but when it is, the response may be that a public organization has the right to act in legitimate, democratic authority, when for the public organization, there exists an enabling statute or legislative mandate, an appointed public administrator with a direct line of administrative control over subordinate officers, selected based on merit and training, who is duly appointed, and with a direct line of administrative accountability anchored to (ultimately) a position or board, which is an elected authority subject to political accountability. Recipients (community members) of the public services administered by the traditional public organizations understand and accept the role of the public organization and its actors. Moreover, community members expected accountability in at least two forms. The first form is where the actors selected for the delivery of public services are qualified, responsible, and tethered by responsibility to an accountability structure internal to the public organization, primarily held by the chief public administrator of the organization, and extending to political accountability held by

the elected authority with oversight. A second form of expected accountability is a process to grieve in a case of community member complaint or concern regarding services.

It has been noted that collaborative networks are emerging and acting in the spheres traditionally understood to be the purview of public administration. Understanding the nature of networks and the idea of function of legitimacy, public administration as a field of study is concerned not only with the effectiveness and efficiency of networks but also with the question of network democratic legitimacy. With public organizations, there is rarely a need to trace the lines of legitimacy that anchor it to democratic apparatus mediating legitimacy.

Democratic Anchorage

Sørensen and Torfing's (2005a) conceptualization of "democratic anchorage" is a useful way to understand a starting point for the identification of the variables being investigated. For Sørensen and Torfing, democratic anchorage is the level of democratic legitimacy established by the form and function of a network (in particular, their work involved governance networks). The authors argued that anchorage is a result of a network being appropriately connected to various political constituencies and a set of democratic norms that are a part of the larger democratic ethos of the society in which it operates (Sørensen & Torfing, 2005a). The importance of understanding and determining a network's democratic anchorage is simple when one considers democratic

theory and legitimacy. The people expect, assume, or simply trust that services, policies, and actions on their behalf are legitimate and that there is someone accountable.

Statement of the Problem

While researchers do not indicate networks to be *the* panacea for public administration's wicked problems, networks have been treated as a best practice for bringing answers to perennial problems in the public arena, acknowledging their efficiency in collaborative efforts and their potential for creating catalytic environments, which may result in solutions for public problems with greater innovation and swiftness. With public administration's prime mandate being the provision of public services regardless of circumstances, and with the requirement that the provision of these services be made consistent with public policy and constitutional principles, researchers and practitioners must simultaneously reap the benefits of network functionality while maintaining an eye on how the functions and operations of the networks impact the representative democracy in which they operate.

Networks generally function (however intentional or unintentional) in relative silence and often in the background by way of complex relationships with other networks, with individuals who may be employed in public organizations and members of the business/for-profit community, and therein exists the chief concern of this research: How, if at all, are these associations and links appropriate in societies that are democratic in political nature? This is a concern given the democratic principles and values, such as representation, rule of law, due process, transparency, and public

participation, particularly for local government where the people experience network outcomes more readily. Policy formation and execution is conducted in the public view, with the public able to offer unabridged commentary and opinion. Succinctly stated, the following is the problem that this research is designed to address: In an era of increasing network activity in matters, traditionally the purview of public administration, collaborative networks represent a problem at the level of democratic theory underpinning a representative democracy in which services are rendered in the public arena by public organizations controlled by a line of democratic accountability permitting legitimacy to act; while collaborative networks ostensibly, lack this form of democratic legitimacy—and therefore constructs of accountability are questionable—what are the ways that networks demonstrate democratic legitimacy?

Purpose of the Study

The purpose of this study of networks in public administration (specifically collaborative networks) was to examine and describe the conditions and characteristics of collaborative networks with respect to legitimizing variables that may indicate reasonable acceptance of a form of democratic legitimacy. While studies on the effectiveness and efficiency of networks in public administration continue to demonstrate utility and favor of networks, concerns about the legitimacy of networks is recently becoming a topic of research. This case study research is undertaken for the purpose of furthering the understanding of legitimacy as it relates to networks, and its goal includes demonstrating

how legitimating variables may be present in some networks useful for modeling, testing, and determining the democratic anchorage and thus legitimacy of particular networks.

The Research Approach

To achieve the purpose of this study, two networks were identified as the subjects of this study. As indicated in the discussion on the distinction of networks, there are three types of networks that researchers and practitioners can expect to see functioning in public administration; they are policy networks, governance networks, and collaborative networks. The subject networks of this study thus meet the criteria of the wide characterizations of the term network and those of collaborative networks.

Predicated on the research question, the two collaborative networks were studied specifically for variables of democratic legitimacy. This study used an exploratory case study approach for analysis and description as the subjects of this study are existing phenomena and no subject networks were created or manipulated for the purposes of seeking data to address the research question or hypothesis. The study has characteristics of description and exploration because in this relatively new arena of network studies in public administration, a level of social scientific explanation is deemed necessary in order to describe network studies.

Research Question

The following is the primary research question for this study: How can collaborative networks demonstrate democratic anchorage and legitimacy?

Theoretical Considerations

This research is predicated on two sources of theory: democratic theory and grounded theory. Democratic theory helps one to understand why researchers, theorists, and practitioners in public administration ought to be concerned with the questions of this dissertation; moreover, democratic theory assists in the structuration for concrete understanding of variables to be observed in networks extrapolated from the work of theorists and researchers. In short, democratic theory reminds one that a democratic republic form of government is perishable and that characteristics of it can be observed and those charged with its implementation should take care of it. Following is a demonstration of how democratic theory illuminates Sørensen and Torfing's (2005a) concept of democratic anchorage by assigning what may be measured with a survey or observed. Accountability constructs can be observed and measured (for instance, is there a process for those served to submit concerns or ideas). Further avenues of participation can be observed or measured (for instance, are members of the general public able to view the mission of the network or is there access to meetings or leaders). Finally, process and deliberation is observable by way of artifacts such as meeting agenda, observations of meetings themselves, or events. In other words, democratic anchorage may be a matter of accountability, voice, and deliberation. Each may be seen or possibly counted to demonstrate a network's anchorage.

The role of democratic theory in this research is to assist in understanding what to look for when seeking to observe and evaluate democratic anchorage. If democratic anchorage is predicated on the form and function of a network, and it is also a result of

connectivity appropriate to political constituencies and some set of democratic norms that are resonant with the democratic norms of the society, then it will be important to understand what those will practically look like in a network. Using Klijn and Edelenbos's (2012) concept of legitimacy from models of democracy offers a useful way to operationalize democratic anchorage for this research by focusing on searching for characteristics of accountability, voice (the People's ability to give meaningful input), and due deliberation (see Figure 3).

Model	Emphasis	What It Brings (a prong to anchoring)
Liberal/Const. & Competitive Forms	Accountability for those in office	Formal <i>accountability</i> (the people have someone to go to when thing go right/wrong)
Idealistic	Participation	<i>Voice</i> (the people can participate actively)
Deliberative	Deliberation (process/rules) and open/free debate (not capricious)	<i>Due deliberation</i> (legitimacy arises from good process and deliberation)

Figure 3. Klijn and Edelenbos: Models of democracy. Adapted from "The Influence of Democratic Legitimacy on Outcomes in Governance Networks," by E. H. Klijn and J. Edelenbos, 2012, *Administration & Society*, 45(6), 627-650. <http://dx.doi.org/10.1177/0095399712454113>

Synthesizing perspectives and ideas of democratic anchorage and democratic legitimacy allows a microscope through which collaborative networks may be viewed for factors that may point to democratic legitimacy so that public administration researchers

and practitioners may describe its anchorage, particularly the fit for the democratic ethos of the region or level served.

Significance of the Study

The prevalence and expected persistence of networks' functions in the realm of public administration necessitates that both theorists and practitioners turn due attention to questions of democratic anchorage, accountability, and legitimacy of networks. The significance of this research project can be reflected in three important components of public administration: practice, policy, and knowledge.

Administrative Practice and Public Perception

Networks are widely engaged in the work of public administration in at least three network types (Isett et al., 2011): government networks, policy networks, and collaborative networks. Of great importance to the administration of the public business are effectiveness and efficiency as they are concerned with the allocation and use of public resources. Effectiveness is concerned with the resource expenditure resulting in measurable outcomes that in fact address a problem by mitigating or eliminating it, while efficiency is concerned with the greatest reach with the least measure of resources (the "biggest bang for the buck" idea).

What is of great importance is the manner in which networks engage the community member in service delivery, idea gathering, and general interaction. A society (or community) has come to expect a level of legitimacy and avenues of accountability when interacting with the public administrative bodies. For instance, a

person in a representative democracy, such as exists in the United States, will expect a certain level of protection and liberty, and he or she will also assume a certain level of legitimacy when interacting with a uniformed police officer, a social worker with an identification badge, or an educator in his or her public school classroom. Some networks functioning in public administration may or may not be eligible for such trust, yet the average community member may automatically assume a level of legitimacy based on the community member's past practice/interaction (which leads to expectations) or the behavior of the network or its actors.

Administration of Policy

Presently much of the breadth and scope of the administration of policy for public organizations is predicated on classical principles of organizational theory and structure. While the number and scope of networks at work in the public business has grown, the structure of public organizations and policies that support them have largely maintained static, rendering the organizations ill-prepared to engage, participate, or lead the way with respect to network formation or operation. This network or governance growth in public administration has made it more difficult to understand governance networks, particularly how to gauge, encourage, and maintain democratic legitimacy. Developing a stronger understanding of networks will help inform policy needs that will better equip or support public administrators, their organizations, and the catalysts/leaders of networks in public administration.

Knowledge as to How Networks Become Legitimized

The knowledge gained from this study will add to the body of knowledge on networks in the field of public administration by furthering, in a very practical way, the work of theorists on democratic anchorage and democratic theory. It is postulated in this study that democratic anchorage and extrapolations from ideas of legitimacy and democratic theory can be synthesized to permit the structuring and measurement of variables that can be used to evaluate the democratic anchorage of particular networks. This knowledge is important to the field as a whole, but at the praxis level, it will allow practitioners a method by which to help determine the legitimacy of a network in order to deliberate on how or if to engage it. For the citizen or community member receiving services from a network, this knowledge (if gained) may permit an assessment to help determine if a recipient engaging a particular network should continue in connection with the network. In other words, since what more is clear (accountability and legitimacy) when engaging a public organization or its agent is lacking when a person engages a network, knowledge may assist in one's assessment of comfort or desirability to seek services with the network. This same may be said of an individual who may be considering participating in a network's activities as a form of community service or at the invitation of an existing network member.

Scope and Delimitation of the Study

This study had a clear scope and delimitations that assisted in the search for significant information but that also served to demonstrate the limitations of this research

undertaking. This study examined two networks of a particular type. As indicated elsewhere in this study, Isett et al. (2011) delineated three types of networks in operation in public administration: collaborative networks, governance networks, and policy networks. The first clear delimitation was that of the type of network studied: collaborative networks. The second delimitation noted was the number of networks used in this study: two. Thus, this study's scope was set by two collaborative networks: The La Habra Collaborative and the Orange County Food Access Coalition.

Limitations of the Study

The study used a survey tool specifically designed for this research. From a limitations perspective, because the survey was a self-reporting survey, the study was expected to have limitations related to the perception of the agents completing the survey.

Another clear limitation of this research was that only two collaborative networks were studied using a case study design in order to discover variables that may be used in later studies on networks and democratic legitimacy.

Definitions of Terms

Collaborative networks (collaboratives). Collaborative networks (or collaboratives) are one specific type of three types of networks found functioning in public administration and described by Isett et al. (2011). Collaborative networks are those networks primarily concerned with the production and provision of public goods or services (Mandell, 2001; Nelson, 2001). Collaborative network participants (actors) may include government agencies, nonprofit organizations, and for-profit organizations.

Democratic anchorage. A term used by Sørensen and Torfing (2005a) to explain how a network is appropriately connected to a relevant group of democratic norms consistent with the particular society in which the network resides and functions. It is a measure of the democratic quality (Torfing, Sørensen, & Fotel, 2009) of a phenomenon, in this case, networks. The use of the term “anchored” means that the phenomenon being explored or described is not obviously or intrinsically democratically legitimate as are elected bodies of government or governance, public organizations, or appointed public officials. Democratic anchorage is not achieved in one single manner. The incorporation and/or participation of citizens, recognized community organizations, and elected or appointed government officials are examples of factors that may indicate a measure of democratization because of its actor links.

Legitimacy (democratic legitimacy). From a broad, democratic theory perspective, legitimacy deals with the power and authority to act or exist. Beetham’s (2013) construct offers a theoretical and baseline connotation for legitimacy, which indicates that power may be considered legitimate when (a) it conforms to established rules (the rule of law for a particular society), (b) the rules are justified by beliefs that are present in both the society’s dominant and subordinate groups, and (c) there is evidence of consent particularly by the subordinate to a particular power tie. For public administration and the study of networks, legitimacy is meant to include characteristics that tie a network, its agents, and its actions to norms and values as expressions of a particular form of democracy (in the case of the United States of America, and the region in which this study takes place; this form is a republic). This idea of legitimacy resonated

with Klijn and Edelenbos' (2012) discussion on legitimacy sourced from models of democracy. In short, Klijn and Edelenbos (2012) posited that the liberal/constitutional, idealistic, and deliberative forms of democracy offer legitimating characteristics, namely, capacity or method of formal accountability, voice (the common person's time and place to actively participate), and due deliberation, which means to say that legitimacy may come from good process and deliberation and not from capricious or impulsive action.

Networks. The literature on networks has researchers reviewing a significant number of ideas and concepts with no clear, precise, singular definition of "network," but what is understood is a variety of conceptualizations and descriptions that have various commonalities even if denoted with varying terminology; or as Johansson and Borell (1999) succinctly indicated, a network umbrella approach in scholarship rather than a singular and distinct scholarship about a singular and distinct concept called network. So it seems, in the case of understanding what a network is and arriving at a definition of the term, researchers and practitioners must face a "name for many roses" type of situation. These many roses include considering networks as an arrangement of a variety of actors and arrangements bound by interdependencies (Klijn, 1996), patterns of multiple (at least two) units that interact and are not encompassed under a single hierarchical structure (in other words, the actors are from two different groups, organizations, or other formal structure; Hall & O'Toole, 2004), and the idea that networks are connections between people who meet and conference with each other (Keast, Mandell, Brown, & Woolcock, 2004). While some definitions of networks lack sufficient breadth to consider them separately for purposes of predicating theoretical or practical action research, a collective

understanding helps to formulate a basis upon which to build research such as this dissertation effort.

Lack of a clear and firm definition for the term network does not impact public administration as a field of study because this researcher found a mandate to explore a phenomenon located in the practice of public administration, which is an action field that is acted upon by the forces in its environment. At present, one of those forces is the network as indicated earlier in this writing. Important and germane to the research undertaken in this dissertation are three ways to conceptualize and understand networks (Isett et al, 2011; Knox, Savage, & Harvey, 2006): as a metaphor for understanding a phenomenon, as a reference to methodologies pertinent to the study of networks, and as a tool for producing (goods or services). Rhodes's (1997) conception of networks as (at least two) nodes (actors) related by ties (generally resources including monetary, relational, and power/authority) represents a model of the simplest form of the social phenomenon. Both of the three conceptualizations and the simple construct permit a perspective useful for framing an understanding of the term network as it is used in this study, and predicated upon the same, the researcher offers this concept to be considered for inclusion in the understanding of what is meant by network:

A collection of actors linked by resources (power, authority, social capital, money included) that decisively or otherwise coalesce for a purpose consistent with individual actor needs that may or may not be consistent with the overall intended purpose of the collection. (D. Gonzalez, personal communication, 2014)

This research makes use of the understanding of networks as tool for producing services. Of particular concern for this research are networks that produce services directly to the public, in the public arena, or in response to a public problem.

Public interest. While an exhaustive exploration of the concept of public interest is beyond the scope of this research, how public interest is identified is important because the concerns of democratic legitimacy (from which the research question is extrapolated) appear only within the context of services being rendered in the name of the public, to the public, or in an effort to address a public issue; in other words collaborative networks operating in the public interest is the purview of this research.

On conceptualizing the public interest, Deskins (1965) posited a largely utilitarian formulation indicating that it is the aggregation of individuals' private needs specifically related to particular wants and needs: economic well-being, political freedom, personal freedom, social mobility, physical and mental health, and physical safety. Yet, in the United States' representative democratic manner of self-governance, there maintains a Greek understanding and tradition that holds that the collective public interest must take precedence above individual interest when needed (Elcock, 2006). In this view, the collection of private needs is in some manner mediated into an interest worthy of particular care. For Plato's (1964) guardians, particular care included the suspension of self-interest in favor of promoting civic affairs and virtues by those engaged in doing the public's business, special training, and accountability peculiar to public servants.

There is a manner of conceptualizing the public interest that is not utilitarian in nature but concerns the appropriate or proper role of the state, which is viewing public

interest as the eventual outcome when individuals surrender certain strengths to the state in exchange for sustainability of life and community. The social contract theory espoused by Hobbes (1662) treats public interest as a phenomenon that creates the context and requirement for a public trust since there is no basis for mutual trust in the state of nature. The mutual trust spoken of here seems to be synonymous with what is presently called the public trust handled and vested into those administering public goods and services. Rousseau (1760) did not necessarily indicate how public interest was arrived at, but spoke to its preeminence over individuals and its call for obedience when it had been properly arrived at. Berki (1979), commenting on Rousseau's ideas on public interest, explained that, for Rousseau, public interest overrode any individual interests up to and including that individual's survival.

A third perspective on conceptualizing public interest requires a brief exploration into an arena that does not impact this current study significantly, but a review of public interest would be unduly truncated without it. Elcock (2006) discussed public interest from the perspective of pursuit of individualism. In this view, public interest is the sum of individuals' happiness, possessions, and efforts of pain avoidance. This projects public interest as a phenomenon to be administered by a government and public servants who are sufficiently limited and authorized to perform specifically and not broadly. This view recognizes that public servants are subject to the same general self-interest that the utilitarian view requires to be surrendered, but maintains that the force of self-interest is so great that a form of altruism is marginal or nonexistent (altruism in this case seems to be synonymous with the attitude required of Plato's guardians).

Therefore, actions in the furtherance of the public interest are for the public good, while actions that obstruct or hamper the furtherance of the public interest are not. The public good is what this researcher views as the people's business or the purview of public administration. For the discussion and study of collaborative networks, concepts of public interest are important to consider as they permit one to review the actions of a network (in the case of this study collaborative networks) to determine if they occur in or for the purpose of the public good and/or in the public interest.

CHAPTER II

LITERATURE REVIEW

Current public administration scholarship and practice is marked by a number of salient ideas: an emphasis on public service (Denhardt & Denhardt, 2011), the disarticulation of government function and some of its structures into practices of shared or cooperative governance (Frederickson, 1999), and a condition of extreme complexity in society, which public administration and its classic theories, conventional wisdom, and structures may be ill-equipped to navigate. Given this literature review's purposes, it is important that it be focused on three delineating subtopics: networks (specifically in public administration), democratic theory, and accountability and legitimacy as it relates to governance.

