

Inter-local collaboration mechanism in Korea and Institutional collective action framework

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Research Background



- Regional Collaborative Governance is popular in both academic area and real world.
- As Increasing complexity and democracy in local governance, it require new public service delivery mechanism to be more effective, and efficient.
- Metropolitan area emerge the research laboratory for collaborative governance as changing main focus and locus of local government and urban politics studies from cities to metropolitan or regions' administration and policy.
- People's interest have been changing from 'who governs in cities' to 'how to governs in local government.
- *We can find various mechanism and institution for policy and service deliver y and also find there are many failure and success.*

Research Background



- Therefore New research models or frameworks are required to explain or understand emerging new collaborative mechanism and dilemmas.
 - Feiock and his colleagues have been studying and suggesting Institutional collective action dilemmas and mechanism based on Fragmented U.S metropolitan researches.
 - We can find similar dilemmas and collaborative mechanism in other countries even if they are not fragmented or have an authorized metropolitan government system or size of local government is too big.
 - But U.S is somewhat different local government system and degree of fragmentation from Korea. Both are 3 tiers system but Korea local government system is less decentralized system.
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Research Goals



- Exploring what kinds of collaborative mechanism performing in Korea according to Feiok's model, and
 - Examining his models' generalization in Korea and the other countries as well as U.S.
 - Finding what types of mechanism is well match to be successful under what conditions.
 - Explaining the variation in the adoption of collaborative mechanisms as well as significant influencing factors between USA and Korea
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Literature Review



■ What are Institutional Collective Action(ICA) Dilemmas and frameworks?

- Benefit and cost of Competition and Cooperation
 - Difference between provision and production
 - Each services have different optimal economic of scales
 - Problems of *fragmented authority* that require *integration*
 - *Actors are organizations and two-level collective action games.*
 - *Transaction Cost theories and Transaction Risk*
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Prerequisites of ICA



- Horizontal – boundaries of local governments are too small to achieve scale economies or avoid spillovers
- Vertical – organizations at multiple levels of government pursuing overlapping policy objectives
- Functional – spillovers of across related or unrelated governmental policy arenas and agencies
- Sectoral – Private for-profit and nonprofit organizations contribute to public goods

Literature Review (Cont')



■ *4 solutions*

- Individual Action for production of public service
 - Provision by Contracting-out (Exchange public goods or service)
 - Self-organizing new institutions and delegating power.
 - Upper level govt. Imposed Authority (Special district) or Consolidation
-

Transaction Cost in ICA



- 5 types of transaction cost (Feiock and Park)
 - Information cost
 - Bargaining cost
 - Division cost
 - Agency cost
 - Monitoring and Enforcement cost
-

Collaborative Institutions for Resolving ICA



- ❖ Enforcement Mechanism – “External” Costs
 - Social Embeddedness
 - Contracting/Legal Obligations
 - Delegated Authority

 - ❖ Encompassingness – “Decision” Costs
 - Narrow-single issue/bilateral
 - Intermediate-multilateral
 - Encompassing-complex/collective
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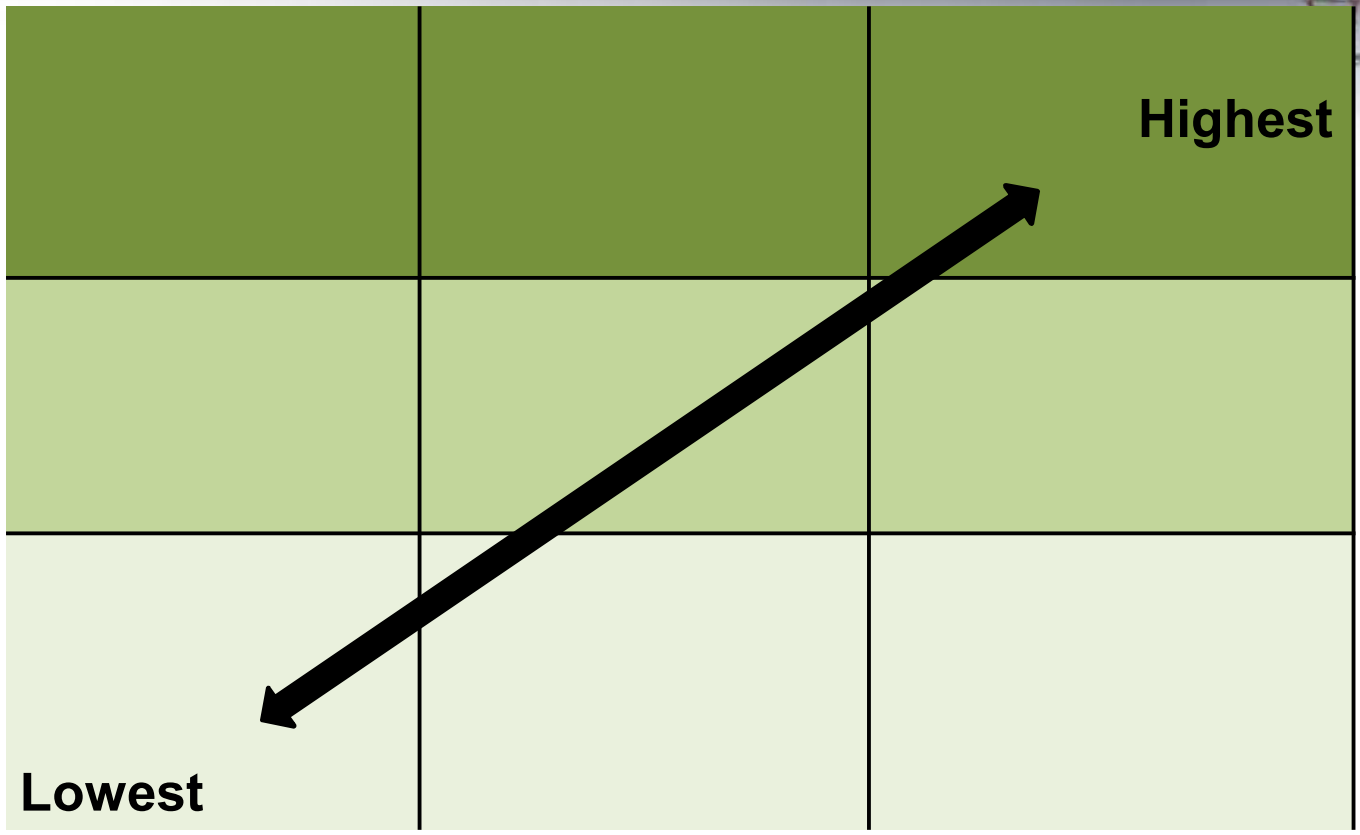
ICA mechanism Matrix & Transaction Cost



