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**Master's Thesis of Public Administration**

**Collaborative Mechanisms in the Public Policy  
Design**

**- The Case of the Korean Green New Deal -**

**공공정책 설계과정에서의  
협력적 거버넌스  
- 한국 그린뉴딜 사례를 바탕으로 -**

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**Graduate School of Public Administration  
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# **Collaborative Mechanisms in the Public Policy Design**

**- The Case of the Korean Green New Deal –**

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# Abstract

## Collaborative Mechanisms in the Public Policy Design: The Case of the Korean Green New Deal

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The use of collaborative governance has been on the rise over the years. Planners, public servants, and researchers around the world advocate incorporating collaboration in their public policies for formulating solutions to public policy issues. Evidence based policymaking and its goals cannot be achieved without collaboration among key stakeholders.

The main objective of this research is to identify the interaction processes of the different governmental and non-governmental actors and the collaborative mechanisms applied in the design of public policies. A newly formulated policy has been selected for this: the Korean Green New Deal, which is part of the Korean New Deal. The thesis explains the mechanisms of policy formulation through the information obtained mainly from the documentary review of multiple sources and semi-structured interviews with key actors. Based on the interpretation of the obtained data by the methodological framework proposed by Emerson et al., identifies active collaborative governance in the design of the Korean Green New Deal policy. This collaboration is understood in two different stages: the first at a governmental level with limited participation of stakeholders such as organized civil society; and the second, a fluid collaboration between them, which arise from the foundations built after the first proposal of the Korean New Deal.

**Keywords:** Collaborative governance, policy design, public policies, collaborative mechanisms, Korean New Deal, Green New Deal.

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# Contents

Collaborative Mechanisms in the Public Policy Design .....	0
Abstract .....	1
Chapter 1: Introduction .....	3
A. Background of the Thesis .....	3
B. Background of the Korean Green New Deal.....	5
C. Purpose and research question.....	18
Chapter 2: Conceptual framework and Literature review.....	24
A. General function of the state .....	24
B. Governance .....	27
C. Collaborative governance .....	30
Chapter 3: Methodology .....	38
A. Stakeholder mapping .....	38
B. Qualitative interviews .....	40
C. Document collection.....	43
Chapter 4: Findings: collaborative mechanisms .....	46
A. System context.....	46
B. Drivers .....	50
C. Collaborative dynamics .....	53
D. Collaborative actions.....	61
Chapter 5: Conclusions.....	66
A. Summary of the Thesis.....	66
B. Limitations of the methodology .....	68
C. Policy recommendations.....	70
Bibliography.....	72
Acknowledgements.....	78
Annex 1.....	79
국문초록 .....	81

# Chapter 1: Introduction

## A. Background of the Thesis

Over the years, governments have discovered and reconsidered different ways of identifying and addressing policy problems, in order to safeguard citizen's well-being. Various theories and approaches have been formulated and applied, according to the influence of ideological currents and the development of proposals from research and academia.

Along with the rise of globalization in the last few decades, new stakeholders like non-governmental organizations, international groups of advocates, and independent research institutes came onto the scene to suggest new ways of defining a problem and finding solutions together (Risse, 2007). So far, a great deal of research has been done on the context and reasons why different actors are included and take part in the process of making and implementing public policies. However, the inclusion and collaboration of different stakeholders continues to be a topic with much to be explored (Emerson, Nabatchi, & Balogh, 2012).

Among the actors identified as key to the formulation of public policies, research centers or the so-called think tanks, defined by the United Nations as "(a) bridge between knowledge and power" (Traub-Merz, 2011), have a critical role. It is mainly due to the creation of knowledge and subsequent knowledge sharing of a wide variety of specific topics based on research and science. They can be joined by organized civil society and different actors, from outside and inside the Government as well. In this sense, the process of preparing and exchanging ideas during the planning, regulation, policy implementation, and public management to coordinate and propose solutions between different stakeholders is understood as collaborative governance (Ansell, 2012). Hence, the main concept in this thesis, collaborative governance, implies a change in what has been understood as a traditional notion of designing public administration. Therefore, the more different perspectives and analysis of the

involved stakeholders we consider, better solutions to the existing problems will be formulated.