For a number of decades, networks in public administration have seen ample and growing attention by scholars and practitioners (Bogason & Toonen, 1998; Börzel, 1998; Kickert, Klijn, & Koppenjan, 1997; Koppenjan & Klijn, 2004; Sandström & Carlsson, 2008). O'Toole's (1997) prediction that networks will exist in significant numbers and importance has indeed manifested, and their presence and work is evidenced in communities across America. As formal or informal phenomena in public administration, networks have become *the* response to an increasingly complex reality of problems and concerns in society. With its foundations in Moreno's (1948) sociological

studies, in what he simply referred to as “group relations,” networks bring inventive and dynamic ways to address *wicked* problems in complex contexts with innovative outcomes or at least outcomes that would otherwise be unlikely. The ability to understand how networks function and the process to bring about outcomes—making, implementing public policy, or managing programs or assets in the name of the public good (Ansell & Gash, 2007)—are essential to enable the ability to discern and understand outcomes with respect to legitimacy of the outcomes.

Networks

The Nature of Networks

It is important to understand how public administration is engaging in networks. Networks are social structures that are, according to Radcliff-Brown (1940), “real as are individual organisms” (p. 190). To understand the nature of networks requires that they are studied as a phenomenon in and of themselves, as actors in and of the social reality of governance, and as a source of outcomes that impact individuals and other networks. The U.S. National Research Council (Committee on Network Science for Future Army Applications, 2006) defined what public administration is engaging, network science, as “the study of network representation of physical, biological, and social phenomena leading to predictive models of the phenomena” (p. 3). Public administration is using networks, and its researchers are using network science and social network analysis (SNA), to better understand these phenomena and their nature. This is of course important to being able to eventually look at outcomes and to differentiate them for the

purposes of analysis or assessment of their congruence with democratic values, U.S. Constitutional principles, and normative values.

By way of reconsidering earlier discussion on what a network is, at their base, networks are comprised by actors (nodes) who are connected or interconnected in the instance of multiple nodes, which are connected in a complex manner (Rhodes, 1997). The connection (or ties) exist due to resources including funds, relationship, power or authority sources and structures, professional associations or supports, capital resources (share office place or resources), and may be in some instances a knowledge base (this is not an exhaustive listing only a sample or common tie constructs). Networks are comprised of a collection and collaboration of single actors (micro-level actors) or multiple actors from a certain group or organization (macrolevel actors; Koliba et al., 2011).

Networks are also characterized by a flexibility (Catlaw, 2008) that is not seen in traditional hierarchical structures. This flexibility is resonant with the informality seen in a network. While each network is different, particularly at the beginning stages of its formation (called “initial conditions” in chaos theory) actors come to the network from various structures (oftentimes hierarchical) and interact a new forum away from the structure that they are used to.

Related to this flexibility is the self-organizing nature of networks. Self-organizing as a property is discussed by Rhodes (1997) as a measure of interdependence, with continued interactions that are game-like (predicated upon trust and ordered by rules, which have been agreed upon). Networks are also characterized as formal or informal with respect to structure and/or the passing of communication. Networks can be

a forum for memoranda (as it is with highly structure hierarchical organizations) or the antithesis with communication being much less formal; this will depend on how formal or informal a network is.

There are two important challenges in the scholarship of networks in public administration. Isett et al. (2011) reminded researchers and practitioners of these important controversies (important in that research that comes after and upon these areas will be subject to scrutiny and adjustment as the discovery of data, information, and dynamics of networks comes to be). First, is the issue of “a name for many roses.” That is to say, there is some question as to what exactly is meant by “network” when used in the public administration literature. Summarizing the controversy, there are generally three uses of the term network in the literature. The first is network as a metaphor (Meier & O’Toole, 2003; O’Toole & Meier, 2004) for the phenomena that is observed in the arena of addressing public needs. That is to say, that networks, by this view, are to be understood as a way to comprehend the actions that are producing a public good or service. The second, network as a reference to methodologies (Snijders & Bosker, 2000), depicts networks as a manner by which one can grasp various methodologies utilized to measure or study the phenomena of interdependency and exchange that produces public good and services. The third, networks as a tool of public administration (Huang & Provan, 2007; Isett & Provan, 2005; Provan, Milward, & Isett, 2002), clearly maintain public organizations at the helm (as seen in governance networks) and discuss networks in a utilitarian sense, seeing them as a proverbial “wrench” to be acquired and used under necessary circumstances for which other tools are likely ineffective.

Networks in the Public Arena

Networks have been met with virtual fanfare as methods of governance alternative to the administrative state and the market (Jessop, 2002; Mayntz & Marin, 1991; Rhodes, 1997). Governance networks are but one type of network that functions in the world of public administration. Governance itself can be a complicated idea; however, the various conceptualizations depict governance as manners, processes, or arrangements usually comprised of at least one public agency or department, that engage nonstate actors to steer or guide the activities of a social group or society and/or an economy, usually by way of coordination by or on behalf of a state in order to implement public policy, programs, or to manage assets/resources (Ansell & Gash, 2007; Hirst, 1997; Sørensen & Torfing, 2012). Some networks are concerned with policy formation, and/or the provision of services generally viewed as public, which draw its actors from various social, geographic, or policy domains (Koliba et al., 2011; Sørensen & Torfing, 2012). Isett et al. (2011) fused together a understanding of at least three types of networks that help to create the public experience and answers to problems or issues by way of outcomes. The three types are constructed by a review of the literature to reveal what Isett et al. indicated are three predominant streams in the public administration literature on networks: (a) policy networks, (b) collaborative networks, and (c) governance networks (see Figure 4).

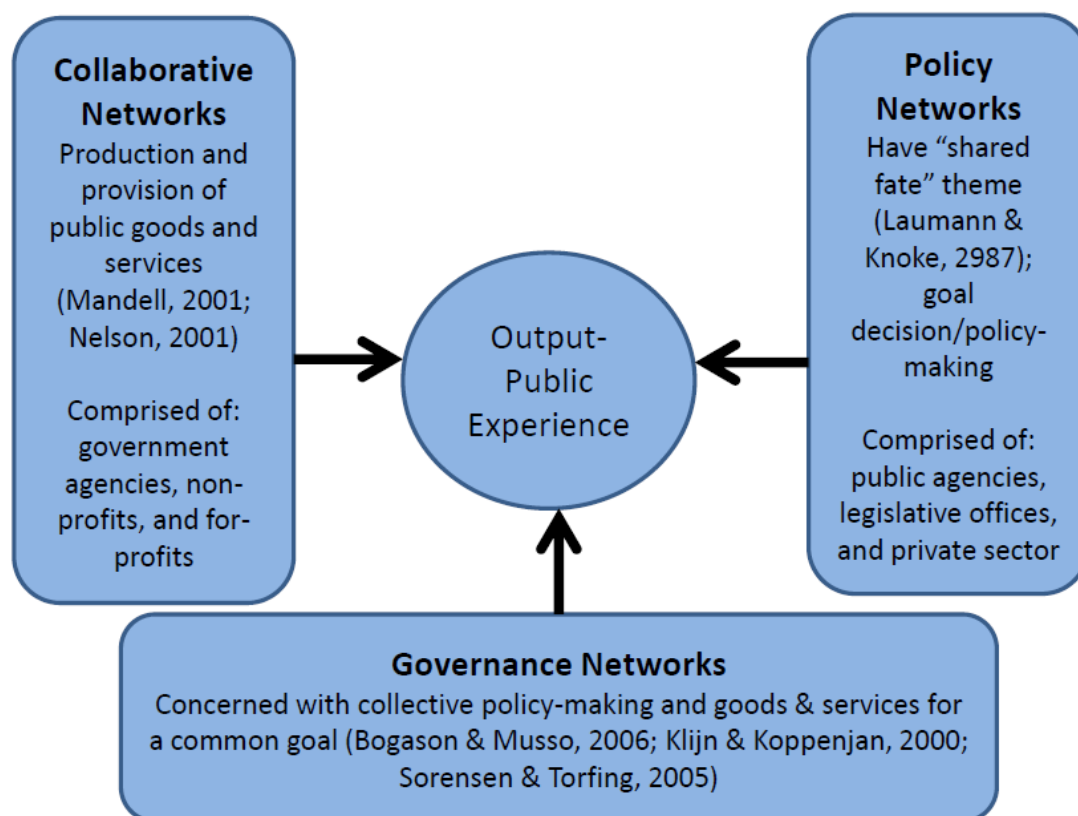


Figure 4. Types of networks. Adapted from "Networks in Public Administration Scholarship: Understanding Where We Are and Where We Need to Go," by K. R. Isett, I. A. Mergel, K. LeRoux, P. A. Mischen, and R. Rethemeyer, 2011, *Journal of Public Administration Research & Theory*, 21[Suppl_1], i157-i173.

Policy networks, in summary, are those interested and concerned about decision making at the legislative or equivalent level, and policy formation in response to public concerns or issues (as indicated, this is the world of interaction and interdependence between public agencies/organizations, legislative offices and personnel, and lobbyists [private sector]). Collaborative networks are those networks composed of public agencies, nonprofit organizations, and for-profit entities around the goal of providing public goods and services. Governance networks appear to bring together concerns of

both collaborative and policy networks with actors coalescing to act on concerns of public goods and services with collective policymaking.

One four-point constellation outlined by Klijn and Edelenbos (2012) synthesizes multiple conceptualizations of governance networks from various theorists that serve as a way to see common characteristics regardless of the context or particular composition of a certain network. These characteristics common to governance networks include engaging in complex public policy problems that cannot be solved by one single actor (Sørensen & Torfing, 2007), between actor high interdependence (Scharpf, 1978), operating with highly complex interaction due to multiple perspectives involved in understanding the problem, solutions and interests, and durability of interactions (Agranoff & McGuire, 2001).

Network Outcomes

Outcomes produced by networks functioning in the public sector are contained in the idea of “public value.” Moore’s (2013) presentation of what public value is and how it is created is important to this conversation. In short, Moore’s work shows that public value is created when a strategy or action (in this case network behavior) is democratically legitimate, occurs within an authorizing context, and where there is operational capacity. The idea of public value has also been explored for the purposes of this literature review by Sørensen and Torfing (2005a):

- Scenarios (for potential action)
- Plans (specific programs to address social need, or wicked problems)

- Decisions (which plan to attend to, contracts, etc.)
- Regulations (rules application).

Being able to conceptualize with some concreteness what the outcomes of networks are is important. Ansell and Gash (2007), in their findings on a meta-analysis of literature on collaborative governance theory and practice, offered to network theorists a model of four critical variables that influence whether or not a particular network will produce successful outcomes. The critical variables are starting conditions, institutional design, leadership, and collaborative process, all of which result in outcomes. Figure 5 summarizes their findings.

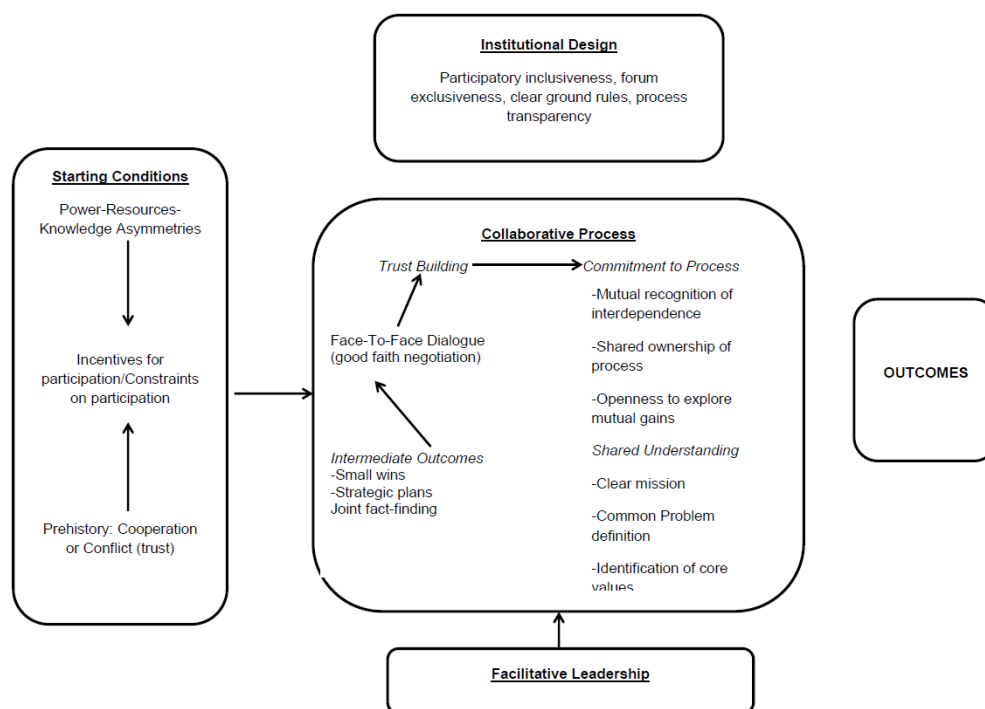


Figure 5. Four critical factors for success. From “Collaborative Governance in Theory and Practice,” by C. Ansell and A. Gash, 2007, *Journal of Public Administration Research and Theory*, 18(4), p. 550. <http://dx.doi.org/10.1093/jopart/mum032>

For Ansell and Gash, the four critical factors represent hallmarks that successful collaborative governance efforts tend to meet or display, with success meaning that there are desired outcomes. In addition, the Ansell-Gash meta-analysis identified processes represented in the “collaborative processes” box that were found to be substantial in the pursuit of success (including the need for face-to-face dialogue, trust building, a commitment to the process, a shared understanding of mission among other understandings, and meeting intermediate goals). Outcomes from network types of collaboration can thus be traced back through the processes that produced them, and this factor is of importance when considering theorists’ and practitioners’ ability to differentiate outcomes to make a determination as to outcome resonance with intent and democratic values.

In addition to being able to conceptualize what network outcomes are, if public administration is going to be able to assess a level of democratic anchorage of the networks producing the outcomes, there must be an ability to understand whether or not the outcomes are positive. This question speaks to a network’s effectiveness, and for the purposes of this present research, effectiveness was understood as Provan and Kenis (2008) indicated, as the realization of positive outcomes produced by the network (collective action) that would have otherwise remained unrealized if the individuals comprising the networks were to have attempted to act alone. Determining effectiveness is but one component of an analysis of networks engaged public administration. Because it is easy to (from a teleological perspective) argue that any means a network utilizes in

the furtherance of an outcome deemed positive is acceptable, it is also imperative that networks have other characteristics assessment, for instance democratic anchorage.

Networks and Public Administration

Wachhaus (2009), in his study, analyzed the literature for the purposes of crafting a minimal definition of networks as they related to public administration. In the analysis, Wachhaus looked at 57 attributes of networks looking for those that predominated the public administration literature. From the analysis emerged a functional definition that can be used to encourage consistency among public administration researchers.

Wachhaus (2009) offered the following as a minimal definition for networks in public administration:

Public administration networks are structures or relationships that exhibit complexity: They may merely be complicated, spanning organizational and institutional boundaries and involving many actors simultaneously pursuing multiple agendas, or they may be responses to fundamental uncertainty, designed to account for a lack of information or resources. (p. 71)

Hendricks (2009) defined networks in public administration as a phenomenon of interdependent actors (from civil society, government, and business) that function to meet a societal need. Using these as a firm benchmark for referencing what the term network means, researchers can continue to bring firmness to this area of study in public administration. Particularly, clarity and a certain security can be seen by combining the understanding of the Wachhaus definition of networks and Isett et al.'s (2011) explanation of the three types of networks seen in the literature: collaborative, policy, and governance networks.

What all three of the network types have in common is that they seek to create public value or have implications for policy via influence. Both of these ideas (creating public value and influencing policy) may be used as benchmarks by which researchers and public administrators can determine if a particular network is engaged in behavior that is or has been the purview of public administration. If then a group of actors meet the minimum definition of a network, and also function in a manner consistent with any of the three Isett et al. (2011) constructs, one can reasonably understand that the network in question is participating in public administration activities. This calls theorists and practitioners of public administration to look toward ideas and concerns regarding political authority, accountability, and responsiveness (of the three, responsiveness is generally beyond the scope of this research save for any components of it that may be involved in legitimacy and its determination). Hendriks (2009) called the inevitable interplay between authority, accountability, and responsiveness “democratic soup,” and to fully understand what networks and the soup mean to public administration, one must look to the literature regarding democracy

Democracy

Nature of Democracy

The study of networks in the arena of governance or government have been observed by some (Skelcher, Klijn, Kübler, Sørensen, & Sullivan, 2011) to mean to enter a generation of research that is interested in a relationship between networks, their activities, and the democracies in which they are embedded (when studying governance

and government that exist in a society with a power regime claiming a democratic basis). It is of importance to understand the democratic context in which a network exists if research is to uncover what networks mean to principles of democracy. A brief discussion on the nature of democracy and how it is expressed, specifically in the United States (the meta-environment for the local governance, including networks, studied herein), is appropriate here. One last delimitation regarding this brief discussion: It considered ideas from democratic theory in general; however, its focus was consistent with what Dahl (1971) called a “polyarchy,” which is an expression of “rule by many” (a useful understanding in light of our lack of a direct democracy, but an elected few to rule) and the principles of a constitutional democracy (also called a liberal democracy).

Democracy as a term is used to describe a spectrum of political and government structures for a society that views citizenship as the sovereign and only legitimate source of power and granter of legitimate authority by means of certain way such as voice (election), action (appointment), or voluntary subordination to an authority. One of the key political theorists who has delineated key characteristics of a democracy is Robert Dahl. Dahl’s (1961) eight-point construct of what democracy is promotes a comprehensive yet comprehensible understanding (see Figure 6).

<ol style="list-style-type: none"> 1. Systematic/periodic elections with free choice of candidates. 2. Competing political parties. 3. Political decisions made by majority rule. 4. Universal adult suffrage (with rare, lawful exceptions as in the case of criminal conviction). 	<ol style="list-style-type: none"> 5. Protection of minority rights. 6. An independent judiciary. 7. Constitutional safeguards for basic civil liberties. 8. The opportunity to change any aspect of the government system (through prescribed/lawful method).
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*Figure 6. Dahl's key characteristics of a constitutional democracy. Adapted from *Who Governs? Democracy and Power in the American City*, by R. Dahl, 1961, New Haven, CT: Yale University Press.*

Dahl's eight key characteristics can be understood to exist in at least two veins: contestation and participation. In concert with Klijn and Edelenbos's (2012) description of democracies as sources of legitimacy, practitioners and scholars can extrapolate from three emphases (constitutional/competitive forms of democracy with an emphasis on accountability, idealistic forms of democracy with an emphasis on participation, and deliberative forms of democracy with an emphasis on process, rules, and free open debate) that may be viewed as the prongs that help construct a concept, an anchor to democracy, such as what Sørensen and Torfing (2005a) have researched and indicated. The prongs are formal accountability (the people have a legitimate and meaningful connection to public actors to bring redress, modification to function, or ideas), voice (the people have a protected and guaranteed manner by which to participate and be heard), and due deliberation (the people can expect decisions having to do with the public good and welfare to be constructed by good and legal processes).