Encompassing
Complex/
Collective

Intermediate/
multilateral

Narrow
single issue/
bilateral



Highest

Lowest

Embeddedness

Contracts

Delegated
Authority

Taxonomy of Mitigating Mechanism Choices for ICA Dilemmas in the US



Encompassing Complex/ Collective	Multiplex Self-organizing Systems	Councils of Governments/MP Os	Regional Authorities	Externally Imposed Authority/Annexatio n
Intermediate	Working Groups	Partnerships/ Multilateral ILAs	Multi-Purpose Districts	Managed Network
Narrow single issue/ bilateral	Informal Networks	Service Contracts	Single Purpose Special Districts	Imposed District / Mandated Agreements
	Embeddedness	Contracts	Delegated Authority	Imposed Authority

Understanding Korean Local government systems



- 3 tiers govt.- National-Province(Do)/Metro City(High level)-City or county(Low level-City, Gun, Autonomy-Gu)
- Local governments are divided into high-level and low-level local governments. With the inclusion of Sejong Special Autonomous City in July 2012,
 - the number of high-level local governments was increased to seventeen (i.e. Seoul Special City, six metropolises, eight provinces, and Jeju Special Self-Governing Province).
 - The number of low-level local governments stands at 227 (i.e. si/gun/gu).
 - The heads of local governments and councilors are elected directly on same days in national local government election.
 - The term for local government heads is four years, and they can be reelected for up to three terms.

Fragmented metropolitan?



- ICA dilemmas: Problems of fragmented authority that require *integration*.
- *Not only Korea but also many Asian Countries has two levels of local government system – not exactly fragmented metropolitan area with authorized metropolitan government such as Seoul*
- *Size(population) of local government is bigger than US local government.*
 - *Local Gov. Pop. (Max: 1,174,228 Min. 10,264. average: 227,647 compare to U.S 6,200 persons per local govt.)*
 - *However we can find lots of inter-local collaboration in Korea.*

Institutional diversity (Forms of government)



- US local government has several forms of government.
 - Korea has only one form of local government (Mayor-Council). Forms of government is not main factors of ICA.
 - But there are different types of local government by levels and location (including Metropolitan or Province)
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Self-Organizing?



- Korea National government have made many inter-local collaborative projects.
 - Not self-organizing but organized by national government.
 - National government offer some funds or grants for facilitating collaborative projects.
 - There are some conflicts between provincial (and metropolitan) government and national government.
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Official Inter-local collaboration mechanism in Korea



- 5 mechanisms listed in Korean Local autonomy acts.
- Cooperative Projects (Joint Performance of Affairs)
- Entrustment of Affairs (Inter-local agreement)
- Administrative Consultative Council
- Local Government Associations (If necessary for joint performance of one or more affairs by two or more local governments, they may establish a local government association)
- Consultative Bodies of Heads of Local Governments

Types of Collaboration (2015): Joint Project



Total	Metropolitan Inter-city	Metropolitan city and Province	Inter-province	Central and local governments	
281	178	20	82	1	
(100)	(63.3)	(7.1)	(29.2)	(0.4)	
Total	Water management	Sewage	Waste disposal	Community/Economic development	Administrative function etc.
281	28	22	29	90	112
(100.0)	(10.0)	(10.3)	(10.3)	(32.0)	(39.9)

Types of Interlocal collaboration – by service areas



	Category	Examples of Service
1	Waste disposal	Food waste, Toxic waste, dump site, garbage collection
2	Sewer system	Sewer system
3	Social infrastructures	Roads, bridges, highways, railways
4	Public facilities	Welfare centers, museums, libraries, medical centers
5	Regional economic development	Tourism, co-marketing, innovation, joint ventures
6	R&D and education	Research, urban development planning, labor training
7	International goodwill	Cultural exchange, educational exchange
8	Water and environment management	Clean water management, fishery management
9	Local and regional events	Local and regional festival
10	General administration	Juristical boundary, personnel management
11	Emergency management	Fire, anti-terrorism, wildfire
12	Public transportation	Regional fare system, payment system development

ICA Mechanism in Korea



Encompassing Complex/ Collective	Regional Development Council, , Inter-local Collaboration Association	Regional Administrative Consultative Council (#46)	Consultative Bodies of Heads of Local Governments (#4)	Consolidation & Annexation (City-County Consolidation) (#2/52)
Intermediate	Regional Working Group (Each policy areas)	Functional Administrative Consultative Council(#37)	Local govt. Association Ex) Economic-Free Districts: Regional Development Association.	Multi-Purpose Districts (Regional Construction Mgt.) :Inter-local Road, River, Construction)
Narrow single issue/ bilateral	Welfare Service Network,	*Cooperative Projects (Joint Performance of Affairs)(#398) Water & Sewer Utility Service /Economic partnership. ILA (Fire helicopter, stadium)	Entrustment of Affairs(#50) Water & Sewer Utility Service, HR Education	