This thesis will seek to delve into the importance of collaborative governance during the policy design process, as well as identify the mechanisms that lead to a greater understanding of the reality of a public problem and propose accurate solutions to address them. For this, a policy has been selected: the Korean New Deal and specifically the design process of one of the policy's pillars: the Korean Green New Deal. The policy was launched in 2020 by the government of the President Moon Jae-in as a response to the impact caused by the COVID-19 economic recession and at the same time to face the threats caused by the current environmental crisis.

Based on an integrative framework for collaborative governance, document review, and the data obtained by semi-structured interviews with key actors such as researchers, civil society representatives, and public officers, different dimensions that can entail and ensure collaborative governance will be analyzed. The insights obtained from the thesis will be useful for the identification of collaborative mechanisms that has been applied in this kind of policy, and in that way eventually be applied in other countries.

Finally, it should be noted that the theme selected to carry out the analysis on collaborative governance during the process of formulating a public policy is due to the relevance that decision-making on sustainable development and the environment has today due to the latent risks of climate change. Facing this urgent issue requires decision-making processes and policies based on scientific evidence. This is how a more active role is required on part of the academia and institutions dedicated to research for being able to avoid the often faced knowing-doing gap by public servants and decision-makers. (Kueffer, et al., 2012).

## B. Background of the Korean Green New Deal

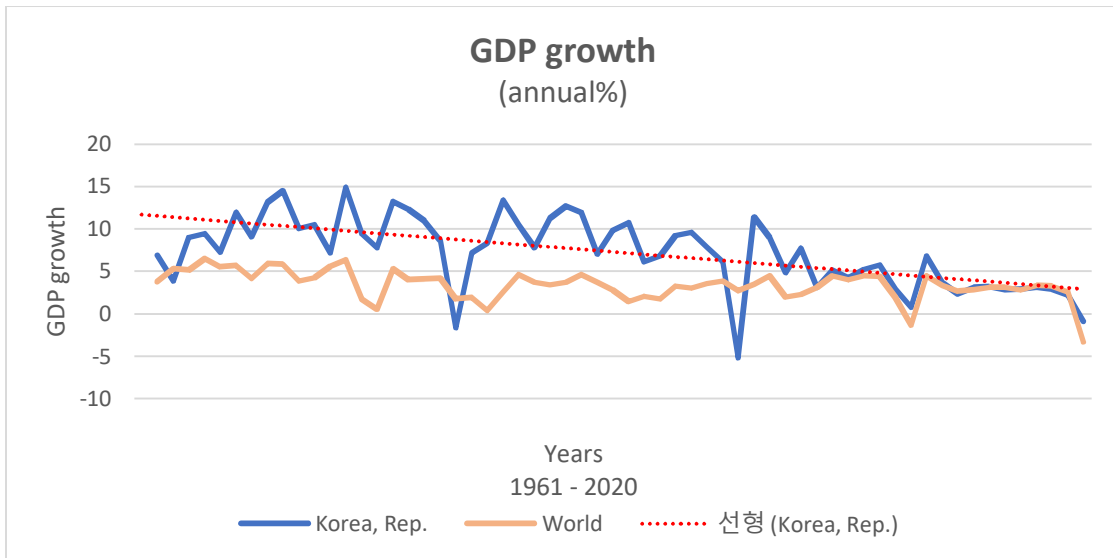
As the name may be familiar, the proposed idea initially comes from Franklin D. Roosevelt's New Deal, which was composed of a great quantity of massive government interventions to salvage the United States from the Great Depression, also known as the crisis of 1929. In 2009, (page 3) the United Nations Environment Program, proposed the concept of "Global New Deal" as "a set of globally coordinated, large-scale stimulus packages and policy measures that have the potential to bring global economic recovery in the short term, while laying the foundation for sustained economic growth in the medium and long term." This definition has been adopted by many governments in order to promote deep and needed structural changes through policies. One example is the Democratic members of the US Congress in the year 2018 who demanded the need to urgently decarbonize the country's economy by investing a great quantity of public spending while providing environmentally friendly jobs, or the so-called "green jobs" (Lee S. , 2020).