With a perspective toward what a democracy requires for legitimacy, Borowiak (2007) spoke to the reemergence of accountability as a concept of debate and conversation in an era of governance beyond the traditional, legal boundaries. There is an eye to what interdependence means to constructs such as accountability and legitimacy.

Accountability and Legitimacy (in a Democracy)

The debate regarding accountability is a key feature in present-day conversations about democracy (and networks) just as it was during the conversation between the Federalists and the Antifederalists. Since de Tocqueville (who desired to analyze democracy in the United States so as to isolate democracy's strengths and democracy's weaknesses), scholars, theorists, and practitioners have appreciated the pros of democracy (such as checks and balances and popular participation) while studying and strategizing manners by which democracy's deficiencies may be mediated, mitigated, or counteracted (for instance, democracy's potential for exploiting the minority, or its hallmark occasional impracticality, and its mandate for effectiveness over efficiency). Moreover, as with Rohr's (1986) discussion and apologetics, in an effort to highlight how administration is legitimate (for instance his apt assertion that a federal court married constitutional principles to administration with the court's treatment of the founding of the Interstate Commerce Commission), public administration now turns to observing and researching for a lynchpin (if there is one) that demonstrates the legitimacy of networks. The delineation and discussion of accountability (as it was for the legitimation of public

administration and its bureaucracies) brings with it a perspective to consider. Koliba et al. (2011) reminded his readers of the critical nature of accountability in democracy. If mere existence of a governance structure is a claim to legitimacy to act, then accountability of its actors is of most importance. Here a brief on accountability and legitimacy in a representative democracy is in order.

A commonly understood benefit of democracy is that it is significantly compatible with the governing of extremely large societies. For this governing to work, however, authority must be introduced so as to extend legitimate power to a governing agent or body of agents. In this dynamic, one may see the genesis of the important need of accountability, for as Borowiak (2007) demonstrated, the simple bestowing of authority simultaneously creates distance, or as he indicated, gaps. Traditional accountability in a representative democracy meant that public administration and its actors were responsible to perform within popularly held and legal expectations and that they were accountable to elected officials who represented the people. Should there be a case in which an elected official failed to hold a public administrator accountable, the elected official him/herself was held to account by removal from office at election time. A key feature of this dynamic was the appointment of authority from the elected officials to public servants. Accountability in this relationship becomes crucial in that when representatives exist (either as elected or appointed), there is an intrinsic space between the constituency and the public official. An exploration of Borowiak's gaps helps one to understand the importance of accountability (see Figure 7).

Gap Type	Description
Spatial Gap	Geographic distance between the governors and those who are served.
Scalar Gap	Proportion of representatives to those served.
Temporal Gap	Authorization of a representative in the past, and their present and future behavior.
Epistemological Gap	Constituents' ignorance about what a representative does; the representative's ignorance about what the constituency needs or desires.
Competence Gap	Differences in governing abilities.
Identity Gap	Differences in class, character, and experience.

Figure 7. Borowiak's gaps: Representative government and accountability. Adapted from Accountability Debates: The Federalists, the Anti-Federalists, and Democratic Deficits, by C. Borowiak, 2007, *The Journal of Politics*, 69(4), 998–1014. <http://dx.doi.org/10.1111/j.1468-2508.2007.00603.x>

What is of note with regard to Borowiak's (2007) gaps and networks is that there are natural questions as to how collaborative networks (and others) fill the gaps. In many instances, classical public organizations have addressed the gaps by voluntary collaboration with the constituency or there are policies or legal mechanisms in place that attempt to bridge the distance permitting accountability. An example of a voluntary collaboration may be citizen oversight or advisory boards that advise unelected, appointed public administrators (such as a police chief) or community focus groups, while an example of a legal mechanism that fills in a Borowiak gap may be legal requirements contained in the Freedom of Information Act of 1946 (at the federal level) or California's Brown Act of 1953.

It has come to be expected that to demonstrate effectiveness, a group, a team, or an organization must demonstrate a link between what is outputted and outcomes in

relation to original strategy and plan. It now seems that taking the literature seriously means that those in public administration must check to see if networks can claim legitimacy by demonstrating sufficient accountability by way of linking their functions and deliberation with some concept of democratic principles. Grant and Grant (1981), from whom Borowiak (2007) extrapolated, differentiate between direct popular rule (which is not required of a republic) and direct popular control (which is the function permitted by accountability).

Accountability

Useful Constructs of Accountability

This research requires a practical conceptualization and understanding of accountability. To this end, while acknowledging that there is a broad range of theoretical and conceptual attributes that are complex but must be considered in the literature regarding arrangements that are desirable in governing to define and bring about accountability (Lindberg, 2009), of specific importance in the literature are ideas that make tangible the varied concept of accountability. The literature is broad as the idea of accountability is crucial for democracy's theorists and practitioners to wrestle with, for it is understood that a democracy in any form is served by well-delineated checks and balances to protect freedom and liberty and to counter abuses of power.

There is a differentiation that must be understood in order for one to see that for U.S. public administration, there is much included in the concept of accountability, including the idea of responsibility. There is some debate as to the differentiation

between responsibility and accountability. Highlighting characteristics of responsibility, which are helpful in understanding accountability, is important to note for understanding. Cendón (1999) discussed at least three understandings, “epistemological connotations” or nuances that are lost in the English language yet are obvious in other languages. First, responsibility may speak to capacity, referring to an actor/group of actors’ ability or legal authority set forth in legislation or set of legislation or regulation vesting the actor/group of actors. Second, responsibility has an accountability function in that it requires the dissemination of information and demonstration or even defense of a particular action (behavior) or actions (as in a program). Finally, responsibility comes with an assumption of liability, which can be fixed by law (external responsibility) that cannot be relinquished by the actor. These concepts serve the purposes of this research in that implicit in their self-organizing, deliberation, and acts in furtherance of their social issue (offering services or goods), networks may be said to be subject to a level of external responsibility that comes with their recognized functions and place in a community. When responsibility as accountability is extended to networks without their explicit seeking and acquisition of it, it may be that responsibility is at such a point in functioning as a virtue, as discussed by Bovens (1998) who uses the term to mean the conscious, legal, and circumspect manner by which an person (usually an official) engages or performs.

One last practical perspective gleaned from Cendón (1999) is the idea of four types of accountability (that may also be seen as the accountability function of responsibility). Political accountability is a two-dimensional understanding that is

predicated on the idea that a person will have superior authority over a subordinate with appropriate authority to execute a responsibility or duty. In this understanding, an authority uses mechanisms intrinsic to the relationship (or the organization) to ensure that an administrative role is carried out; this is meant to indicate that an actor is accountable to another actor who is invested with a higher degree of political authority (political used here to mean power/authority as opposed to the common connotation of political power, which is covered as democratic accountability later in this study). Consequences related to this understanding of accountability include political criticism or commendation, resignation, or dismissal.

Administrative accountability is similar in dynamic in that it is concerned with compliance of legally or rightly established regulations and procedures, and the assurance of compliance rests upon a power differential located in a superior-subordinate relationship. This accountability is the form that public administrative organizations are subject to and there are internal accountabilities to a superior political or administrative authority (for instance, a police department would experience this form of internal accountability by being subject to the authority of the municipality's chief administrative officer and the elected body over that role). This accountability relies on internal and external supervision and controls, an administrative claims process, and judicial procedures. Consequences associated with this form of accountability include revisions of administrative acts (including annulment, modifications, and confirmation), both sanctions and commendations, and compensation for the citizen in the case of administrative claim.

Professional accountability is predicated on compliance with technical rules and practices associated with a particular profession, and the rules and practices have generally been crafted and agreed upon with the professional association. Public administrators understand this form of accountability when they hear of and see medical ethics, legal ethics, and the like, and the accepted norms and practices that are agreed to be followed by the associated professionals. The subject of these forms of accountability is practice and performance within the scope and guidelines accepted by the professional body at-large. Compliance is generally encouraged by way of internal and external mechanisms including a board of peers to render decisions on professional licensing and complaints from the general public. The consequences involved with this accountability include sanctions (up to and including expulsion from the professional association) and recognition.

While all four of the accountability types have implications for this study, if for only the reasons of understanding the subject being studied and to interpret findings, democratic accountability (and arguably administrative accountability) is of special interest in that the topic of networks requires consideration of what happens between the appointed/hired official and the elected bodies, and the elected officials and the citizenry. Democratic accountability is concerned with acts in accordance with the needs and interests of a population, social group, or an entire society. This is the accountability that political figures are most immediately connected to and will relate with. There are generally no internal accountability structures to speak of (although the conversation about individual political leader character and leadership is likely the nexus here), and all

the accountability is external in the form of social groups, civil society, and the electorate. The impact measured and subjected to this form of accountability is level of results. While Cendón (1999) indicated that the mechanisms involved in this type of accountability are civic participation, media and instruments of expression of public opinion, and information technology, one may easily consolidate these three into communication and participation as media, instruments, and information technology may be viewed as avenues of communication and participation (for instance, social media is technology used to participate and communicate especially where a government entity has adopted e-government perspectives and technology).

CHAPTER III

THEORY

Theory in public administration is important and crucial to the extent that practitioners must take reasonable measures to ensure that strategies for action are anchored to a construct and set of ideas that permit, as Hoover and Donovan (2010) have indicated, a claim to authority that comes from observable evidence that (for the social scientists) constitutes some reality. This understanding of the essential nature of theory and a theoretical framework for research (qualitative included) rests on the positions included in the positivist philosophy of science with its emphasis on empiricism (wherein what can be sensed and observed is paramount in learning and understanding) and the scientific method with its function and ability in assisting in the identification and analysis of the observable. Additionally, while there are arguments on multiple questions of theory (including what constitutes a functional and “correct” theoretical framework, there is generally consensus that theory helps researchers and practitioners to understand the world with coherence (Denhardt & Catlaw, 2011), and see the cause-and-effect relationships in the world. In the case of this current research, descriptive democratic theory is explored and utilized.

Democratic Theory

There is a danger in delving into democratic theory in that the literature is replete with varied conceptualizations and understandings of what democracy is and how it manifests itself. This includes the dreary perspective of Sartori (1973) who indicated there is no need to worry about democracy and citizen apathy essentially because there is no way to gain full participation (an ideal form of democracy), and thus, the ideal of participation should be downplayed and deemphasized as well as the pragmatic views such as democracy's important role in the maintenance of stability in government (Eckstein, 1961).

This study was situated within public administration's arena of research pertaining to networks, and it can be further delineated into the growing arena of research on the legitimacy and democratic nature of networks to compliment the more robust arena of network research pertaining to effectiveness and efficiency. In this slimmer arena is the problem that this research aims to address. The effectiveness and efficiency of networks in public administration are known and accepted. The effectiveness and efficiency come with the earlier mentioned forms and functions of networks that are not tied and bound to structures and phenomena that tend to characterize organizations and efforts that coalesce around traditional classical organizational theory and bureaucratic theory. What is less known is how networks are legitimized to function for the purposes of democratic accountability. In order to contribute to this conversation, the researcher uses a theoretical framework that helps to logically structure a picture of germane concepts, appropriate variables, and the relationships pertaining to this research study

into networks. The intent, as it is with all theoretical frameworks, is to purposefully identify that which is attempted to be observed and explained. To address what Trochim (2006) indicated are the two domains in research: theory and observation, democratic theory is utilized here to guide in the formation and understanding of the problem, research questions, and the appropriate hypothesis. Democratic theory is used in this study to help identify and understand what is being sought and observed as well as to serve as a filter to assist in the finding of meaning in the data collected and the discussion that follows.

This research study was predicated upon democratic theory, in which democracy is meant to indicate a power/political and social regime type that treats (at least ultimately) the common citizen as the sovereign with ability and power to control the establishment, roles, and functions of a government (Ferguson & McHenry, 1950). Theory is then used to mean a collection of constructs and propositions that have been observed and tested, which occur and can explain why a certain phenomenon is the case (Hoover & Donovan, 2010), and will refer to comprehensive principles that come to explain a phenomenon (Hammersly, 1995).

This work used democratic theory as the provision of patterns for data seeking and interpretation, as a source of a framework by which variables are extrapolated for testing, from which descriptions may be made regarding the democratic legitimacy of a particular network, and as the station-line or benchmark toward which a network may seek to anchor as it may be discovered to be deficient in legitimating variables. Noting that there are a number of veins that may be considered heritages when it comes to

democracy, this work acknowledged a Madisonian bent in its democratic theory, specifically in that the researcher acknowledges that if a population is not checked by external safeties, a given member of a group of members of the population may tyrannize any and/or the remaining groups (Dahl, 1956). To the degree that networks may become an accumulation of power (that may or may not be open to public scrutiny or subject to being checked), they represent a question that is of Madisonian concern.

A series of ideas in democratic theory contributed to the formation of the key questions and theoretical framework upon which this research was predicated. Grasping a concep of democracy (Dahl, 1961, 1977), understanding the relationship between legitimacy and democracy (Beetham, 2013), applying the construct of democratic anchorage (Torfing et al., 2009), and extrapolating potential important characteristics or factors for the distillation of testable variables from the predominant models of democracy (Klijn & Edelnbos, 2012), all coalesce to form the theoretical framework for this research. The result is an understanding of what variables may be important indicators of democratic legitimacy in a collaborative network involved in functions ordinarily associated with or being the proper purview of public administration. Figure 8 displays the theoretical framework that represents the perspective and position from which the research question was formed, the hypothesis was crafted, the research design was utilized, and the results were understood.

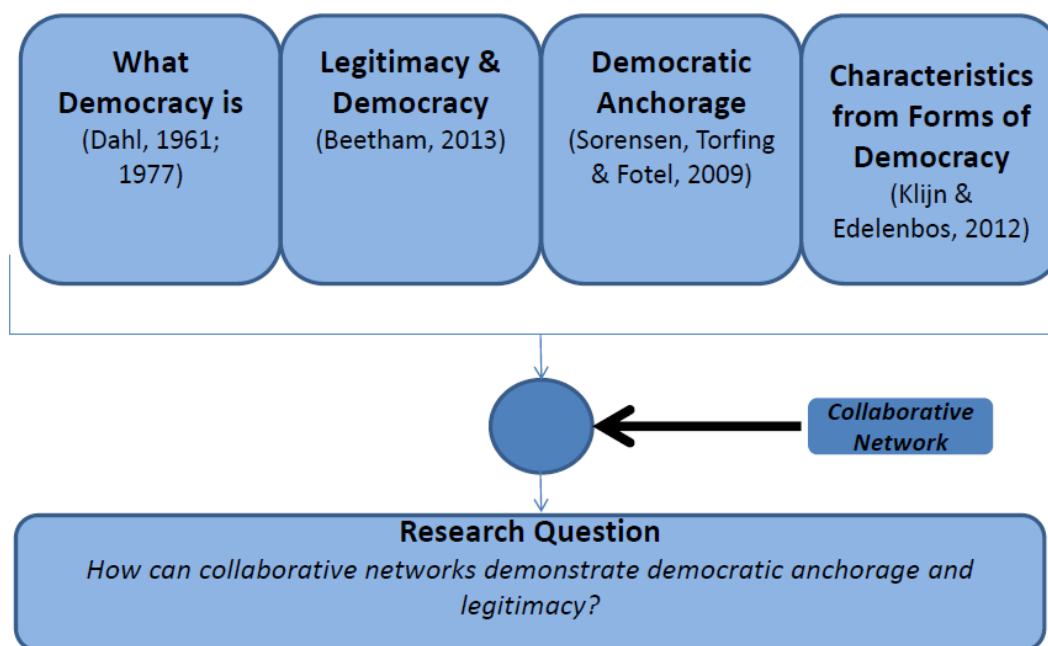


Figure 8. Arriving at the research question.

A brief word on democratic theory as it relates to this study's goal is necessary and focuses on a *pure* or *direct* democracy. At first glance, the general community members, theorists, and scholars may indicate networks, such as collaborative networks, as a clear expression of democracy, a “democracy in action” perspective. While it is important to understand and acknowledge citizen or community member participation, it is equally important to acknowledge that the United States (which is the meta-environment for both the subject networks and this study) maintains and functions on a representative form of democracy with a written constitution and requisite paradigms and structure that echo concepts from the three models of democracy discussed by Klijn and Edelenbos (2012). Finally, these concepts from democratic theory served to assist in the interpretation of findings.

There are three propositions that were derived from the review of the literature presented earlier. These propositions provided a perspective in the examination of practices in collaborative public management cases and informed the overall goal of the study; they were tested for in this research.

Propositions for This Study

Proposition 1

Certain functions, in the case of this study, the provision of services to the public, are generally expected to be the purview of public administration via public organizations, or the purview of traditionally formed nonprofit philanthropic organizations such as the Red Cross of America. Both government/public organizations and classically formed nonprofit organizations possess legitimacy to exist and act by virtue of various legitimating variables including, for instance, enabling statute/legislation, a mandate or authority from federal- or state-level constitutional language, and with respect to subject matter expertise, both government/public organizations and nonprofit organizations are compelled to staff and employ appropriately technically trained and educated individuals to fulfill roles. Trust in the functions of government organizations is, to some degree, automatic in a community, and this automatic trust may be inadvertently extended to a network with insufficient cause. With government/public organizations, democratic legitimacy is vested, while with networks, one must turn to constructs such as democratic anchorage in order to establish

legitimacy similar to that which is vested in traditionally designed government/public organizations.

Proposition 2

Public administration has been the chief legitimate structure/institution by which the “will of the People” has been exercised. Networks, given their growing function in what is traditionally the public sector (Isett et al., 2011) should be exposed to a level of assessment in order to determine if there are legitimating factors (reasons for automatic trust).

Proposition 3

To the extent that simple existence and service provision constitutes a claim to legitimacy by networks, one can expect that there is a manner by which to observe and assess the democratic legitimacy of a network functioning in a republic.

Purpose of the Study

The purpose of this study of networks in public administration (specifically collaborative networks) was to examine and describe the conditions and characteristics of collaborative networks with respect to legitimizing variables that may indicate reasonable acceptance of a form of democratic legitimacy. While studies on the effectiveness and efficiency of networks in public administration continue to demonstrate utility and favor of networks, concerns about the legitimacy of networks has recently become a topic of research. This case study research was undertaken for the purpose of furthering the

understanding of legitimacy as it relates to networks, and its goal includes demonstrating how legitimating variables may be present in some networks useful for modeling, testing, and determining the democratic anchorage and thus legitimacy of particular networks.