Embeddedness

Contracts

Delegated Authority

Imposed Authority

Findings in Korea



- In general, multiple mechanisms of the ICA framework are restricted to be examined or adopted in the Korean contexts.
 - Although the usefulness of the ICA is respected, different contexts can limit the possibilities of its application.
 - It representatively derives from the physical difference of environment such as the size of country and other characteristics including cultural, political, social and economic structures.
 - Nevertheless, it does not mean that the ICA problems cannot be found in Korea.
 - Rather, the type of the ICA dilemmas are skewed in some specific dimensions and regarding to collaborative actions, governmental authority is heavily positioned on the center of it.
 - Also, the operation of local policies still highly relies on the financial aids or legal authority of the national government.
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Finding KOREA CASES



- Political reasons: Elected mayor build sth. and do more projects than their capacity(Financial and HR).
 - Local govt. are wasting budget their on overlapped investment.
 - National govt' worried about defaults of local govt.
 - Local govts' do projects with others and reduce the risk.

 - National governmental-driven policies can reduce the transaction costs, but may increase social cost ultimately
 - National government proposed money to interlocal collaborative project.
 - Local government search for partners and make a co-proposals. (self-organizing process)
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Developing Dynamic Models for Coexistence and Collaboration

**Social Science Korea Research Project Team:
SOUTH KOREA**

Goal of Research Project Team



- **Problems of Social Conflicts:** Social conflicts have made great social cost and inefficiency in society.
 - **Necessity of selective choice of western collaborative models:**
 - For solving this social problems, we search for collaborative mechanism but it is hard to be achieved
 - Many Asian Countries and non-western developing countries imported western collaborative governance models & theories to solving their society problems but some are effective others are not.
 - **Sharing Each countries Knowledge and cases to find common things and difference , WHY? And HOW?**
 - **Our team's goal** make a middle range models or framework to fit and relevant to our society.
 - Exploring not only Korea but also Asia collaborative and co-existence and successful collaborative models and cases.
 - Developing and diffusion of our model and examine the relevance of our model.
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East Asian Coexistence & Collaboration Research Center

Composition of Center

- Korean Model Development Team: Experts on Conflict Research; Examine Korean Cases
- East Asian Comparative Research Team: Experts with Strong International Research Portfolio; Examine Conflict in East Asia and Relevant Laws, Institutions, Culture, and Social Capital from a Comparative Perspective
- East Asian Model Development and Diffusion Team: Interdisciplinary Team with Broad Research Interests; Develop East Asian Model and Diffuse Findings from both Korea and East Asian Countries



East Asian C&C Research Center

• Director: Professor Sook Jong Lee

Korean Model
Development Team

East Asian Comparative
Research Team

East Asian Model
Development and
Diffusion Team

DB
Building

Checklist
for Conflict

Develop
Model

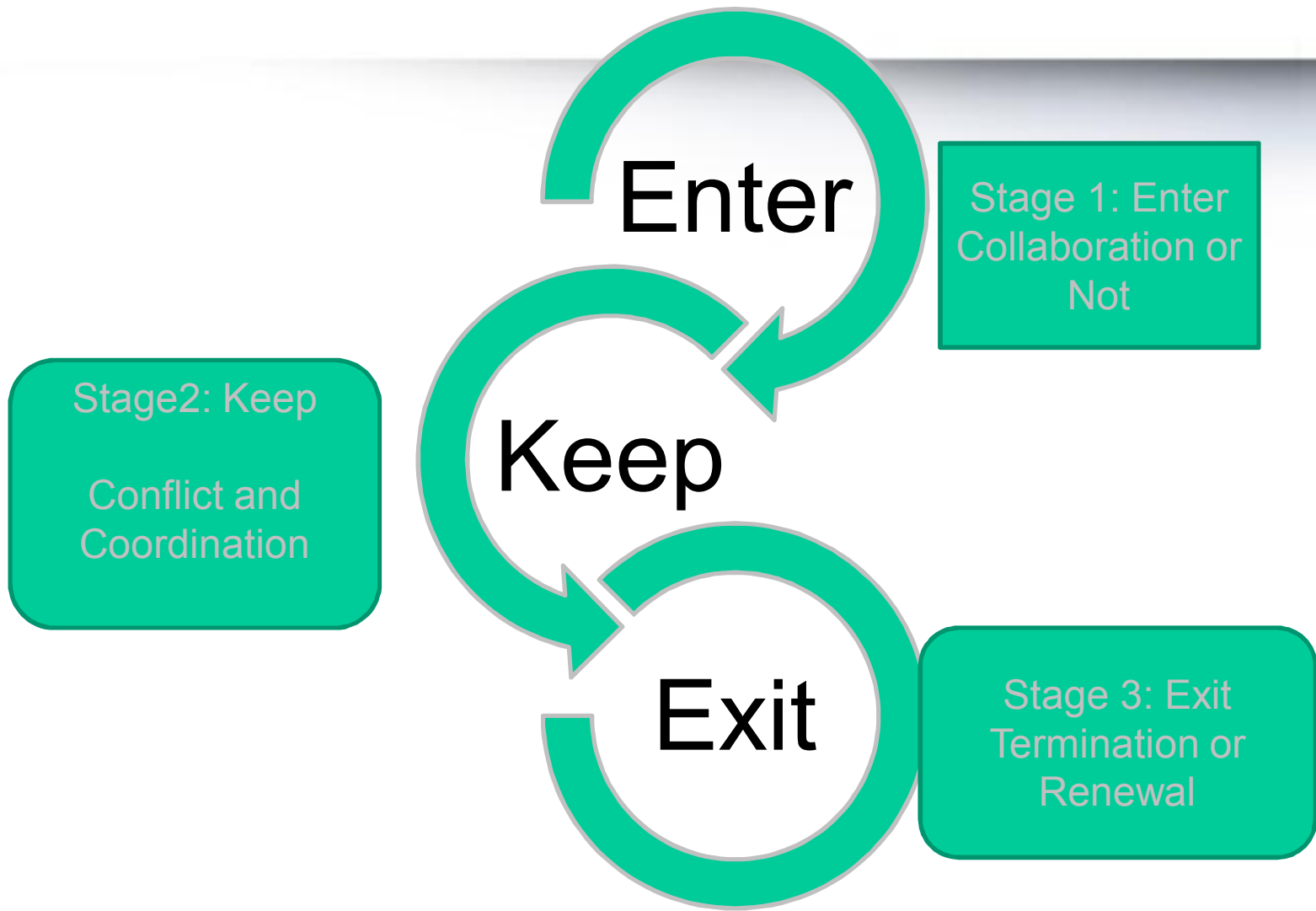
Law and
Institution

Culture

Social
Capital

Interdisc
Research

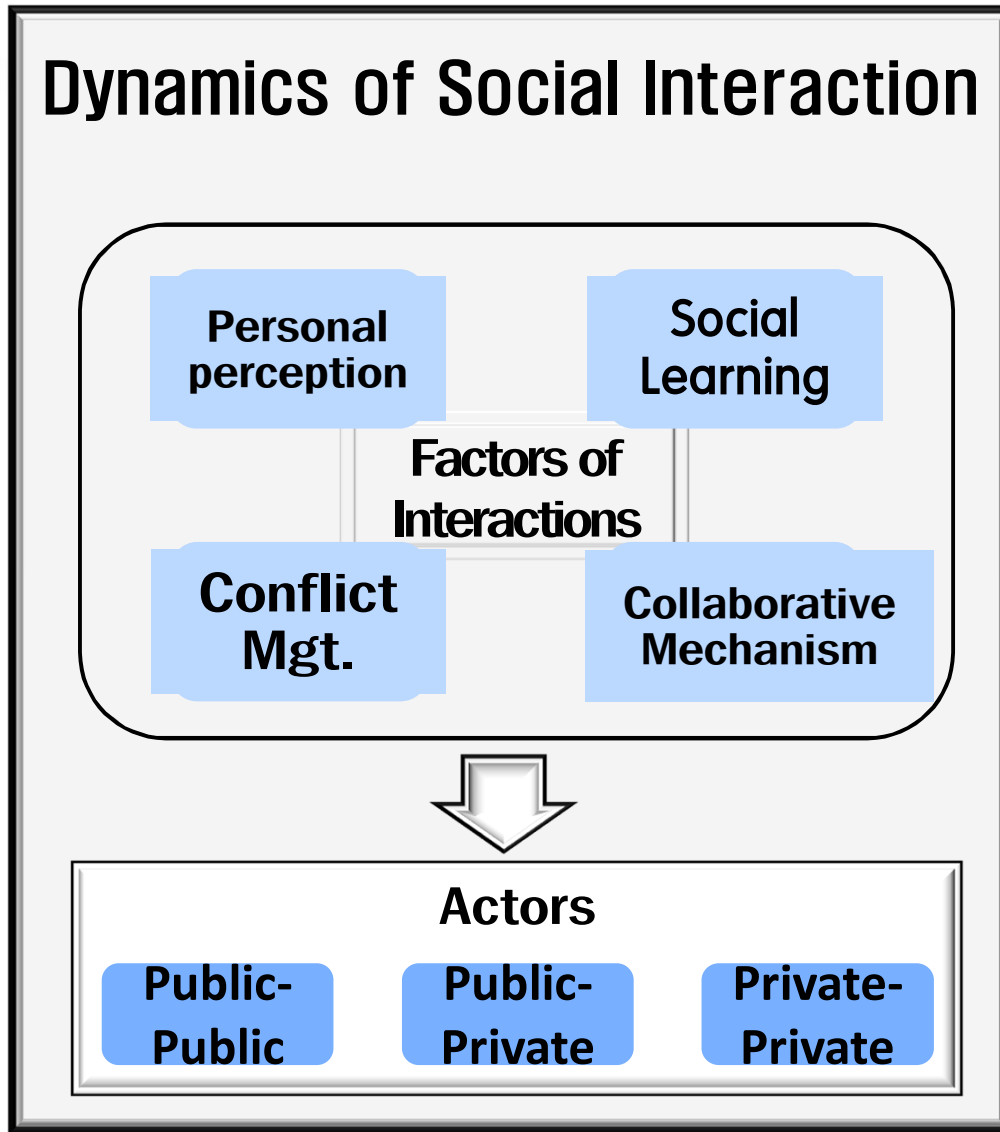
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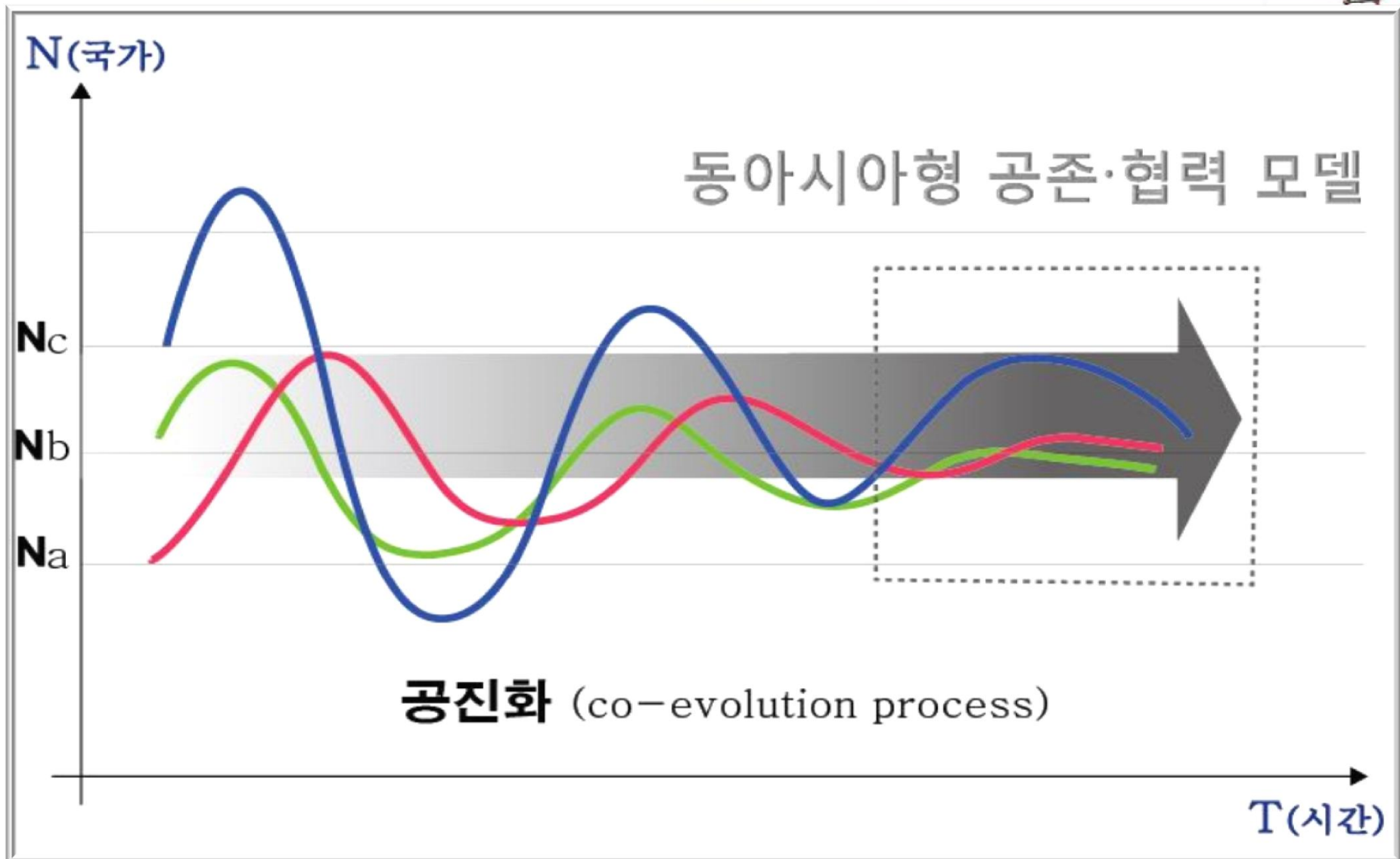
Unit of Analysis