What follows in Chapter IV is the research design to assess the three propositions and overall research question of this study.

CHAPTER IV

METHODOLOGY

This research study was an exploratory case study designed to explore and describe two collaborative networks: The La Habra Community Collaborative (La Habra, CA) and Orange County Food Access Coalition (Santa Ana, CA) and their democratic legitimacy. The purposes of this research include furthering the understanding of democratic legitimacy's relationship with networks (in this case specifically collaborative networks) and the establishment of a model for determining the democratic legitimacy of particular networks. First, the methodology for this research is specified. Second, a profile of the collaborative networks being studied is given with the purposes of demonstrating how they are a fit for this research (including their qualifications as collaborative networks), which will allow for the fourth and final portion of this chapter, which is explanation of the research design.

Research Question

This study located two collaborative networks in order to investigate through case-study protocol composition of the networks at the actor level. The research question, "How can collaborative networks demonstrate democratic anchorage and legitimacy?" is answered using a design developed to evaluate the actor level composition and observe the interactions of actors in their respective networks.

Research Design

This is an exploratory multiple, holistic case study employed to examine two separate, whole networks with one protocol, consistent with Yin's (2014) indications for use. Most clearly, this research addresses a contemporary phenomenon that exhibits social behaviors and actions that are unable to be manipulated, but for which adequate sociological theory (Wells, 1995) is yet required; a primary step toward a theory is describing the phenomenon. Manipulation of variables is not practical due to a variety of reasons including that the phenomena (namely the formation and operations of the collaborative networks) predate this research undertaking; and given the nature of the operations of the La Habra Collaborative and the Orange County (OC) Food Access Coalition (the delivery of services that many people in the underserved public rely upon), manipulation of variables may represent undue burden that may impact service delivery.

Case studies as a method are particularly functional and helpful in this research in revealing decisions (singular or groups of), the reasons why the decisions were made, how the decisions were implemented, the results of the decisions (Schramm, 1971), and in the case of this study, describing how networks (in this case collaborative networks) are constituted; as a result of the individual actor decision to participate, it is important for describing characteristics and concepts related to democratic legitimacy. For the subject matter of this current research, an expected significant role of a case study was to assist in the putting into practice theoretical constructs such as democratic anchorage

(Sørensen & Torfing, 2005a) and the application of democratic theory to bodies of actors who do not comprise a traditional public organization or private organization.

The Unit(s) of Analysis

The basic unit of analysis in this research is the collaborative network. As earlier indicated, a collaborative network is a specific type of network that has formed, functions, and is expected to continue to operate in a manner consistent with the earlier concepts of networks, including one of the most basic concepts of networks, which shows them to be a collection of nodes/actors (n) related by ties/resources (relationships; [t] Rhodes, 1997). Networks enjoy a mobility and freedom that is a result of, among other characteristics, no necessity to conform to traditional organizational structures, the emergent properties of networks, and liberty to innovate without delay that often comes with the requisite checks, balances, and constraints of bureaucracies.

Logic Linking the Data to the Propositions

The data sought in this study were generally understood to be characteristics about the network and the actors that constituted, in substantial ways, the structure and consistency of the network. In other words, this study had to look at what a particular network was “made of” with the purpose of understanding how networks were democratically anchored. To this end, the propositions, predicated on democratic theory and knowledge from public administration as a field or study, represented a cluster of points that helped to illuminate networks engaged in public administrative work.

Case Selection and Participants

There are various kinds of networks that provide services or produce items or have policy influence that function in the realm of public administration. This present study examined collaborative networks as opposed to the other two kinds as (policy and governance networks) as discussed by Isett et al. (2011), Mandell (2001), and Nelson (2001). Collaborative networks are any network that is primarily concerned with and operates to provide public goods or services. These collaborative networks are distinguished from policy networks and governance networks in that policy networks are primarily concerned with influencing or producing public policy, while governance networks are primarily concerned with the actual operation of governmental or regional public services or apparatus.

To qualify for participation in this research, a network was deemed to be a “collaborative network” if all the following characteristics were met:

- The network met the general social scientific understanding of what a network is
 - Exhibited an emergent genesis
- The network’s composition is of actors (either individuals or corporate/organizational)
 - Specific considerations consistent with Isett et al. (2011) include a composition of government agencies, nonprofits, and/or for-profits.
- The network’s primary function and purposes of existence is to provide a good or service that may be generally construed as “public” for the purpose of addressing a “wicked problem” or social ill.

The two networks that are the subjects of this case study are both collaborative networks by virtue of their primary concern and focus on the delivery of services to the public for public good and value (Mandell, 2001; Nelson, 2001). The two networks operate from and provide services in Orange County, California. For purposes of the fieldwork notes and brevity in description, the participant networks have assigned letter designations: A designates the La Habra Collaborative, while B designates the Orange County Food Access Coalition (see Figure 9).

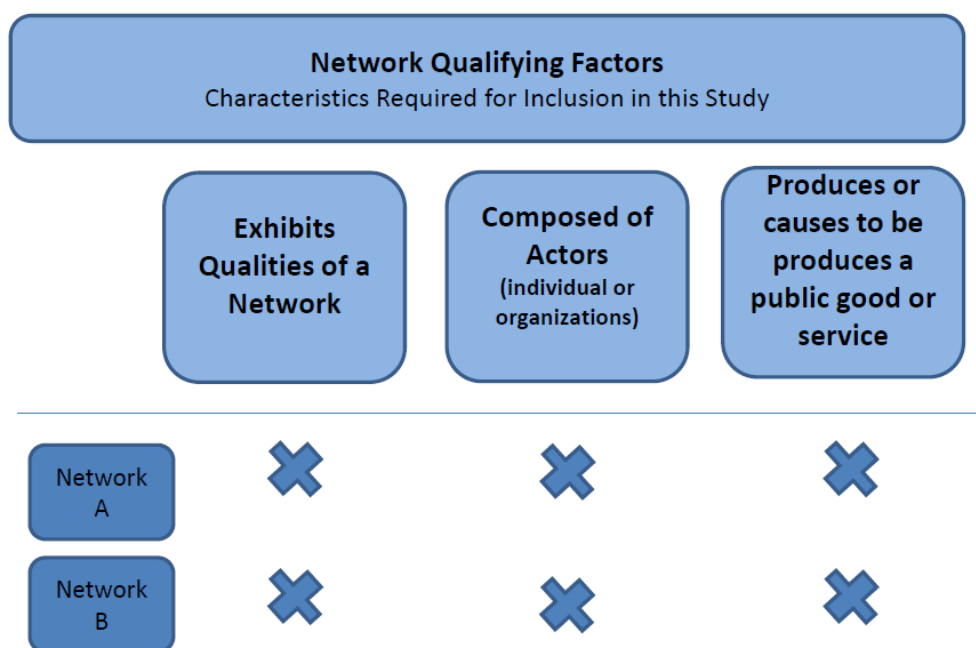


Figure 9. Network qualifying practices.

Network A: The La Habra Collaborative

Network A is located in the city of La Habra, California, and provides its services to the community residents within the city boundaries. The city of La Habra itself is situated in the northwestern-most area of Orange County. The collaborative maintains a

website (www.lhcollab.org), which is one source of basic demographic and narrative information about the network. This participant profile briefly demonstrates how Network A exhibits the qualities of a network (specifically a collaborative network), its composition (whether individual or organizational actors), and what goods or services it produces that may be qualified as public.

Networks are recognizable by qualities and characteristics that distinguish them from traditionally formed and operated organizations. Among the qualities and characteristics of Network A that qualify it as a network are its emergence from existing organizations and groups of people that informally coalesced. Informally, in this case, means to indicate that there was no formal business plan, there were no official positions, nor did any actor have to leave an existing organization of membership to attain a titled role in Network A.

Network A's composition is of actors called "members" as indicated on its website (La Habra Community Collaborative, n.d.). Members is construed to mean what network literature calls "actor," and members may be individual people or organizations represented by staff. Members of Network A include individuals from the public at large, participating local government departments, nonprofits and for-profit business. Network A has garnered and enjoys significant support from the local chamber of commerce, and in fact, the chamber of commerce qualifies as an actor given the resource ties that exist between Network A and the chamber.

Explicit in Networks A's mission-vision statement and in the statements made public on the network's official website are indications of its focus and purposes of

operation. Expressed through activities of its three committees, Network A provides what would ordinarily be qualified as public services through programs to positively impact the following areas of community/social concern (their challenges): (a) wellness and fitness (to assist in mitigating childhood obesity numbers in La Habra, California); (b) juvenile crime prevention (to decrease the number of crimes related juvenile delinquency); (c) teen pregnancy prevention (to educate community teens on sex education, to reduce unplanned teen pregnancy).

Network B: The Orange County Food Access Coalition

Network B is located in the City of Santa Ana, California, with a service area that mirrors the county of Orange’s jurisdictional/corporate lines. Network B maintains a website (www.ocfoodaccess.org), which is one source of basic demographic and narrative information about the network. This participant profile briefly demonstrates how Network B exhibits the qualities of a network (specifically a collaborative network), its composition (whether individual or organizational actors), and what goods or services it produces that may be qualified as public.

Network B is comprised of actors generally referred to as “participants.” Actors in this network may be individuals, nonprofit organizations, or for-profit organizations. Qualities and characteristics that Network B exhibits, which indicate that it is a collaborative network, include its informal and emergent nascence in response to a need in the general public (namely food insecurity), its initial and present composition of many actors (not including two full-time and one part-time paid staff, its formation contingent

on memoranda of understanding (MOUs), and not standard or traditional incorporation or business launch methods.

Network B's composition is of actors called participants as indicated by the information received from the executive director and includes members of the public (at large), representatives from organizations other than Network B, and organizations as corporate entities (private, nonprofit, and governmental). Network B appears to enjoy significant support and recognition from the community.

Explicit in Network B's mission are its three "challenges" and reasons for operating, as indicated on its website (Orange County [OC] Food Access Coalition, n.d.): (a) hunger (to assist in the immediate and long-term alleviation of it and other food insecurity related issues); (b) diabetes (recognizing the joined issue of diabetes and obesity); and (c) food systems (to utilize existing frameworks to bring immediate relief, but to encourage and advocate for modifications for improvement of the framework).

For the purposes of this study, both networks are deemed to qualify as collaborative networks functioning for the provision of a public good or service and/or addressing social issues that are traditionally viewed as the substantial jurisdiction or purview of the government, and therefore, studies of such networks are situated within the field of public administration.

Case Study Procedure and Data Collection

This exploratory case study was an investigation employing social scientific sense, and in this case, the investigation was undertaken for the purpose of understanding

democratic legitimacy that was assumed to exist by the general public or unaddressed by participating actors. Appropriate data collection therefore included the following:

- A survey issued to leaders of the collaborative networks (survey is included as Appendix A), designed to assess the presence of certain roles that comprise the network.
- Direct participant observation, designed to observe artifacts or network behavior that may indicate possible avenues for indicating democratic legitimacy.
- Semistructured interviews (as required) to assist in understanding, elaborating, or explaining contradictions or ambiguities that may be created by the survey and observations.

This study utilized the three research techniques (survey, direct observation, and semistructured interviews) of data collection in order to examine to the range of public and community connections network members have by those who comprise the network.

- Surveys were used to determine the presence or absence of variables that were demonstrated through the literature on democratic theory and legitimacy as indicating democratic legitimacy.
- Direct observations were employed because assessing the nature or presence of some democratizing variables may only be understood by firsthand observation. An example of this is obvious when one considers factors of democratization such as due deliberation.

- The semistructured interviews permitted the researcher to gain clarification if required when considering survey answers and behaviors from the direct observations. The sequence for data collection is indicated in Figure 10:

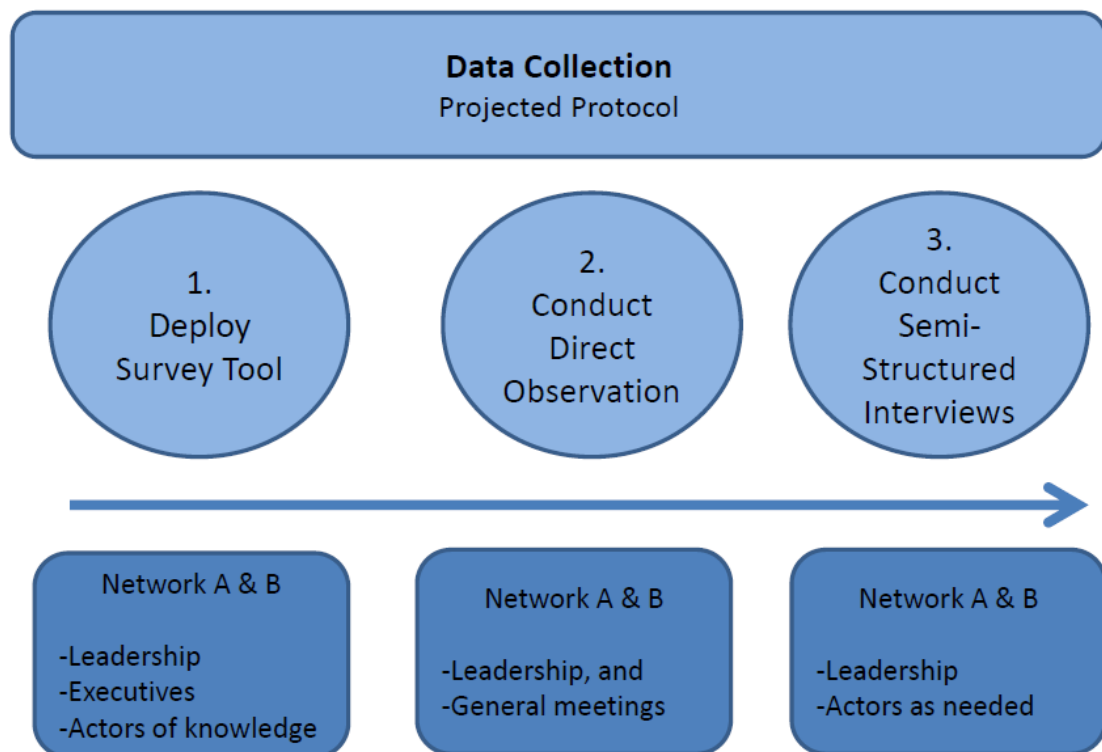


Figure 10. Data collection projected protocol.

Projected Study Schedule

The research portion of this study consists of five phases: (a) survey deployment, (b) direct observation period, (c) semistructured interviews, (d) analysis of data period, and (e) summary and reporting period. Figure 11 contains a projected time schedule.

	Phase I	Phase II	Phase III	Phase IV	Phase V
Duration	Two weeks	Three weeks	Two weeks	Three weeks	Two Weeks
Location	Network A offices	Network A/B offices	Network A offices		
	Network B offices	Service delivery location(s)	Network B offices		
Involved	Researcher	Researcher	Researcher	Researcher	Researcher
	Network leadership	Network actors	Network leaders & actors		

Figure 11. Projected study schedule (April 2015-July 2015).

Sources of Data/Evidence

Consistent with case studies in general, this study was not limited to a single source of data. The study made use of multiple data sources to seek evidence necessary for analysis and understanding on the topic. Resonant with Yin's (2014) comments on sources of evidence, this study made use of the following as required:

- **Documentation:** agendas, letters and memoranda, minutes of meetings, written reports, administrative documents (internal records, proposals, and reports), other evaluations or studies as appropriate, and outside reports on the network (from the media or other official websites).
- **Archival records:** public records, service records (either kept by the network or by recipients of the network services), organizational records, charts and maps, or existing survey data from the communities served, or the networks.

- **Survey:** the leadership survey designed for this research project.

A Note on Researcher Role

In this case study design, the researcher was situated as an observer/investigator. Recognizing the importance of indicating whether or not a researcher (primary or assistants) is involved in a subject of the study (in this case networks) beyond that role of researcher/investigator, the following was disclosed.

The researcher of this study declared a previous connection with Network A as an individual actor in the network. The extent of the researcher's participation was limited to two meetings at which the researcher served as subject-matter expert pertaining to juvenile delinquency. Beyond the two meetings, there was no additional participation. Separation and distance from Network A was made approximately two years before this current research study was conceptualized. The researcher of this study declared no previous connection to Network B. All interaction with this network was relative to this study and there were no interests previous to the start of this research.

For the purposes of this study, the researcher did not become an active or passive participant in the networks' operations, nor was advice offered before the appropriate time by way of recommendations and answers to the questions from network leaders upon completion and defense of this research study.

Data Storage

Electronic data storage was accomplished with the use of a laptop under the sole control of the researcher, data peripherals, such as USB "thumb" drives, marked and

indicated for use for this research study alone, with data transfers facilitated via e-mails owned by the researcher, or direct download onto data storage owned by the researcher. The following digital data, if collected, were to be stored in appropriate format, cataloged and saved with a unique name:

- Documents (word processing or portable data file, PDF)
- Electronic picture files
- Electronic voice files

Surveys utilized were hard copy, physical format that were completed by the participants representing the networks. The documents were catalogued in their physical form and kept for record. Notes from the direct observations and semistructured interviews (as needed) were kept in their original form (electronic or handwritten) and any transcription was also maintained in the appropriate format (electronic consistent with the above protocol, or physical in the study files maintained by the researcher).

Criteria for Interpreting Findings and Analysis

The chief principal guiding strategies for interpretation were a practice of actively seeking alternative explanations for the phenomenon and factors observed (Yin, 2014). In addition, extensive research into democratic theory and factors that bestow or demonstrate legitimacy served as the predicate for the establishment of clear variables to be studied and the interpretation of findings.

Yin (2014) outlined four general strategies for the analysis of case study evidence. First was relying on theoretical propositions. Second was a ground-up approach that

permitted the researcher to see concepts as he manipulated and reviewed the data (similar to a grounded theory perspective). Third was the development of a case description that sought to organize a case into a framework often without a settled research question or set of propositions. The final strategy was an examination to discover plausible rival explanations of a phenomenon often employing concepts of craft rivals (those that are constant rivals in social science, for instance, threats to validity and investigator bias) or real-world rivals, which are those rivaling forces that impact the phenomena being researched that are generally unforeseen or uncontrolled. This study included a constant alternative-seeking orientation by way of using triangulation (Snow & Anderson, 1991) and used theoretical propositions that informed the research question. The usefulness and application of triangulation in this investigation and the analysis was that it brought a level of sense making to the questions and data. This allowed for a multiperspective analysis, which was beneficial in this qualitative area of research. Incorporation of triangulation as part of the research analysis strategy was to bring a level of accuracy to the study.

The propositions, informed by research discussed in the literature review informed the data collection and the analysis. The analysis in this study aimed to discover concepts related to democratic legitimacy by way of being sensitive to structures, constructs, and actions by Networks A and B, which may help describe if they had a demonstrable level of democratic anchorage as a means of claim to democratic legitimacy.