- Who: Actors (Individuals, Groups, Organization, Countries)
- Why : Incentives, Cultures, etc
- What: Type of Services, Goods, Performance
- Where: Places
- When: Time (Duration time, Frequency
When occurs and terminate)
- How: Mechanism, Policy tools, Rules of game, Institution



Dimension	Variable	Indicator
<u>Pre-existing</u> Context	Perception of Society, Legal System, and Public Organizations	Social Trust, Trust in Democratic Institutions, Commitment to Observe the Law, Fairness of Public Organizations
	Culture, Personal Trust, and Civic Engagement/Participation in Social Activities	Collectivist/Hierarchical Culture, Empathetic Interpersonal Relationship, Outcome-based Culture, Interpersonal Trust, Institutional Trust, Direct/Indirect Participation
<u>Process</u> of Interaction during Conflict and/or Collaboration	Societal Conflict	Seriousness of Societal and Group Conflict, Causes of Conflict, Means to Resolve Societal Conflict, Experiencing Societal Conflict
	Public Conflict between Government and Citizen	Causes of Public Conflict, Means to Resolve Public Conflict, Attitude toward Locally Unwanted Land Use (LULU)
	Personal Attitude on Conflict and Collaboration	Factors related to the Experience, Cause, Success, Persistence, and Ending of Collaborative Interpersonal Relationships, Workplace Experiences Related to Conflict, Family-Workplace Role Conflict, Individual Response to Conflict
<u>Outcome</u> of Interaction	Perception on Quality of Life and Welfare	Satisfaction on Physical Environment and Interpersonal Relationship, Perception on Quality of Life, Social Risks, and Public Support, Preference on Child Care, Elderly, and Disabled Policies

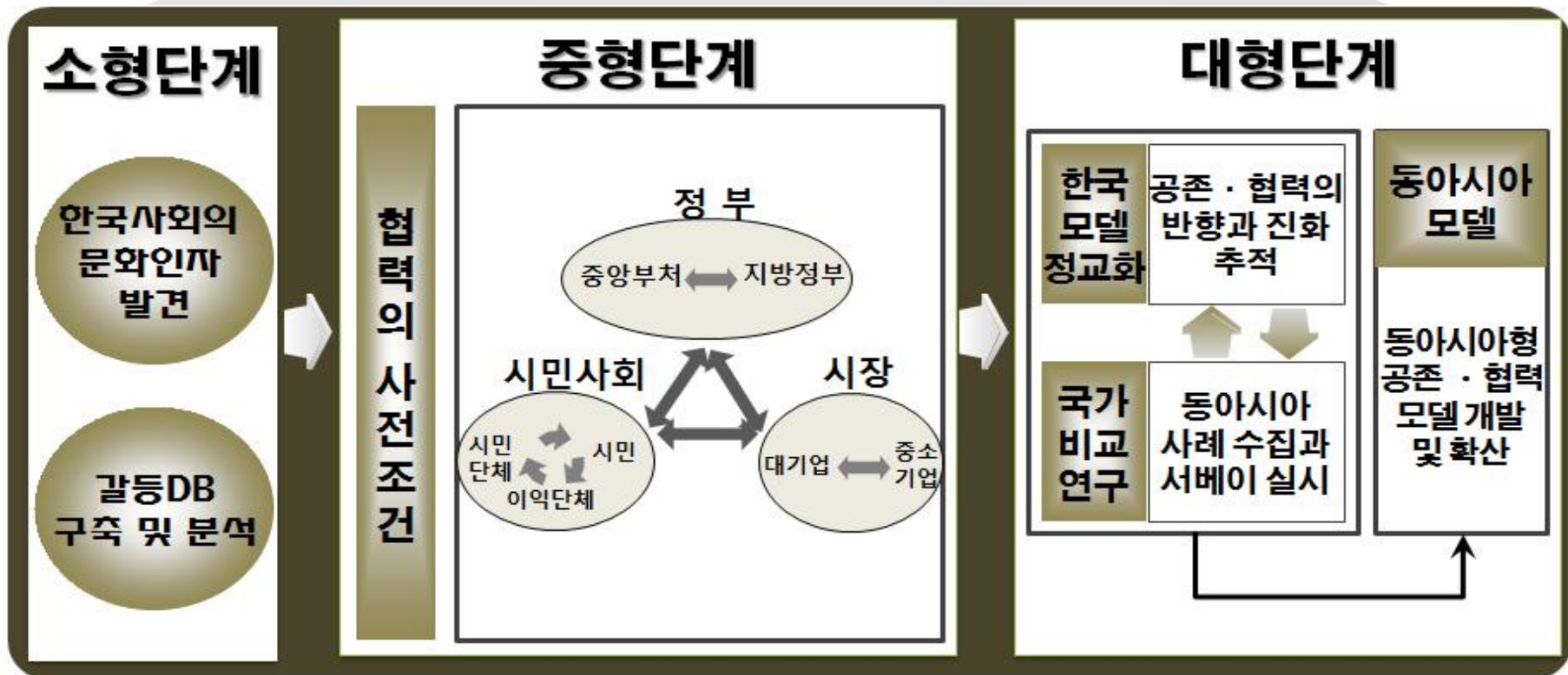


Vision

Developing and Diffusion of East Asia Co-existence and Collaboration



Research Subjects





1. Research Approach

◆ **Diffusion of Model**
: Generalization of Model,
Classification of Cases and
Strategies, Check-List

◆ **Evolution of Model**
: Fuzzy Set Model, Simulation

Relevance
of Real
world

Endemi
sm

Scientific
Rationality

◆ **Qualitative Approach**
: Cases Studies, Personal Cognition,
Cultural Context and Social Contents.
: Contents Analysis, Q methodology, Narrative
and Framing Analysis, Grounded Theories