From the literature on democratic theory, networks, and the propositions of this present study, data gathering and analysis were sensitive to the presence of particular characteristics and qualities of the networks. Characteristics and qualities that were encountered as potential answers for the research question included the following:

- Presence of an elected official as an actor in the network
- Presence of an appointed official as an actor in the network
- Presence of a delegate of an elected or appointed official as an actor in the network
- Practice of regular open forum with the public
- Practice of regular notice to the public
- Presence and practice of an agreed upon process of deliberation/decision-making
- Presence of actors with an understanding of rule of law/basic Constitutional understanding.

Plan Validity

The study design is consistent with Runeson and Host's (2009) case study design checklist. Viewed as a best practice for qualitative case study research, the checklist provides structure for preparation for this study. In particular, this study meets the shared standards present in the checklist in the following ways:

1. It has a clear delineation of what constitutes the unit of analysis (a unit of analysis in this study is a collaborative network; there are two in this study).
2. It has a clear objective with a research question.
3. This study has a theoretical basis, which is anchored in existing literature.

4. The researcher indicates researcher intention by use of a problem statement, research question, and propositions.
5. The study has a defined domain (public administration).
6. The study involves data from multiple sources (survey, direct observation, and semistructured interviews) to provide data triangulation.
7. The study has a significant rationale for the selection of the subjects (networks), and the data can be substantiated and shown to relate to the problem statement and research question.

Finally, both networks are sufficiently established as phenomena in their respective communities and service areas and demonstrate sufficient integrity (official World Wide Web presence, an obvious presence in the community and civil society functions, participation in civic events, and verified business contact information including operations offices and telephone numbers) to substantiate being studied.

Limitations

Although analytical generalizability will permit for the generalizability of theoretical propositions (helpful for future more elaborate studies), as a result of this work, findings will likely not be generalizable to populations. This is important to consider, but this limitation must also be considered under the recollection that given the varied conceptions of democracy, generalizability of studies regarding democracy in the field of public administration are acutely sensitive to the context created by the form of democracy that creates the context. In short, significant findings for networks in the

United States may not prove to be significant in a democracy elsewhere due to variances in the form of democracy and the relationship between the political regime and the government that is established after it (analysis of this sort will almost certainly include research and conversation on comparative democratic studies and comparative public administration).

An additional limitation emerged from the focus of this study. As indicated, there are at least three types of networks that function in public administration: policy networks, governance networks, and collaborative networks. This current study intentionally excluded any form or type of network that was not qualified as a collaborative network. The purpose of focusing on one type was to attempt a sufficient description of the phenomenon prior to extending and extrapolating. It is, however, expected that future studies may be undertaken considering the remaining two network types.

CHAPTER V

FINDINGS

This chapter presents the findings of this case study research. The study focused on understanding the composition and characteristics of two collaborative networks; specifically, the networks were examined to understand what, if any, variables could be used to determine democratic legitimacy. The purpose was to identify variables that could be used for understanding how a collaborative networks could be anchored to democratic principles or ideas and therefore point toward legitimacy to act in the realm of public interest, which has been the official capacity and purview of traditionally formed, public organizations.

This chapter first offers a profile of both of the collaborative networks, including a brief on mission, services provided, and/or programs carried out. Second, the data from each collaborative network are presented. The data include the survey data and data from direct observations for both collaborative networks. The chapter concludes with a statement of the research question and a summary of the analysis.

Network A: The La Habra Collaborative

Mission of Network A

Network A is a collaborative network that emerged in the City of La Habra, (northwest Orange County in Southern California). The network’s mission is explicitly indicated on its website: “To improve the quality of life for all La Habra residents by uniting the community organizations which empower individuals to be self-sufficient and healthy” (La Habra Community Collaborative, n.d., “About Us”).

According to the network’s website, the mission is expressed in programs designed to address what the network has identified as three key issues for the community: (a) wellness and fitness, (b) juvenile crime, and (c) teen pregnancy. Services and information sharing occur within the framework created by these three foci.

Brief History of Network A’s Emergence

Network A first emerged some time in 2010 as an effort sponsored by a separate, established foundation called the La Habra Foundation. The nature of the relationship between the La Habra Foundation and the group that would evolve into Network A can be described as one of fiscal partnership. Network A functioned in the community under these described auspices retaining its own nonprofit, IRS exempt status in November of 2014. Since that time, Network A functions as its own entity within the community from an administrative and legal formation perspective. The current executive director has been the network’s only executive director.

Network A: Service Area, Services Provided and Those Served

Network actors in Network A include individuals and organizations (private business, nonprofit, and governmental). Network A provides services to the general public through its various participating network actors. According to networks' information, services delivery is approximately 90% to La Habra community members, and approximately 10% from outside the La Habra community. The network uses the official La Habra City boundaries as its own service area.

The demographics of the service area are representative of the city of La Habra and the region. Demographic estimates from the 2014 U.S. Census indicate that La Habra, California, has a population of 62,066, with Hispanic/Latino at 57.2% of the population, White alone at 30.2% of the population, Asian alone at 9.4% of the population, Black or African American at 1.7%, Native American or Alaskan alone at .9%, and Native Hawaiian or Pacific Islander at .2% of the population (U.S. Census Bureau, 2015a). The remaining population counts are those indicating two or more races. Network A serves community members of all ages in its programming.

Services provided are administered through programs linked to the network's three focus areas: (a) wellness and fitness, (b) juvenile crime, and (c) teen pregnancy. Figure 12 shows the services included.

Wellness & Fitness	Juvenile Crime Prevention	Teen Pregnancy
Development of fitness programs for youth	Participation in juvenile diversion program	Fristers program: mentoring, teaching young mothers how to care for children (with literacy component).
Courses on preparing nutritious meals	Developed and administers a youth mentorship program linking youth with local business leaders.	Delivers education on teen pregnancy prevention in collaboration with local schools and other organizations.
Nutritional education program	Secured grant funding for specialized vocational programming at a local high school.	

Figure 12. Network A services by foci. Adapted from “About Us,” n.d., La Habra Community Collaborative, retrieved from <http://www.lhcollab.org/about-us.html>

Characterizing Network A

The number of actors in Network A is difficult to arrive at. Given the nature of networks as discussed earlier in this work, understanding when a person or organization qualifies as an actor is a matter of judgement at a given moment in time. There are at least 17 organizations (private business, government departments/agencies, or nonprofits) that participate in Network A called “Group Members” on the network’s website (La Habra Community Collaborative, n.d., “About Us”). Each may be construed to be an

actor (organization as actor), but that discussion is beyond the purposes and scope of this characterization. For the purposes of this analysis, without dismissing the importance of the participation of organizations as actors, this network is comprised of approximately 75 individual actors (some representing organizations). The approximation of 75 individual members is based on researcher observation, and it is noted that the network's website indicates that there are 20 "Individual Members" (La Habra Community Collaborative, n.d., "About Us").

The network has a public and well-defined core team that the network calls "Our Leadership Team." Most (six of nine) individuals on the leadership team are pictured on the network's website and the executive director and chair also have minibiographies displayed. The formal roles are executive director, chairman, vice-chair, secretary, treasurer, and five roles that are undescribed by title on the website, but are placed under the group banner of "Board of Directors" and all except four roles have pictures identifying the individual leaders, and none other than the executive director and chair have minibiographies posted. Although there are leaders indicated, the organization does not have a drafted organizational chart. This network received 501(c)(3) statuses in November of 2014.

Network B: The Orange County Food Access Coalition

Mission of Network B

Network B is a collaborative network that was established in the city of Santa Ana (central Orange County in Southern California). The network's mission is explicitly

indicated on its website: “At OCFAC, our mission is to create access to healthy, local food options for Orange County’s most nutritionally vulnerable residents” (OC Food Access Coalition, n.d., “About”).

According to the network’s website, the mission is expressed in programs designed to address issues of food insecurity (access to nutritious) in Orange County, California (the key issue for the network). The key issue is expressed in three “challenges” for the network: (a) hunger, (b) diabesity (refers to diabetic conditions associated with obesity), and (c) food systems (OC Food Access Coalition, n.d.).

Brief History of Network B’s Emergence

Network B was “founded” in 2010 as a response to a need for coordinated action to address food insecurity in Orange County, California (OC Food Access Coalition, n.d.). The founding of Network B resulted in programs from which services are delivered and events coordinated. The current executive director has been the network’s only executive director.

Network B: Service Area, Services Provided and Those Served

Network actors in Network A include individuals and organizations (private business and nonprofit). Network B provides services to the public who suffer food insecurity and also who are concerned about nutritious eating. According to network information, services are delivered and coordination occurs in Orange County, California (the formal, defined service area is synonymous with the corporate boundaries of Orange

County, California). During one event that was subject to direct observation, indications of new collaboration or potential for collaboration across counties within the southeast area of Los Angeles County were noted.

The demographics of the service area are representative of Orange County, California. Demographic estimates from the 2013 U.S. Census indicate that Orange County, California, has a population of 3,121,854 with Hispanic/Latino at 34.2% of the population, White alone at 42.6% of the population, Asian alone at 19.2% of the population, Black or African American at 2.1%, Native American or Alaskan alone at .4%, and Native Hawaiian or Pacific Islander at .4% of the population (U.S. Census Bureau, 2015b). Those indicating two or more races were 3.2% of the population.

Network B serves community members of all ages in their programming.

Services provided and events coordinated by or through Network B are linked to the three challenges through the following programs (see Figure 13).

Characterizing Network B

As with Network A, the number of actors in Network B is difficult to arrive at. Given the nature of networks, understanding when a person or organization qualifies as an actor is a matter of judgement at a given moment in time for this network. There are at least 11 organizations (business, nonprofit, and government organizations/state-run schools) that participate in Network B called partners on the network's website (OC Food Access Coalition, n.d.). Each may be construed to be an actor (organization as actor), but that discussion is beyond the purposes and scope of this characterization. For the purposes of this, without dismissing the importance of the participation of organizations s

actors, this network is comprised of over 700 individual actors (some representing organizations). This approximation of 700 individual actors is based on researcher observations, and networks' documentation of those participating to provide services or work in the furtherance of the mission. A significant number of the actors appear to be related to the network's gleaning project, which has actors gleaning fruits and vegetables from personal/private home farms or gardens throughout Orange County, California.

Hunger	Diabetes	Food Systems
Harvest OC (gleaning project)	Policy, Advocacy, and Research	Policy, Advocacy, and Research
Healthier Food Drive	Healthier Food Drive	Real Meals Project (emergency food supply/system)
Community Gardens	Community Gardens	One-Stop Enrollment Group (assistance bridge to Medi-Cal/CalFresh)

Figure 13. Network B services by foci. Adapted from "About," n.d., OC Food Access Coalition, retrieved from <http://ocfoodaccess.org/about/>

The network has a well-defined core team that steers the activities and services. The organizational chart indicates the name of the team as "OCFAC Leadership Team" with an executive director role in place subordinate to the team, a program manager role

subordinate to the executive director, and two equal roles called program coordinators subordinate to the program manager (see Figure 14).

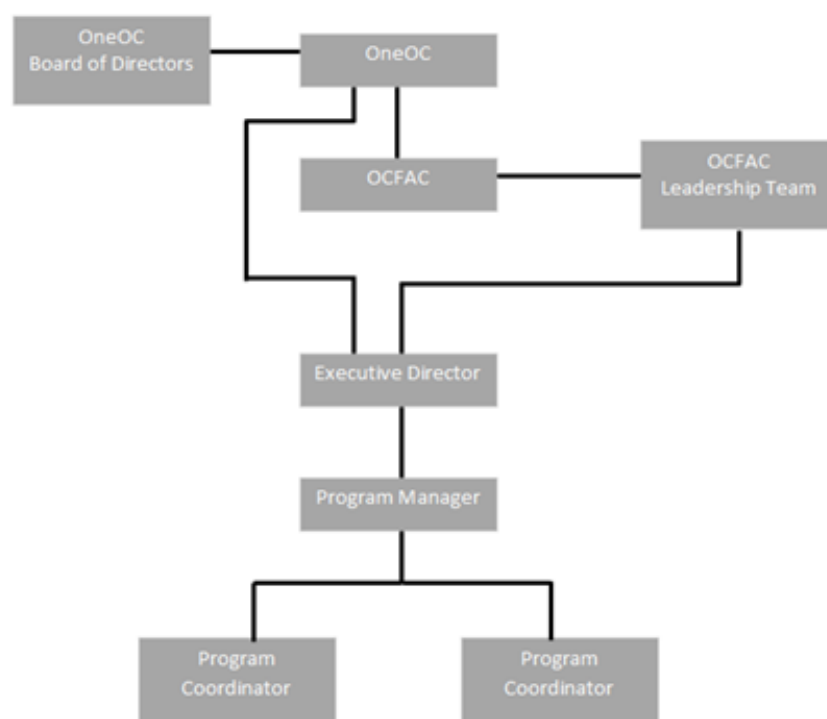


Figure 14. Network B enabling structure. Adapted from “About,” n.d., OC Food Access Coalition, retrieved from <http://ocfoodaccess.org/about/>

There are no individually defined leadership roles beyond what is indicated in the provided organizational chart. The network’s website shares no indication as to who holds particular roles of leadership or otherwise. This network is not a 501(c)(3) organization. The network is a fiscally sponsored project of OneOC (an established 501(c)(3) organization in Orange County, California). Fiscal sponsorship is the enabling dynamic for Network B. It should be noted for historical context that OneOC committed

to fiscal sponsorship of the network in January 2013. Prior to the OneOC-Network B relationship, fiscal sponsorship was granted by Volunteer Center Orange County (VCOC) in August 2010. OneOC was formerly known as VCOC, and they are one in the same for the purposes of this analysis.

Collected Responses

Survey

The Leadership Survey for this case study was developed specifically for the research purposes of this dissertation work. The leadership of each of the two collaborative networks was invited to participate in the survey. Network A, at the time of this research, had a leadership team of nine people, and Network B had a leadership team of six people (see Table 1).

Table 1

Network A and Network B Leader Participation

Network	Leadership group	Leadership who participated
Network A	9	8
Network B	6	6
Total	15	14

The survey was administered to both network leadership groups with 93% participation by all members of the leadership teams (for Network A, there was one person who was unable to be surveyed). The individuals surveyed were identified as key

actors/leaders in the network by self-introduction and/or by the executive directors of each network. While the number of people surveyed is a modest number, given the exploratory nature of the case study, the number is sufficient for the purposes of this research.

Initial contact to Network A for request to participate was made in March 2015 with final consideration and agreement to participate received in April 2015 (Appendix B). Initial contact to Network B for request to participate was made in February 2015 with final consideration and agreement to participate received in April 2015 (Appendix C).

Direct Observation

Direct observations of meetings (leadership and/or network-wide) and events were made for both networks. The researcher was nonparticipative in the meetings/events but maintained a neutral and unobtrusive observation perspective and stance. Four direct observations of each network were made. Because of the networks' schedules, the direct observations are an unequal mix of leadership meetings (leadership and/or network-wide) and events when comparing the direct observations of the two networks. Noting this limitation, both networks were able to be observed during internal and external activities, that is to say network actors with other network actors within the same network, and network actors with those external to the network.

Semistructured Interviews

This study included a contingency for the use of semistructured interviews if analysis of the survey and direct observation data required elaboration or clarification. Semistructured interviews were not conducted.

Results and Analysis of the Data

Guided by the theoretical propositions indicated in the theory chapter, and by the goal of exploration for the purpose of identifying potential variables for theory building, both the survey and direct observation data were considered for findings. The key manner of organizing and analysis of the data was undertaken for the purpose of pattern matching (also referred to as congruence method in political science research; Yin, 2014). In particular, analysis was completed by analyzing patterns in comparison to a predicted pattern predicated upon the theoretical propositions that emerged from literature. The goal of the pattern matching against a predicted pattern was to work toward theory building and explanation, and potentially build a hypothesis for later testing (a work that is beyond the scope of this research). This exploratory analysis is consistent with the purpose discussed by Yin (2014), which is to engage in exploration so as to identify potential research questions or procedures to be utilized in subsequent studies. This approach is useful in investigating the two collaborative networks in order to identify variables for future quantitative research.

Review of Accountability

The debate as to the differentiation between responsibility and accountability notwithstanding, a review of Cendón's (1999) notions of responsibility as a form of accountability is in order before the discussion of a predicated pattern and analysis.

Cendón (1999) explained the idea that responsibility functions in a manner that results in the assumption of liability, describes or prescribes a capacity and/or legal authority, and requires either one, all, or a combination of the following: dissemination of information, defense, or action. Understanding accountability as an expression of responsibility, Cendón further indicated that accountability may exist in four types: political, administrative, professional, and democratic. It is important to consider that responsibility is often inalienable given a certain profession or social role; that is to say that responsibility as an assumption of liability, capacity, and authority to act or requirement to inform or defend cannot be set aside by one occupying a certain role, and are accountable at least legally and ethically. Figure 15 summarizes the concerns of those Cendón areas that are appropriate to the survey data, namely the political and professional expressions of responsibility as accountability. Figure 15 demonstrates findings with respect to both networks investigated.

Predicted Pattern (Potential Congruence)

Predicated on the earlier discussion of theoretical propositions, there is a predicted pattern that may be present in some collaborative networks that would account for or indicate democratic anchorage to provide some assumption of legitimacy. Collaborative

AN ANALYSIS OF DATA: The Search of Democratic Legitimacy The Survey Data & Cendon		
	POLITICAL Survey Questions: 1-8	PROFESSIONAL Survey Questions 9-16
	Concerned with superior power with duty to execute due to duly delegated authority	Concerned with technical rules and policies associated with a particular profession
	<i>Examples: Elected officials and peace officers</i>	<i>Examples: an attorney bound by legal ethics, a medical doctor bound by medical ethics</i>
La Habra Collaborative → <i>Indications from survey collected data</i>	Indicated as present in operations and/or advising to network decision-makers by all but one leader. Affirmative answers indicating the presence/participation of an elected official, an appointed official, a public employee as a delegate of an elected or appointed official, or a public employee acting in their capacity in network operations or advising decision-makers.	Indicated as present in operations and/or advising to network decision-makers by all but one leader. Affirmative answers indicating the presence/participation certain non-governmental actors who are professionals holding credentials, licenses or other legal obligations acting in in network operations or advising decision-makers.
OC Food Access Coalition → <i>Indications from survey collected data</i>	Indicated as present in operations and/or advising to network decision-makers by most leaders. Affirmative answers indicating the presence/participation of an elected official, an appointed official, a public employee as a delegate of an elected or appointed official, or a public employee acting in their capacity in network operations or advising decision-makers.	Indicated as present in operations and/or advising to network decision-makers by the minority of the leadership group. Affirmative answers indicating the presence/participation certain non-governmental actors who are professionals holding credentials, licenses or other legal obligations acting in in network operations or advising decision-makers.