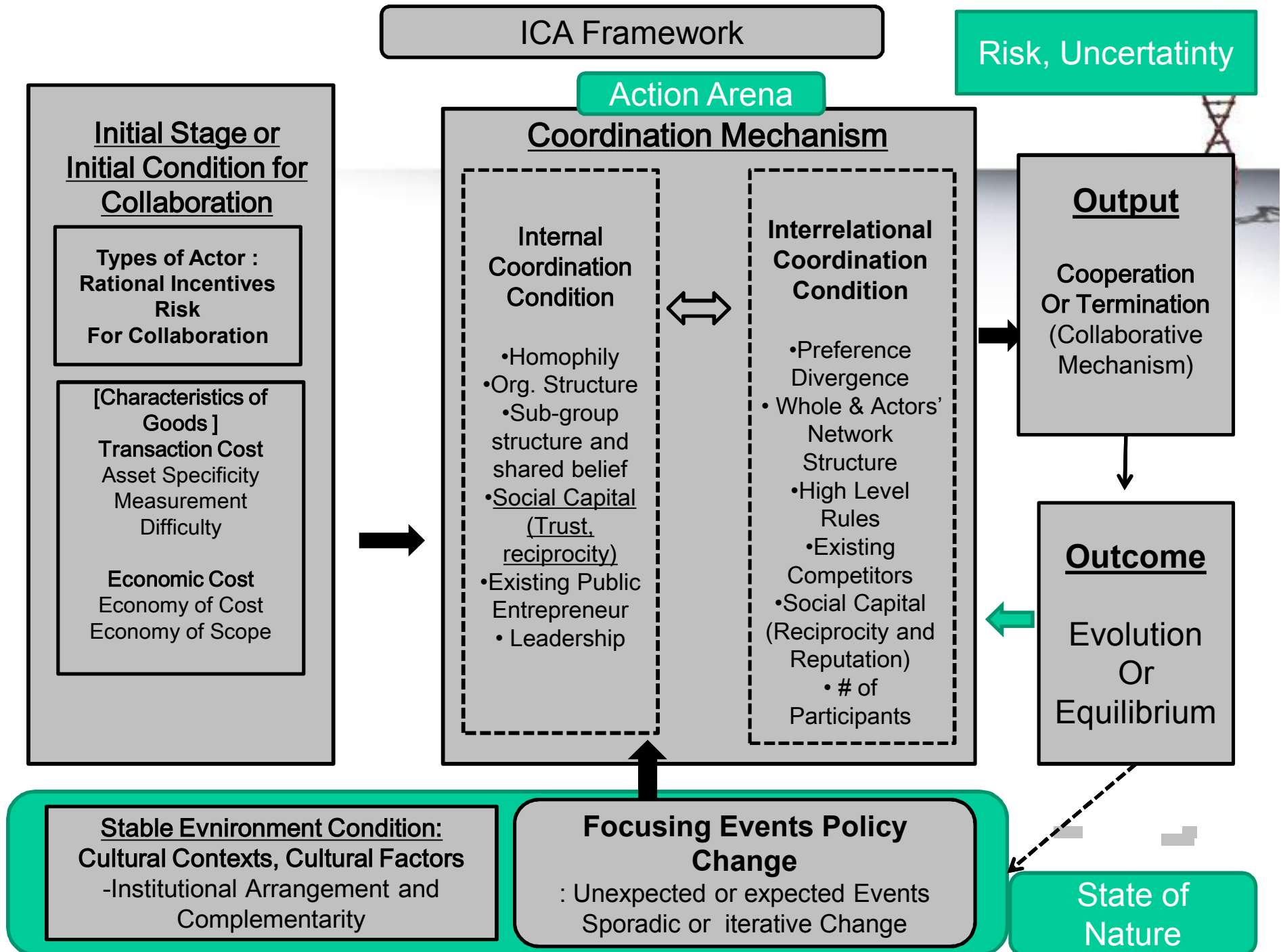
◆ **Quantitative Approach**
: Validity and Reliability of Scale and
Measurement of Concepts
: DB, Big Data Analysis, SNA, MLA

Research Strategies & Methods

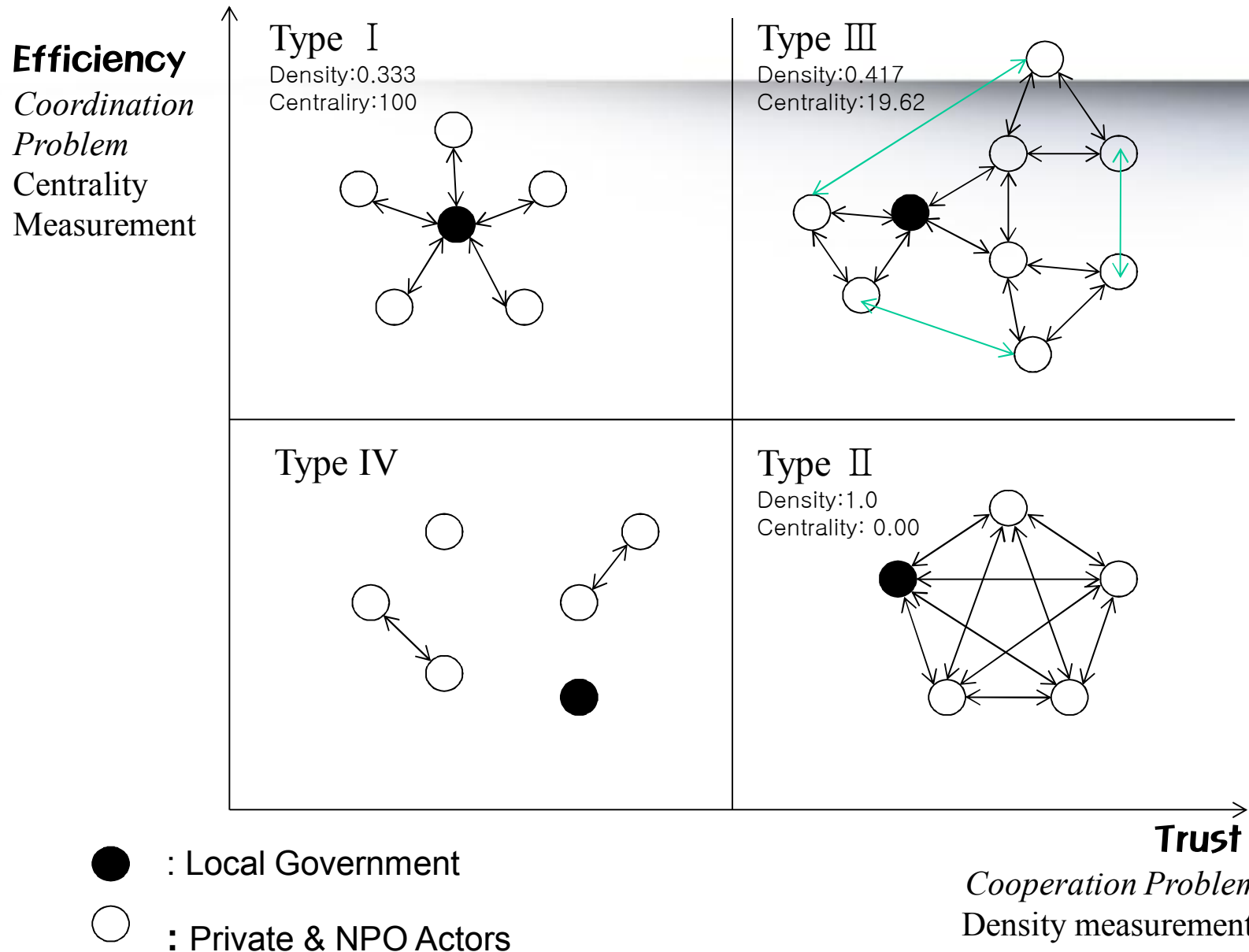


- Survey : Descriptive and Quantitative Analysis
 - Multi-level Analysis (HLM or SMLM)
 - Q-Methodologies
 - 2nd: Cases studies & Making DB. Meta-Analysis
 - 3: Comparative Analysis among Countries : F/S QCA (Fuzzy Set Qualitative)

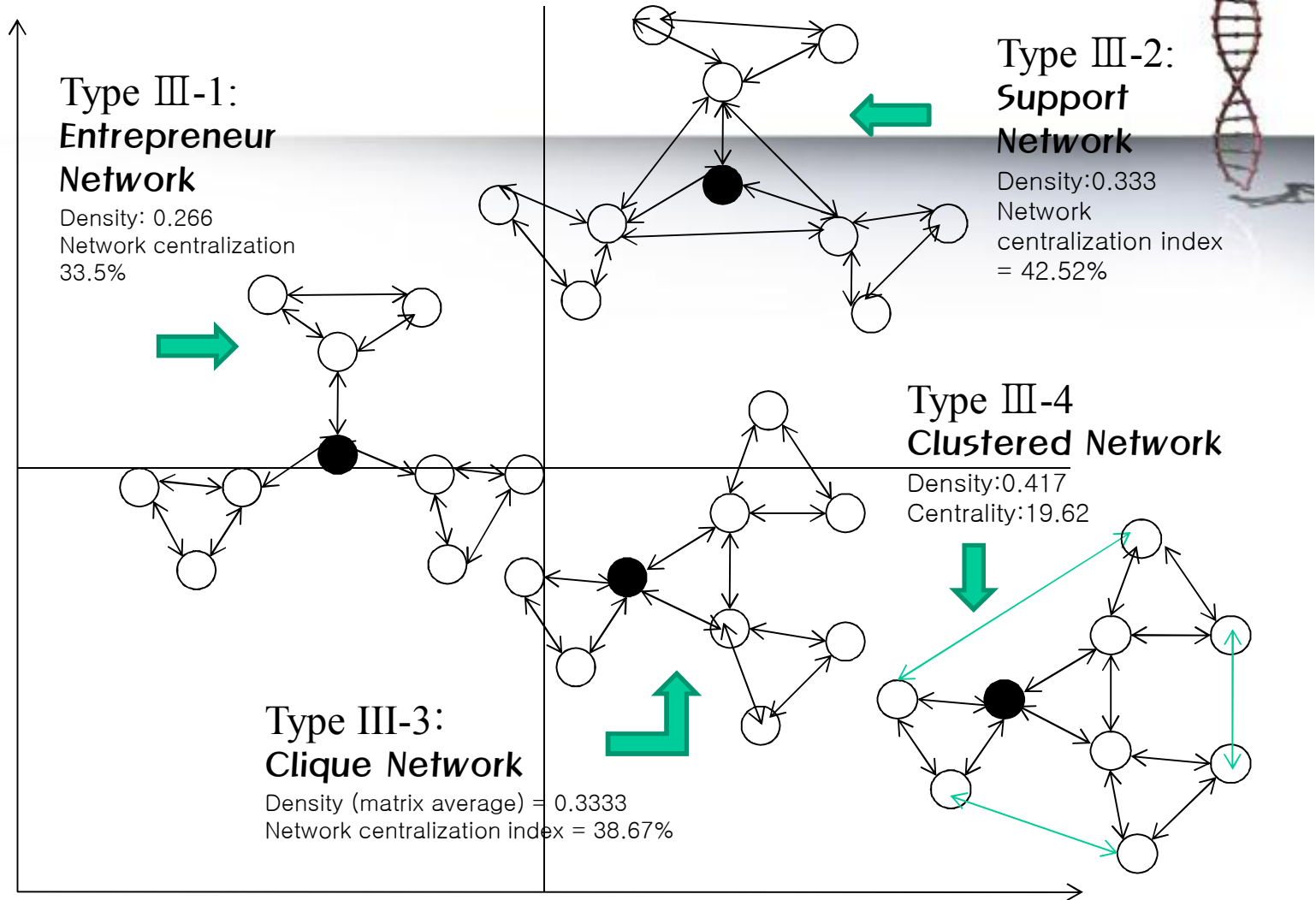
 - Intended Research Outputs:
 - Book Publication
 - Conference Presentation & Journal Publications
-



Types of Network



Efficiency
Coordination
Problem
Centrality
Measurement



- : Local Government
- : Private & NPO Actors

Trust
Cooperation Problem
Density measurement

Modes of Network Governance



- **Type 1: Government Leading Network**
- **Type 2: Direct Democratic Network (Shared Network)**
- **Type 3: Hybrid Network**
(Public-Private Collaborative Network)
 - *Type 3-1: Entrepreneur Network*
 - *Type 3-2: Support Network*
 - *Type 3-3: Clique Network*
 - *Type 3-4: Clustered Network*
- **Type 4: No Network**

Characteristics of Network Types



	Efficiency	Trust	Size	Key Player
Type 1 (Govt. Leading)	High	Moderately Low	Moderate	Local Govt.
Type 2 (Direct Democratic)	Low	High	Few	Mostly Private Actors
Type 3 (Hybrid)	Moderate	Moderately High	Many	All, or Local Govt.
Type 4 Dotted	Low	Low	Don't Know	No One Or Local govt.