Figure 15. Cendón's four types of accountability. Adapted from *Accountability and Public Administration: Concepts, Dimensions, Developments*, by A. B. Cendón, 1999, *Openness and Transparency in Governance: Challenges and Opportunities*. 2nd NISPACEE Civil Service Forum, Maastricht, The Netherlands. Available from <http://unpan1.un.org/intradoc/groups/public/documents/nispacee/unpan006506.pdf>

networks by nature are composed of various actors (individuals or organizations) who are not full time with a given network. The purposes for participation include, ostensibly, a reciprocation of resource or results in or for a particular shared idea or vision (the tie that binds the nodes). The actors therefore come to the a collaborative network not only with their own or their organization's resources, which are being willingly shared or exchanged (intellectual property included), but also with any legal or professional standing that is unable to be surrendered or put aside for the purpose of participating with a network. The legal or professional standing may function as a legitimating factor by way of adding a level of accountability through authority, compulsion, or constraint vested by a role.

The Leadership Survey

The Leadership Survey designed for this project was anchored to the proposition, and the Cendón (1999) constructs for the purposes of creating a lens through which examination was possible. The construction of the survey and how the questions relate to the research operationalization is discussed here before the breakdown of the responses collected.

Cendón's (1999) constructs of accountability are predicated on assumptions of realities of roles that cannot be set aside by the actor and remain ethical or within legal requirements. Cendón recognized political, administrative, professional, and democratic areas of accountability. Analysis of the survey question responses fit nicely into two of Cendón's four domains: political and professional. By way of review, Cendón's political

domain is concerned with superior power with duty to execute due to duly delegated authority, and Cendón's professional domain is concerned with technical rules and policies associated with a particular profession.

Leadership Survey Questions 1 through 8 specifically requested information regarding the presence or participation of an elected official, an appointed official, or a public employee acting as delegate or independently of an elected/appointed official but within the scope of their own official capacity in operations or advising to network decision makers. Leadership Survey Questions 9 through 16 specifically requested information regarding the presence or participation of certain nongovernmental actors who are professionals holding credentials, licenses, or other bonafide professional obligations or duties acting in network operations or advising network decision makers.

Network A Results

The leadership survey (so named as the survey was designed for network actors who would be in a role, paid or unpaid, that requisite knowledge could reasonably be expected) was administered to the leadership of Network A in person during a meeting of the leadership. There was one member of leadership who was absent from the meeting and was unavailable to take the survey in subsequent weeks.

Network A responses to Survey Questions 1 through 8 (official representation questions) and to Survey Questions 9 through 16 (unofficial representation questions) are indicated in Table 2.

Table 2

Network A Survey Responses, Questions 1–16

Question (searching for presence of/involved in	Yes	No	Unk/absence/nonanswer
Q1 (elected official/operations)	8	0	0
Q2 (elected official/advising decisions)	8	0	0
Q3 (appointed official/operations)	8	0	0
Q4 (appointed official/advising decisions)	8	0	0
Q5 (public employee/operations)	8	0	0
Q6 (public employee/advising decisions)	8	0	0
Q7 (public employee/operations)	7	0	1 (unk)
Q8 (public employee/advising decisions)	8	0	0
Q9 (credentialed educator)	8	0	0
Q10 (credentialed educator)	7	0	1
Q11 (member of the bar)	8	0	0
Q12 (member of the bar)	8	0	0
Q13 (active/retired peace officer)	8	0	0
Q14 (active/retired peace officer)	8	0	0
Q15 (licensed by board of behavioral sciences)	8	0	0
Q16 (licensed by board of behavioral sciences)	8	0	0
			1 (Absent)

Questions 1 through 8 of the Leadership Survey were designed to assess for the presence of and leadership awareness of network actors who are vested with the public trust by oath or role. Actors who would be in the group vested with public trust included elected officials, appointed officials (those appointed by an elected official or elected body to a commission or similar board), or appointed/hired public employees (whether required to take an oath of office or not). The questions required that any such network actor be from an office or role within the network's service area.

In Network A, 100% of leadership surveyed indicated "yes" to Questions 1 through 6, and Question 8. There was one "unknown" answer for Survey Question 7. Question 7 was designed to assess for a public employee, actively engaged in network operations without acting in official capacity without being a delegate from an elected or appointed official.

Questions 9 through 16 of the Leadership Survey were designed to assess for the presence of and leadership awareness of network actors who hold credentials, licenses, or who are otherwise held to accountability through a formal anchorage to an inalienable responsibility. In Network A, 100% of leadership surveyed indicated "yes" to Questions 9, and 11 through 16. There was one "unknown" answered for Survey Question 10. Question 10 was designed to assess for a credentialed educator acting to advise decision makers of the network.

Network A's leadership group had one paid staff (the executive director). There was a second paid staff who was support staff to the leadership and network. The leadership group was comprised of nine actors (one of whom was the paid executive

director). One member of the leadership group was unavailable for the entire research project. The leadership functions as a board of directors, and the most common title used in the leadership was board member. Other titles present were board chair, vice chair, secretary, and executive director (the only paid leadership actor). Tenure in the leadership group as it existed at the time of this research ranged from 6 months to 5 years. Network A was an iteration of a previous effort, and four of the current leaders surveyed had tenure in the previous group. Three actors in the leadership group as surveyed had no previous tenure any related efforts (joined the network in the iteration that was researched). One actor omitted an answer to the tenure questions.

Overall, the leadership team had significant educational attainment with 50% of those surveyed holding a graduate degree, 25% holding an undergraduate degree, and 25% with at least a high school diploma. The age range of the leadership group spanned 31–71+ years of age.

Network A Analysis

For Questions 1 through 16, a key to the analysis of the presence of these roles for the purposes of this research is that the authorities, compulsions, and constraints with their genesis in legal or professional requirements cannot be put aside by a given actor without breach of trust (and potentially law or professional ethical principle). Trust (in this case the public trust), as a requisite component of legitimacy may be said to be carried with the individual, and the presence and involvement of the individuals as actors

may indicate or act as a legitimating factor given the authority, compulsion, and constraints that cannot be surrendered or otherwise put aside.

A clear pattern emerged from the results of the survey. There was evidence of representation both in official and unofficial capacities of actors who had legal or professional authorities, compulsions, and constraints.

Network B Results

The leadership survey was administered to the available leadership of Network B in person during a meeting of four of six leadership members. The two who were unavailable for the in-person meeting were permitted to submit their surveys via electronic scan of their handwritten surveys. Six of six surveys were able to be administered and returned to the researcher.

Network B responses to Survey Questions 1 through 8 (Official Representation questions), and to Survey Questions 9 through 16 (unofficial representation questions) are indicated in Table 3.

For Questions 1 through 8 (the official representation questions), no question was answered 100% “yes,” “no,” or “unk.” For Questions 1, 3, 4, 6, 7, and 8, four leaders indicated yes, three leaders indicated yes to Question 2, and two leaders indicated yes to Question 5. The appropriate number of no answers were answered given the corresponding yes answers to the questions except for Question 8 for which there was one no answer and one unk answer. With two exceptions (Q12 and Q14), Network B leader responses to Questions 9 through 16 indicated at least one yes answer. Question 9

Table 3

Network B Survey Responses, Questions 1–16

Question (searching for presence of/involved in	Yes	No	Unk/absence/nonanswer
Q1 (elected official/operations)	4	2	0
Q2 (elected official/advising decisions)	3	3	0
Q3 (appointed official/operations)	4	2	0
Q4 (appointed official/advising decisions)	4	2	0
Q5 (public employee/operations)	2	4	0
Q6 (public employee/advising decisions)	4	2	0
Q7 (public employee/operations)	4	2	0
Q8 (public employee/advising decisions)	4	1	1
Q9 (credentialed educator)	4	2	0
Q10 (credentialed educator)	2	4	0
Q11 (member of the bar)	2	3	1
Q12 (member of the bar)	0	5	1
Q13 (active/retired peace officer)	3	3	0
Q14 (active/retired peace officer)	0	6	0
Q15 (licensed by board of behavioral sciences)	1	2	3
Q16 (licensed by board of behavioral sciences)	1	4	1
			1 (Absent)

had four yes answers, Questions 10 and 11 had two yes answers, Question 13 had three yes answers, and Questions 15 and 16 had one yes answer each. There were a number of unk answers for Questions 9 through 16. For questions 11, 12, and 16, one leader indicated unk, and for Question 15 there were three unk answers. Appendix A contains the leadership survey designed for this research.

Network B Analysis

While this case study was not designed to be a comparison of the two subject networks, there was a clear contrast that became apparent. The distribution of answers was not as concentrated. Network B's distribution of answers indicated the presence of actors participating in official capacities as elected, appointed, or public employee officials either as active participant actors or advisors to decision makers. This is to say that, as with Network A, there are roles present in the network with certain legal or professional requirements that cannot be put aside by a given actor without breach of trust (public trust). A less clear (compared to Network A) pattern emerged from the results of the survey. There was representation both in official and unofficial capacities (unofficial representation indicated by Questions 9-16). Network B operates in significant measure on volunteers, and the survey answers indicate that some of the volunteers were participating outside of their paid professional roles, but their professional roles were regulated or at least impacted by authority, compulsion, and constraint that may be an indication of the presence of trust. In no case, it would appear, could any of the actors vested with legal or professional trusts from their respective roles

be lawfully or ethically permitted to put aside authority, compulsion, or constraint. In other words, as with Network A, whether by design or some other cause, Network B has actors (leaders and nonleaders) who carry the potential for democratic legitimacy given these basic ideas that may be used for future research (these are the same three as indicated with Network A). A clear pattern emerged from the results of the survey. There was evidence of representation both in official and unofficial capacities of actors who had legal or professional authorities, compulsions, and constraints.

While the exploration for understanding or explanation of the variance in the answer distribution in Network B's survey was beyond the scope of this research, it was fitting to address the following as a possible area of future research for governance network operations: It is possible that the variation of answers is an indication of an internal communication dynamic of the network. An example of this dynamic was Network B's Question 11 answers. Question 11 asked about the presence of an actor who was admitted to the State Bar as an attorney. Two leaders indicated that, in fact, there was one, three leaders indicated that there was not, and one person did not know if there was an actor present in the network who was also admitted to the State Bar.

The Direct Observations

What follows are summarizations of the direct observations for both networks. Field notes documented the observations. After the observational data were collected, information from the field notes were analyzed using the predicted pattern as a predicate for discovering behavior that may indicate explanatory variables related to the democratic

legitimacy. Particular attention was given to behaviors that could have been directly or indirectly related to accountability, participation, and deliberation. These three considerations are of importance in that they are, as earlier indicated in the literature review, sources of legitimation according to some democratic theory. The sources of legitimation correspond to three broad models or forms of democratic behavior:

- A liberal/constitutional competitive form (accountability)
- An idealistic form (participation), and
- A deliberative form (deliberation, process, and rules)

Network A Summary of Direct Observations

Network A was observed to have a well-established, evident structure with clear leadership vested in particular network actors. This was present at leadership/board meetings, at general network meetings, and at social/public meetings that the network participated in. During the general meetings observed, it was noted that it was ordinary that network actors participated from their official capacities or with their official capacities known or being acknowledged. Observed evidence of network actors' participating in official capacity included network actors wearing of an official uniform, being introduced or addressed by official title (i.e., chief, doctor, officer), or network actors making commitments on behalf of their organizations. In addition to these data that point toward potential anchors for accountability, Network A has an online and virtual presence available to the general public via a website and a social media profile.

Network participation was observed to be relatively open. At meetings and functions, no clear distinction was observed between the welcome and participation of nonnetwork actors. While it was announced on some occasions at meetings that an application and fee were requested to become a network actor, those who had not met either of these parameters were nonetheless welcomed and participated in meetings with ideas and suggestions. On at least one occasion (a general network meeting), a community member from the service area was present, and it was clear that this community member was a recipient of services provided by Network A. It was noted that there were a number of network actors who were representatives or members of the local chamber of commerce; this included the executive director of the chamber of commerce. This appeared to represent a significant nexus of various relationships between the networks' actors.

Network A was observed to function with structured leadership, and the leadership meetings were run by the executive director using a deliberative process, which was understood to be a modified version of Robert's Rules. The leadership used agendas to facilitate the leadership-only meetings as well as the general network meetings. The meetings observed (leadership and general) generally followed the agendas, and in both meeting types, it was clear that the executive director was the functional chair. During leadership meetings observed, decision making was process oriented and every leader was permitted the opportunity to offer input. While deliberation could be characterized as swift, with the agenda prescribing issues and points to be considered, swiftness did not appear to endanger what was clearly a functional

deliberative process. In one leadership meeting, one network actor titled vice-chair discussed the network's status as 501(c)(3) (a designation so-called after the IRS Tax Code recognizing an organization as a nonprofit, public benefit entity). The IRS Tax Code designation discussion was further observed evidence of this network's developing structure and processes.

Network B Summary of Direct Observations

Network B was observed to have an evident and known structure with at least one clear leader. The executive director was present at meetings and events; however, some network activity did occur without the necessity of the executive director's presence. The network employed a gleaning project to assist in its mission of feeding those in need, and much of the gleaning was done by a large cadre of "local foragers." At least one member of the leadership uses the title local forager in observed meetings to refer to him or herself. Outside of meetings that seem to be had out of necessity versus regularity, the network actions were observed to be focused on actions and "doing" in furtherance of the mission and the programs. Leaders' presence at observed events or functions appeared to be only enough to start or maintain the event and as guidance. That is to say, that while the leadership influence was clear, it was slightly more obvious in leadership meetings compared to events. Titles were not focused on, and structure may have been characterized as sufficient to provide mobility without an obvious tendency toward more structure; however, exploration of this dynamic for explanation was beyond the scope of this research.

The events and activities of Network B were attended by actors apparently based on the type of event. That is to say that while welcomed, those actors who participated in gleaning activities were not necessarily ordinary attendees of other events such as food swaps. Nonetheless, actor participation appeared to be broad and what may contribute to this is the network's practice of publishing its organizational calendar on the official website. The network itself was observed to be open to participation by the average community member.

The network was observed to have a clear leader who functions independent of the formal organization that serves as its enabling or parent organization. The leader (executive director) appeared to function in the role most obviously during leadership meetings, and to a lesser extent at network events, which is consistent with the leadership's practice of emphasizing the mission and not particular roles. Meetings are functional and each leader observed appeared to have equal standing in status and input.

During one event (a food-swap), participants (including the researcher) were, as a condition to participate, to sign a "hold harmless" release. This document was required as a method of complying with health regulations that would ordinarily restrict the exchange or service of homemade or home-grown foods.

Summary Analysis of Observations

The observations contributed to this research at a lesser level than anticipated. There were some relevant findings upon analysis, nonetheless.

Both networks operated or exhibited network behavior that may be able to be anchored to models of democracy by way of treating some of the operations or network behaviors as legitimating variables consistent with the emphases of each of the three earlier-mentioned models of democracy. When distilled, the following observed behaviors may be considered as potential sources of democratic legitimacy or at least factors to be considered in theory building:

- Presence of an organizational structure (including the presence of a clear leader or leadership)
- Actors present and participating in their professional/official capacities
- Avenues for members of the community to participate or become aware of the network
- Presence of members of the general community at meetings or events
- Some form of enabling document (recognition by a governmental or established nonprofit entity)
- Ordered meetings with decision making done with some form of deliberation and mindfulness of those in the service area

The above observations were made in each of the networks. In substance, the following demonstrates how these were derived from the observations.

- Presence of an organizational structure: Both networks were directly observed to have what can be viewed as an organizational chain. This was demonstrated by the La Habra Collaborative and its use of title such as chair (memorialized in meeting agendas, oral introductions in public forum, and the network's website). The OC

Food Access Coalition demonstrated this dynamic in a formal organizational chart that not only includes the network leadership, but the lines from its enabling organization. Moreover, during both network internal meetings and public operations, both networks have a particular (chair for the La Habra network and the executive director for the OC Food Access Coalition) actor who acts to facilitate events/meetings. These observations were found to be consistent with Klijn and Ebelenbos's (2012) ideas on deliberative forms of democracy.

- Actors present and participating in their professional/official capacities: While more obvious in the La Habra network, both networks had actors whose professional roles were clearly understood and acknowledged by other actors. The La Habra network was observed to have the local police chief, the local elected, and doctors present. Their titles and roles appeared to be acknowledged by other actors with the use of formal titles (in addition, some actors wore official government uniform or insignia). The OC Food Access Coalition demonstrated this to a much lesser extent during a public-speaking event at which the speaker's role was acknowledged; however, consistent with this network's practice of deemphasizing titles, this dynamic's observation was to a much lesser degree compared to the La Habra network. These observations were found to be consistent with Cendón's (1999) ideas on political responsibility as accountability.
- Avenues for members of the community to participate or become aware of the network: Both networks were observed to have websites that explicitly indicated leaders, contact information, and calendars indicating date, time, and location of

meetings. The La Habra network in particular used existing community communication avenues (chamber of commerce, school representatives, and parks and recreation personnel) to advertise meetings and events. In addition, both networks were observed as having social network presence. These observations were found to be consistent with Klijn and Edelenbos's (2012) ideas on idealistic democracies and their emphasis on avenues of participation for the general public (what has been discussed by this researcher as voice).

- Presence of members of the general community at meetings or events: Both networks were observed as inviting or obliging members from the community at meetings even when unexpected in advance. In particular, the La Habra network at one meeting had a member of the public who was invited into the meeting, and permitted to voice comments and ideas although not a member of the collaborative (this network, as a form of order keeping, has an application process, although there is no indication that applicants have ever been denied). The OC Food Access Coalition's gleaning program is a strong indication that members of the general public have an opportunity to participate. In addition, the OC Food Access Coalition was observed as hosting events open to the public with the only process required to participate being a sign-in sheet. These observations were found to be consistent with Klijn and Edelenbos's (2012) ideas on idealistic democracies and their emphasis on avenues of participation for the general public (what has been discussed by this researcher as voice).
- Some form of enabling document: Both networks demonstrated anchorage to some enabling dynamic. The La Habra network, at the time of this investigation was

seeking 501(c)(3) status, while the OC Food Access Network demonstrated documentation placing the network as a financially sponsored program of OneOC, a 501(c)(3). These observations were found to be consistent with Cendón's (1999) ideas on political accountability. It should be noted for future exploration that this dynamic may also be consistent with Beetham's (2013) ideas on conformity to rule of law.

- Ordered meetings with decision-making done with some form of deliberation and mindfulness of those in the service area: Both networks were observed utilizing orderly meetings (a modified version of Robert's Rules of Order is used by the La Habra network). Both networks made use of agendas and were observed to have engaged in discussion among leaders on topics related to their respective missions. Both networks had, as significant parts of their conversation, the community members served and community needs connected to their respective missions. These observations were found to be consistent with Klijn and Edelenbos' (2012) ideas on deliberative models of democracy with the emphasis on good and deliberate process.

These observations serve, at this point, as potential variables to be explored and tested—for instance, collaborative networks that are enabled by another organization or some legislative or legal means will have enabling documents that can be observed and counted. Observing community events that can be counted and recorded may or may not show the engagement of at-large community members. Leadership can be surveyed to determine what roles some actors may bring to their network involvement, and organizational structure can be witnessed either in person or by way of survey. These are derived from the application of the lens created by democratic theory. Specifically, ideas

about deliberative democracies focus on intentional process, as with ordered meetings with a chair, or clear deliberation before decision making. Also the ideas of idealistic democracies help derive the presence of avenues for community participation, while the presence of a clear leader is consistent with the emphasis of accountability as in a liberal/constitutional competitive form of democracy.

Documents

A number of documents were collected during the research from both networks. These documents were used to assist in the analysis of what was being observed and what was being reported by the leaders in the surveys. Figure 16 contains the list of documents for both networks.

NETWORK A	NETWORK B
<ul style="list-style-type: none"> • A printed record of the network's official website • A sample of a leadership meeting agenda • A treasurer's report • A proposed agenda for a working/strategizing meeting • Wiki Article on collective impact used by the network as development resource • Network flyer for Network A's first fundraiser • City of La Habra Strategic Plan: Building healthy community (official government document) • Network A ideas/brainstorming document • 2016 community calendar from the City of La Habra • Information sheet on a potential new network emerging in the city • City of La Habra folder used as network actor meeting packets (official seal displayed) 	<ul style="list-style-type: none"> • An internal information sheet containing information on mission, vision, history of the network, goals, and the organizational structure • A printed record of the network's official website • A copy of an enabling document: Fiscal Sponsorship Agreement describing the nature of the relationship between the network and the Volunteer Center Orange County • A copy of an enabling document: IRS document indicating exempt status under 501(c)(3) of the Tax Code for the Volunteer Center Orange County • A copy of an enabling document: Fiscal Sponsorship Agreement describing the nature of the relationship between the network at One OC (formerly known as the Volunteer Center Orange County). • A food identification tag used at food-swap events used to identify foods, guard against accidental exposure to allergens, and to facilitate bartering • A copy of an information sheet from One OC comparing Fiscal Partnerships with other nonprofit options.

Figure 16. List of collected documents as evidence (Networks A & B).

Summary

Appropriate understanding of what has been analyzed via survey and direct observation requires a synthesis of Cendón's (1999) accountability constructs and Klijn and Edelenbos's (2012) models/types of democracies. As discussed earlier in this work, based on the literature it was proposed through theoretical propositions that it is necessary to be able to trace democratic anchorage of organizations of actors (in this case collaborative networks), that collaborative networks should be subject to some assessment or scrutiny, and that there must be a way to observe for hypothesis building what variables or factors may be legitimating (legitimizing) collaborative networks. To this end, the research question is restated here: How can collaborative networks demonstrate democratic accountability and legitimacy?

What follows is an important summary of what was gleaned from applying Cendón's (1999) constructs and Klijn and Edelenbos' (2012) models/types to the surveys and the direct observations. In other words, for the purposes of this exploratory case study (and potential later hypothesis building and testing) ideas on accountability, which were derived from the literature (in particular Cendón [1999] and Klijn & Edelenbos [2012]) and synthesized to create domains into which survey and observation data can be placed as a tool for understanding where legitimacy may be derived for the networks. The constructs and models/types were synthesized to create domains of legitimacy to which criteria (from the survey and direct observations) were attached. Table 4 depicts this summarization.

Table 4

Engaging the Data With Constructs of Accountability and Democracy

	Criteria	Network A	Network B
Domain 1: Political Accountability (Cendón, 1999)	<p>Presence of actors with understanding of rule of law (Surveyed).</p> <p>Presence of actors acting in an official or professional capacities (Observed)</p> <p>Some form of enabling document (Observed).</p>	<p>Leaders reported the presence of members of law enforcement or lawyers.</p> <p>Leaders reported the presence of actors holding teaching or counseling credentials.</p> <p>Leaders observed to have sought 501(c)(3) status.</p>	<p>Leaders reported the presence of actors holding teaching or counseling credentials.</p> <p>Leaders presented enabling contract/fiscal sponsorship agreement with OneOC, a 501(c)(3).</p>
Domain 2: Democratic accountability (Cendón, 1999)	<p>Presence of elected or appointed officials as actors (Surveyed)</p> <p>Presence of delegate for elected/appointed officials (Surveyed).</p>	<p>Leaders reported the presence of elected or appointed officials.</p> <p>Actors with official roles or professional roles observed acknowledging roles (use of titles including “chief, or doctor.”)</p>	<p>Leaders reported the presence of elected or appointed officials.</p>
Domain 3: Open to community participation (Klijn & Edelenbos, 2012)	<p>Practice of regular notice to the public (Observed).</p> <p>Practice of regular open forum (Observed).</p> <p>Avenues for community participation of to become aware of the network activities (Observed).</p> <p>Presence of members of the community at general meetings (Observed).</p>	<p>Artifacts including meeting agendas, website and social media sites observed.</p> <p>Members of the community (nonactors) observed at meetings observing and voicing ideas.</p> <p>Meetings dates are advised via internet, chamber of commerce, and actors from schools, police department, and parks & recreation.</p>	<p>Artifacts including meeting agendas and websites were observed as publishing full calendar of meetings and events.</p> <p>Members of the community (nonactors) observed at meetings observing and participating in activities.</p>
Domain 4: Presence of process and deliberation (Klijn & Edelenbos, 2012)	<p>Presence of agreed upon process of decision-making (Observed).</p> <p>Presence of organizational structure (Observed).</p> <p>Ordered meetings with decision-making done with due deliberation (Observed).</p>	<p>Leadership meetings observed to run using agendas, and a modified Robert’s Rules.</p> <p>Large community meetings are open to the community, but ordered and chaired by a network leader.</p> <p>Leadership observed to accept input/comments from all members present at a meeting.</p>	<p>Network observed using existing process/legal mechanisms to enable events (“Hold Harmless” waivers).</p> <p>Network observed to host leadership meetings using agendas.</p>

In summary, the use of the survey with leadership and the observations as biopic tools, what was found was with the two collaborative networks was that hypothesis building about the democratic legitimacy of collaborative networks may need to begin with the roles that the actors play or have not, simply within the network itself, but independent of their network participation. Roles may include those of an elected, appointed, or delegate of an elected or appointed official, those of an appointed public employee, or a professional role in society including credentialed educator, member of the State Bar, those with peace officer status, or those licensed through a board such as a medical board or board of behavioral science. Moreover, hypothesis building should consider factors such as enabling documents (agreements, charters, for example), the manner in which meetings are conducted, the avenues available to the community to understand the behavior/function of the network and/or to participate or give feedback. These observations serve, at this point, as potential variables to be explored and tested.

CHAPTER VI

CONCLUSIONS AND RECOMMENDATIONS

This chapter presents conclusions and implications of this study framed within the context of the research question and the theoretical propositions, which guided this work. Recommendations for the practitioners and for future research are also addressed. Networked action in the area of public administration is important to study so that theorists, researchers, and practitioners have insight as to the nature, capacities, and legitimacy of collaborative networks, and so that each may proceed with wisdom and best practice in mind. The genesis of this research is found in its research question: How can collaborative networks demonstrate democratic anchorage and legitimacy?

This chapter revisits the purpose of the study, which was designed to concentrate on the research question, and in so doing, start on a trajectory to addressing the problem statement: In an era of increasing network activity in matters traditionally, the purview of public administration, collaborative networks represent a problem at the level of democratic theory underpinning a representative democracy in which services are rendered in the public arena by public organizations controlled by a line of democratic accountability, permitting legitimacy to act; collaborative networks, ostensibly, lack this form of democratic legitimacy, and therefore, constructs of accountability are questionable.

Purpose of the Study

The purpose of this study of networks in public administration (specifically collaborative networks) was to examine and describe the conditions and characteristics of collaborative networks with respect to legitimizing variables that may indicate reasonable acceptance of a form of democratic legitimacy. While studies on the effectiveness and efficiency of networks in public administration continue to demonstrate utility and favor of networks, concerns about the legitimacy of networks is recently becoming a topic of research. This case study research is undertaken for the purpose of furthering the understanding of legitimacy as it relates to networks, and its goal includes demonstrating how legitimating variables may be present in some networks useful for modeling, testing, and determining the democratic anchorage and thus legitimacy of particular networks.

Major Findings

Both Network A and Network B (collaborative networks) indicated the presence of at least one type of the following network actors as participating actively in the network's operations:

- An elected official from a governmental jurisdiction within the network's service area
- An appointed official from a governmental jurisdiction within the network's service area
- A public employee acting as delegate from an elected or appointed official within the network's service area

- A public employee acting in official capacity from within the network's service area, but not as a delegate from an elected or appointed official

Both Network A and Network B (collaborative networks) indicated the presence of at least one type of the following network actors actively advising the network decision makers:

- An elected official from a governmental jurisdiction within the network's service area
- An appointed official from a governmental jurisdiction within the network's service area
- A public employee acting as delegate from an elected or appointed official within the network's service area
- A public employee acting in an official capacity from within the network's service area, but not as a delegate from an elected or appointed official

Both Network A and Network B (collaborative networks) indicated the presence of at least one type of the following network actors as participating actively in the network's operations:

- An actor holding a State of California teaching credential
- An actor admitted to the State Bar of California
- An actor who holds State of California Peace Officer status (active or retired)
- An actor who holds a current license issued by the California Board of Behavioral Sciences

Both Network A and Network B (collaborative networks) indicated the presence of at least one type of the following network actors actively advising the network decision makers:

- An actor holding a State of California teaching credential
- An actor admitted to the State Bar of California
- An actor who holds State of California Peace Officer status (active or retired)
- An actor who holds a current license issued by the California Board of Behavioral Sciences

Of importance with these findings is that their professional roles are regulated or at least impacted by authority, compulsion, and constraint, which may be an indication of the presence of trust. In no case can any of the actors vested with the legal or professional trust from their respective roles be lawfully or ethically permitted to put aside authority, compulsion, or constraint. In other words, Network A and Network B, whether by design or some other cause has actors (leaders and nonleaders) who carry the potential for democratic legitimacy given these basic ideas, which may be used for future research:

- Participation in the network and its activities would be expected to not place the actor in contradiction to ethical, professional, or legal obligations,
- presence and sustained participation would, by association, carry the individual's legal or professional invested trust into the network and may be construed to be a resource being used in the furtherance of the network mission or vision, and

- while there may be no network process for compelling behavior to conform to public trust or to ensure actions are legitimate, actors who are vested with trust from their primary roles would be expected to maintain consistency between their networks functions and their roles. In other words, the actor may have obligations that supersede or exist beyond network functions or roles.

The direct observational data appear to indicate that political accountability, voice, and due deliberation, three phrases that summarize Klijn and Edelenbos's (2012) descriptions of three models of democracy, are present in Networks A and B. The collected artifacts support these key findings. Considering the theoretical propositions, Networks A and B appear to have factors that may be considered legitimating variables or factors (factors of legitimation), specifically the presence of certain network actors as discussed. Whether by design or otherwise, the presence of certain network actors, certain network behaviors, and in some cases, the use of legal mechanisms, such as a contract, appear to offer reason for trust in these networks' activities. In the case of the two networks' studies, there were observables that permitted an assessment of democratic legitimacy. In other words, in the absence of prima facie cause for public trust and democratic legitimacy, Networks A and B are anchored by certain actors and behaviors to principles of democratic legitimacy (or democratically anchored).

The research question, theoretical propositions (props.), and major findings are summarized as a way to understand how this research contributes to hypothesis building (see Figure 17):

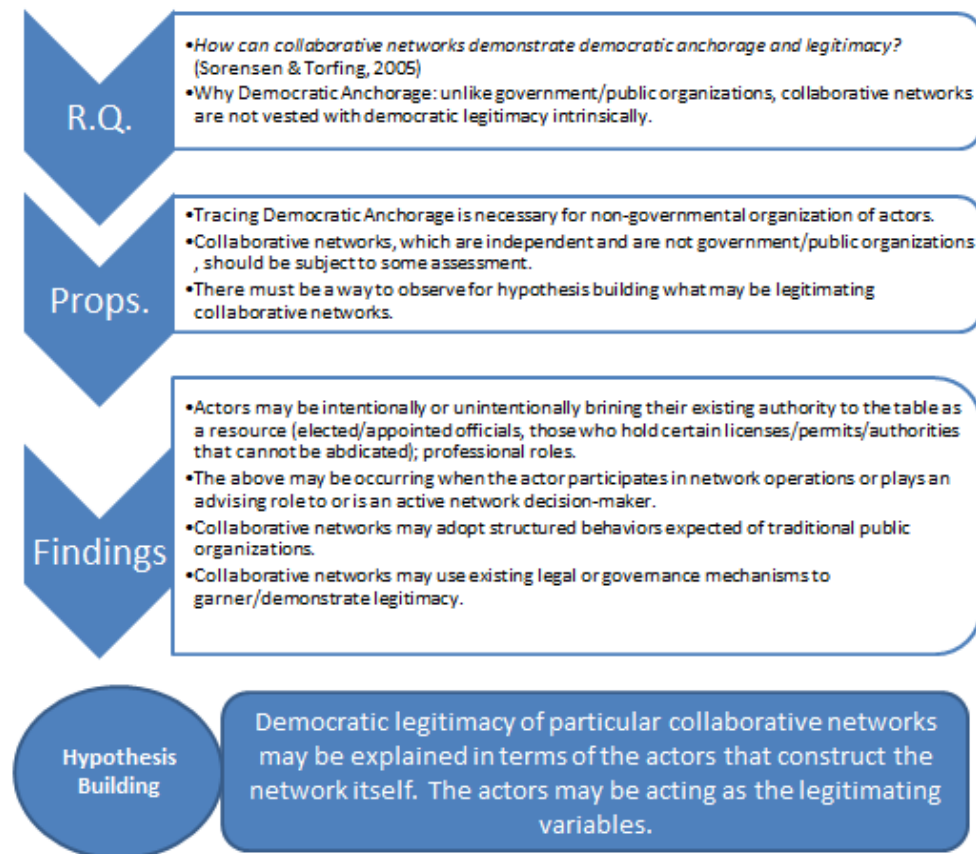


Figure 17. From research question to hypothesis building.

Implications

Prior to indicating implications for the research question, and the subject collaborative networks, a comment on implications of this study for the concept of democratic anchorage belonging to Sørensen and Torfing (2005a), and microlevel and macrolevel actors belonging to Koliba et al. (2011) are in order. In essence, the idea of democratic anchorage means that a phenomenon is consistent with democratic norms of a society in which the phenomenon is placed (in the case of this study, the phenomenon is a collaborative network, and the placement is in a municipal jurisdiction within a

democratic republic). Sørensen and Torfing (2005a) pointed out that the term “anchorage” means to indicate that the connection to democratic norms is not intrinsic or obvious. In short, democratic anchorage makes use of the form and function of a network in order to construe or understand democratic legitimacy. This study represents an application and is resonant with existing theory. In order to carry out this research, understanding actors who constitute the subject networks required resonance with the ideas of a single actor participating (microlevel) such as an elected official and multiple actors from a group or organization (macrolevel) such as when a public organization has representatives rotate their participation or do so concurrently. While actors of the networks studied here were considered primarily as microlevel actors, the implications may suit studies that assess networks that are wholly or partially comprised of macrolevel actors (this may be addressed in future studies).

Before a testing can be done in the area of democratic legitimacy of collaborative networks (and networks at large in public administration), there must be sufficient basis upon which hypotheses may be built. The results and analysis of this research data point to some ideas and implications to assist in hypothesis building. The implications for hypothesis building include the following:

- Collaborative networks may be found to be democratically anchored by way of their actors who select to participate. Anchored to principles of democracy, a particular collaborative network may be said to be democratically legitimate (the actors and their roles come with certain responsibilities or requirements).

- Democratic anchorage resulting in democratic legitimacy may be a function of the active participation and/or advisory roles of some actors who are government officials (elected or appointed), acting in official or unofficial capacities (mayors, city councilpersons, commissioners, city managers, and other public employees).
- Democratic anchorage resulting in democratic legitimacy may be a function of the active participation and/or advisory roles of some actors who occupy certain professional roles regulated by law and/or professional ethical requirements (attorneys, doctors, peace officers, clinicians, and educators for instance).
- Collaborative networks may be found to have adopted organizational behaviors or practices which provide a level of accountability and legitimacy (order deliberative processes, use of existing legal mechanisms to create or facilitate legal provision /standing such as 501(c)(3) statute or financial contracts as an alternative to traditional corporate formation methods).

Both Networks A and B have in their networks actors in leadership (or equivalent groups), and in general participative group(s) who are elected or appointed officials, public employees, or who have professional roles that have certain responsibilities and requirements that cannot be put aside. Hypothesis building regarding democratic legitimacy of collaborative networks may be facilitated by considering primary roles of actors and what those roles require of the actor by way of professional or legal accountability constructs. This hypothesis building will essentially be predicated on the following:

- Certain professional requirements are legally or ethically mandatory and cannot be relinquished without legal or ethical breaches.
- In certain governmental roles there resides public trust and the actor with or without intent introduces the presence of public trust by association.
- Actors who occupy certain professional and governmental roles are not likely to engage or maintain active in a collaborative network that may imperil professional, ethical, or legal standing.
- Actors who occupy certain professional and governmental roles may have legal or ethical requirements, which present a de facto accountability mechanism.

In short, assessing certain actors and their professional, civic, and non-network-related standings may account for why some collaborative networks enjoy a near automatic level of democratic legitimacy. It should be noted that while formalization of network ties into a structure similar to or that will become a traditionally formed organization was beyond the scope of this research; it was observed that Network A may be on a trajectory of structuring into a more formal organization and less a network. The “why” and “how” of that Network A dynamic represents an unexpected dynamic.

The question of how collaborative networks demonstrate democratic anchorage and legitimacy will be subject to further inquiry by researchers, including the researcher of this present project. In response to the research question, these findings allow the following hypothesis: Individual actors mediate democratic legitimacy in collaborative networks, and therefore collaborative networks demonstrate democratic anchorage and

legitimacy via the participation of network actors who are vested with public trust or authority/mandate to act.

Recommendations for Practitioners

Based on the study findings predicated on the leadership surveys, observations, and a review of artifacts, a number of recommendations for practitioners are presented here for consideration.

Network A appears to be a highly developed and structured organization of actors. This collaborative network appears to be formalizing away from what constitutes a network and toward a traditionally formed organizational structure. Indications of this include the seeking and acquiring of 501(c)(3) status, the increased use of a standard governance model, such as a formal board of directors, including titles and the presence of a strong corporate structure (these observations are predicated on the direct observation data, and review of the artifacts). This movement away from a network behavior is not a negative change for Network A particularly if this is by design. The leadership of this network is recommended to seek ways to identify the beneficial behaviors and ideas from functioning as a network in order to maintain them if/when it develops into a traditional nonprofit organization. The presence of network behavior may stave off the adoption of rigidity, and unnecessarily complicated processes/systems that often characterize traditionally formed organizations (including nonprofits).

While this is not a comparative analysis, it is a worthy comment that in contrast to Network A, Network B functions with well-established and (as far as the scope of this

research allowed for analysis) persistent network behavior. In fact, one of the only survey answer anomalies (a “no” answer when all else answered “yes”) may indicate a gap in the salience of knowledge of certain facts about the network. In other words, while most actors acknowledge the presence of a specific profession as actor, one indicated no knowledge of the presence of the actor. While this may be viewed as problematic, this researcher posits that this may be evidence of adopted network behavior. In short, collaborative networks that may be described as less formal may be susceptible to communication gaps or knowledge gaps.

Recommendations for public administrators who are involved in or are considering participation in collaborative networks are indicated here as areas of awareness or consideration:

- When considering participation in an existing collaborative network, inquiries into what and who constitutes a leadership or steering team are appropriate.
- When considering participation in an existing collaborative network, an understanding of the collaborative network’s expectations of the public administrator’s use of authority or organizational resources should be understood.
- Collaborative networks may be new to some public administrators particularly to those who are in regions only recently experiencing an emergence of networked activity to address social/community issues. Public administrators are encouraged that while collaborative networks function in ways unusual to traditionally formed public organizations, they may be considered effective and efficient methods of delivery of services or discovering solutions/mitigation alternatives.

Recommendations for Future Research

Further recommendations for research are to be heeded for the elaboration of this work by the original researcher and others. These include the differentiation between legitimacies and what is being measured. By legitimacies, what is meant is either legal-rational legitimacy or perceived legitimacy; both of these have ramifications for the measuring or assessment of any actor as legitimating/legitimizing variable or factor. It is recommended that research embark on either conceptualizing legitimacy from the legal-rational perspective such as what the aim of this work was. Legal-rational legitimacy requires the perspective of enabling statutes, documents, or agreements. Legal-rational legitimacy recognizes the duty and responsibility that roles in a given society bring with the actors who have the role, whether they are elected, appointed, sworn peace officers, licensed or credentialed members of the teaching, counseling, or legal professions, from the legal-rational perspective their responsibility to be accountable is placed upon them. Contrasting legal-rational from the idea of perceived legitimacy, researchers may pursue further research into an actor's perception of self in a network, the network leadership's perception of the actor, or the community's perception of the actor as a legitimating/legitimizing variable. Either line of research is appropriate with the caveat of declaring one's intention/perspective working with legitimacy in research.

As it was for Rohr's (1986) discussion and deliberation on the legitimacy and substantiation of the administrative state, so it may be time to consider and deliberate deeper on the questions of how a phenomenon, which is absent an expressed authority, in

this case collaborative networks, has, attains, accepts, and maintains some semblance of legitimacy to act and provide services, ordinarily the purview of a public organization.

It is beyond the scope of this research to postulate on intentionality in network construction, but it is recommended that future research explore how one crafts network composition and its relationship to intentionally building in democratic legitimacy.

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APPENDICES

APPENDIX A
LEADERSHIP SURVEY

Network Democratic Legitimacy Leadership Survey

Thank you for participating in this research. Networks in our communities are providing important and often times critical goods and services and merit research and understanding. This survey will focus on components of Democratic Legitimacy of Collaborative Networks.

Collaborative Networks are networks that provide goods or services to the public or any goods or services that may be understood to be public or of public value. Networks are a collection of actors (individuals or organizations) tied together by resources (monetary, relational, social).

The goal of this survey is to identify certain characteristics or qualities of networks that will assist in identifying and understanding Democratic Legitimacy. Your participation is appreciated, and by agreement with your network's contact with the researcher, your network will benefit from this study upon its completion by way of a briefing of findings with Q&A opportunity. The researcher also agrees to two hours of consultation with one lead/executive director or their designee for purposes of group/team/network development. All responses are voluntary and will be kept confidential in accordance to the study protocol, university regulations, and applicable law.

Please answer the questions to the best of your personal knowledge while attempting to keep from abstaining from answering.

For Q1-Q8: an elected official is any public official duly elected to a public office in any regularly held election. An appointed official is any public official duly appointed (for example: commissioners, or officials appointed to occupy an ordinarily elected seat that became vacant). A delegate means any person formally assigned or delegated by a duly elected or appointed public official to participate in the network. A public employee is any person employed by a government agency that is hired by ordinary public hiring processes at the local, county, state, or federal level (for example: police officer, parks and recreations leader/staff, public librarian). You are to include/consider your own role when answering these questions.

Q1	In my network, there is at least one elected official from a governmental jurisdiction within our service area actively participating in our operations.	Circle one →	YES	NO	UNK	
Q2	In my network, there is at least one elected official from a governmental jurisdiction within our service area actively	Circle one →	YES	NO	UNK	

	advising network decision-makers.				
Q3	In my network, there is at least one appointed official from a governmental jurisdiction within our service area actively participating in our operations.	Circle one →	YES	NO	UNK
Q4	In my network, there is at least one appointed official from a governmental jurisdiction within our service area actively advising network decision-makers.	Circle one →	YES	NO	UNK
Q5	In my network, there is at least one public employee acting as delegate of an elected or appointed official from a governmental jurisdiction within our service area actively participating in our operations.	Circle one →	YES	NO	UNK
Q6	In my network, there is at least one public employee acting as delegate of an elected or appointed official from a governmental jurisdiction within our service area actively advising network decision-makers.	Circle one →	YES	NO	UNK
Q7	In my network, there is at least one public employee acting in official capacity (but is not a delegate of an	Circle one →	YES	NO	UNK

	elected or appointed official) from a governmental jurisdiction within our service area actively participating in our operations.				
Q8	In my network, there is at least one public employee acting in official capacity (but is not a delegate of an elected or appointed official) from a governmental jurisdiction within our service area actively advising network decision-makers.	Circle one →	YES	NO	UNK

For Q9-Q14: these questions are asking about individuals who are not acting in official/formal capacity (as delegate of an elected or appointed official), but occupy the roles indicated in the question). You are to include/consider your own role when answering these questions.

Q9	In my network, there is at least one currently credentialed educator in the State of California actively participating in our operations.	Circle one →	YES	NO	UNK
Q10	In my network, there is at least one currently credentialed educator in the State of California actively advising network decision-makers.	Circle one →	YES	NO	UNK
Q11	In my network, there is at least one actor who is admitted to the California State Bar participating in our operations.	Circle one →	YES	NO	UNK

Q12	In my network, there is at least one actor who is admitted to the California State Bar advising network decision-makers.	Circle one →	YES	NO	UNK	
Q13	In my network, there is at least one active or retired peace officer participating in operations.	Circle one →	YES	NO	UNK	
Q14	In my network, there is at least one active or retired peace officer actively advising network decision-makers.	Circle one →	YES	NO	UNK	
Q15	In my network, there is at least one actor who holds a current license issue by the California Board of Behavioral Sciences participating in operations.	Circle one →	YES	NO	UNK	
Q16	In my network, there is at least one actor who holds a current license issue by the California Board of Behavioral Sciences who actively advises network decision-makers.	Circle one →	YES	NO	UNK	
<i>Q17-Q25 are concerned with survey participants (demographic information)</i>						
Q17	Which designation/classification best describes you?		Paid Staff	Unpaid Staff (volunteer)		

Q18	What is your formal title?	→				
Q19	How long have you held role/title in Q18? (in years/mos.)	→	Years		Months	
Q20	Did you participate in the network before your current role?		YES	NO	<i>If "NO" please skip Q21 and Q23</i>	
Q21	You answered "YES" to Q20: Before your current role, which designation/classification best described you?		Paid Staff	Unpaid Staff (volunteer)		
Q22	You answered "YES" to Q20: Before your current role, what was your title/role?	→				
Q23	How long did you hold role/title in Q22? (in years/mos.)	→	Years		Months	
Q24	Please indicate your highest educational attainment.	Circle one →	H.S. Diploma	A.A./A.S.	B.A./B.S.	Grad/Doc
Q25	Please indicate your age group (in years).	Circle one →	15-20 51-60	21-30 61-70	31-40 71+	41-50

APPENDIX B

NETWORK A'S AGREEMENT TO PARTICIPATE



Sandi Baltes
Executive Director

Barry Ross
Chair

Rebecca French
Vice Chair

Carrie Surich
Secretary

Elaine Friesen
Treasurer

April 24, 2015

Attention David Gonzalez

Dear David:

Thank you for considering our network/organization/collaborative for your study. I am authorized to make agreements and to grant permission on behalf of the La Habra Collaborative, and approve you to conduct your dissertation research (case study) with our network as a subject. I understand that this research will include a survey/questionnaire, direct-observations, and as needed interviews.

Best of luck,

Sandi Baltes
Executive Director
La Habra Collaborative
sandi.fp@gmail.com
www.lhcollab.org

La Habra Collaborative

APPENDIX C

NETWORK B'S AGREEMENT TO PARTICIPATE



April 26, 2015

David Gonzalez
University of La Verne

Dear Mr. Gonzalez,

Thank you for considering our organization for your study. I am authorized to make agreements and to grant permission on behalf of Orange County Food Access Coalition, and approve you to conduct your dissertation research (case study) with our network as a subject. I understand that this research will include a survey/questionnaire, direct-observations, and as needed interviews.

Sincerely,

Christina Hall, Executive Director

APPENDIX D
CONSENT TO PARTICIPATE

CONSENT TO PARTICIPATE IN RESEARCH

NETWORKS IN PUBLIC ADMINISTRATION: SEARCHING FOR DEMOCRATIC LEGITIMACY Dissertation Research Study

You are being asked to participate in a research study conducted by David Gonzalez, M.A. from the College of Business and Public Management at the University of La Verne. The research results from this study will contribute to a doctoral dissertation. You were selected as a possible participant in this study because you involvement in one of the following collaborative networks:

Network A: the La Habra Collaborative

Network B: the Orange County Food Access Coalition

• PURPOSE OF THE STUDY

The purpose of this study of networks in Public Administration (specifically collaborative networks) is to examine and describe the conditions and characteristics of collaborative networks with respect to legitimizing variables that may indicate democratic legitimacy. Concerns about the legitimacy of networks are recently becoming a topic of research. This case study research is undertaken for the purpose of furthering the understanding of legitimacy as it relates to networks and its goal includes demonstrating how legitimating variables may be present in some networks useful for modeling, testing, and determining the Democratic Anchorage and thus legitimacy of particular networks.

Research Question: *How can Collaborative Networks engaged in Public Administration be found to demonstrate evidence or variables of democratic characteristics to indicate the [a] level of Democratic Anchorage as an indication of legitimacy?* Variables include: presence of elected or appointed officials (or their delegate), regular practice of open forum and public notice, a regular practice of due deliberation (a clear deliberative model used for decision making), and the presence of network actors who possess a working knowledge of US Constitutional principles and/or Rule of Law.

• PROCEDURES

If you decide to participate in this study, we will ask you to do the following things:

1. Complete a survey/questionnaire seeking data pertinent to the research question for analysis about the collaborative network you participate in as an actor/leader.
2. Be observed by the researcher(s) during ordinary involvement in networks business/functions including (but not limited to): regular business meetings, regular committee or subcommittee meetings, service delivery points/functions, civic/social events where you may be interacting as or representing your network.
3. Participate in a semi-structured interview one-on-one or group (as appropriate) with the researcher.

The completion of the survey/questionnaire is expected to be done during a regular business meeting or during a specially called meeting as your network director sees fit and will take no more than 25 minutes to complete. This portion of the study will take place during a one week period, unless the network's business schedule requires otherwise.

Direct-observations will be made in as inconspicuous a manner as possible by the researcher(s) and there is little to no interruption the network's ordinary business expected. Observations will not include electronic recording.

The semi-structured interviews are intended to permit the researcher to gain elaboration or clarification of data received or perceived during the first two methods of data-gathering. Interviews will not be recorded electronically.

- **POTENTIAL RISKS AND DISCOMFORTS**

There is little to no expected discomfort or psychological risk associated with participating in this study.

- **POTENTIAL BENEFITS TO PARTICIPANTS AND/OR TO SOCIETY**

Participants who are subject to the three methods (survey/questionnaire, direct-observations, and the semi-structured interviews) are not anticipated to enjoy any specific immediate benefit from their participation.

The field of Public Administration, society, and the participant's network will enjoy the following benefits:

- *Elaboration of existing knowledge on networks*
- *The observation and explication of constructs that have not been well delineated in the Public Administration literature regarding democratic legitimacy of networks (this work may describe variables and factors that may permit further quantitative research).*

- *A summary understanding of how the subject-networks are functioning with regard to legitimacy and accountability (which may permit the future construct of evaluative models).*

- **PAYMENT FOR PARTICIPATION**

There will be no payment for participation.

- **CONFIDENTIALITY**

Any information that is obtained in connection with this study and that can be identified with you will remain confidential and will be disclosed only with your permission or as required by law. Confidentiality will be maintained by means of assignment of identification numbers to surveys/questionnaires. Where, for follow-up purposes, field notes requiring tagging or marking of identification by certain notes, color of shirt or top vestments will be used so that researcher(s) may readily identify for follow up later at the same meeting. In the event that noting the color of shirt/top vestment is insufficient for differentiation from the group, a first and/or last name will be noted in field notes which will be unreleased and maintained by the researcher. Names, even if noted, will not be published in the final research study documents. Notes from semi-structured interviews will also not have names, but roles or titles.

All documents associated with this study will remain the property of the researcher, and they will be secured under lock and key at the researcher's primary office.

Information contained in the researcher file may only be shared if compelled by law, warrant or subpoena.

- **PARTICIPATION AND WITHDRAWAL**

You can choose whether to be in this study or not. If you volunteer to be in this study, you may withdraw at any time without consequences of any kind. You may also refuse to answer any questions you don't want to answer and still remain in the study. The investigator may withdraw you from this research if circumstances arise which warrant doing so.

- **IDENTIFICATION OF INVESTIGATORS**

If you have any questions or concerns about the research, please feel free to contact:

Principal Investigator: David Gonzalez, M.A., at 562-480-1885 or david.gonzalez3@laverne.edu

Faculty Advisor: Dr. Jack Meek, at jmeek@laverne.edu

• **RIGHTS OF RESEARCH PARTICIPANTS**

You may withdraw your consent at any time and discontinue participation without penalty. You are not waiving any legal claims, rights or remedies because of your participation in this research study. If you have questions regarding your rights as a research participant, contact Marcia L. Godwin, Ph.D., IRB Director, at 909-593-3511, extension 4103, (mgodwin@laverne.edu). University of La Verne, Institutional Review Board, 1950 Third Street, CBPM 123, La Verne, CA 91750.

SIGNATURE OF RESEARCH PARTICIPANT OR LEGAL REPRESENTATIVE

I understand the procedures described above. My questions have been answered to my satisfaction, and I agree to participate in this study. I have been given a copy of this form.

Printed Name of Participant

Printed Name of Legal Representative (if applicable)

Signature of Participant or Legal Representative

Date

SIGNATURE OF INVESTIGATOR (If required by the IRB)

In my judgment the participant is voluntarily and knowingly giving informed consent and possesses the legal capacity to give informed consent to participate in this research study.

Signature of Investigator

Date

APPENDIX E

DUE NOTICE: DIRECT OBSERVATIONS

DUE NOTICE: YOU MAY BE OBSERVED

NETWORKS IN PUBLIC ADMINISTRATION: SEARCHING FOR DEMOCRATIC LEGITIMACY

The meeting, function, social/civic event you are about to participate in or are already participating in is the subject of a research study undertaken by Principal Researcher David Gonzalez, M.A. (doctoral candidate). This study is part of a dissertation research plan.

The researcher(s) will be present for the entire duration of the meeting, function, social/civic event or any portion deemed necessary to fulfill the study requirements. Field notes will be taken and will remain confidential unless otherwise compelled by law. All files, notes, documents and artifacts that become part of the researcher file will remain the property of the researcher and will be kept under lock and key at the researcher's primary office.

- **PURPOSE OF THE STUDY**

The purpose of this study of networks in Public Administration (specifically collaborative networks) is to examine and describe the conditions and characteristics of collaborative networks with respect to legitimizing variables that may indicate democratic legitimacy. Concerns about the legitimacy of networks are recently becoming a topic of research. This case study research is undertaken for the purpose of furthering the understanding of legitimacy as it relates to networks and its goal includes demonstrating how legitimating variables may be present in some networks useful for modeling, testing, and determining the Democratic Anchorage and thus legitimacy of particular networks

- **PROCEDURES**

Researcher's will maintain as inconspicuous as practical, but may move about to gain understanding, change perspective, or accommodate hearing or the network's convenience.

- **POTENTIAL RISKS AND DISCOMFORTS**

None to minimal

- **IDENTIFICATION OF INVESTIGATORS**

If you have any questions or concerns about the research, please feel free to contact:

David Gonzalez, M.A. 562-480-1885 or david.gonzalez3@laverne.edu

APPENDIX F
IRB APPROVAL



University of La Verne
Institutional Review Board

TO: David Gonzalez, Doctor of Public Administration Program

FROM: University of La Verne, Institutional Review Board

RE: **2015-CEOL-08, Networks in Public Administration: Searching for Democratic Legitimacy**

The dissertation research project, cited above, was reviewed by the College of Business and Public Management Institutional Review Board (IRB) and University of La Verne (ULV) IRB Committees. The college review determined that the research activity has minimal risk to human participants and the application received an Expedited Review. The application was approved with no additional conditions.

A copy of this approval letter is required to be included as an appendix to your completed dissertation. The project may proceed to completion, or until the date of expiration of IRB approval, 5/8/2016. Please note the following conditions applied to all IRB submissions:

No new participants may be enrolled beyond the expiration date without IRB approval of an extension.

The IRB expects to receive notification of the completion of this project, or a request for extension within two weeks of the approval expiration date, whichever date comes earlier.

The IRB expects to receive prompt notice of any proposed changes to the protocol, informed consent forms, or participant recruitment materials. No additional participants may be enrolled in the research without approval of the amended items.

The IRB expects to receive prompt notice of any adverse event involving human participants in this research.

There are no further conditions placed on this approval.

The IRB wishes to extend to you its best wishes for a successful research endeavor. If you have any questions, please do not hesitate to contact me.

Sarah L. Dunn, Ph.D.

5/8/2015

Approval Signature

IRB Director/Chair

Date

For the Protection of Human Participants in Research
Contact: email irb@laverne.edu or phone (909) 448-4756
ULV IRB Website: laverne.edu/irb