Along these lines, the South Korean government has proposed The Korean New Deal as a policy that addresses the problems caused by COVID-19, as well as pending issues that have been present since before the pandemic, such as the economic slowdown and the effects of climate change.

According to the following figure 1, the annual percentage of South Korea's GDP growth has been superior to the average percentage of the world's GDP economy. Significant and sustained growth for six decades at 6% (Jeong, 2018) is shown.



Figure 1. Republic of Korea annual GDP growth between 1961 and 2020.

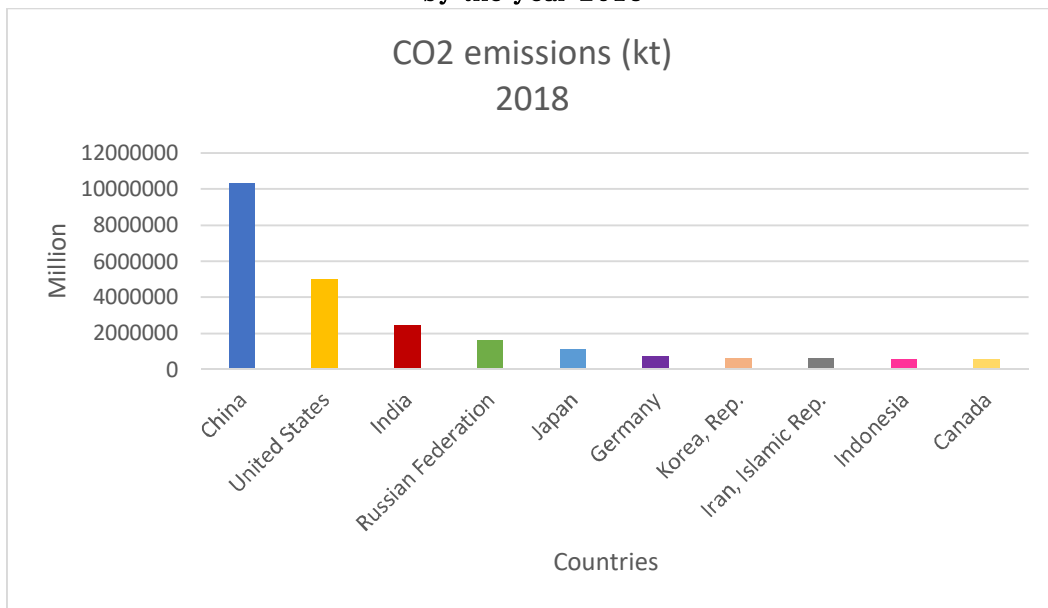


Source: World Bank Data 2022.

Nevertheless, according to the trend line that can be observed in figure 1 and in the report issued by the International Monetary Fund corresponding in 2019 on the Republic of South Korea, despite the massive economic growth that the country has had, GDP growth fell to 2.7% in 2018, compared to 3.1% in the previous year. Among the main reasons, the slowdown in the export sector in terms of the demand for semiconductor prices has been identified. A fact that, in turn, affected the equipment investment. These commercial demands, added to the slowdown in China, have led to a weakening of the labor market, causing it to drop from 1.2% in 2017 to 0.4% in 2018 (IMF, 2019). In this pre-pandemic situation, the impact caused by the COVID-19 pandemic since 2020 triggered a drop of -0.85%, which, although significant, is still above the world average of -3.29% (The World Bank, 2022).

On the other hand, despite the remarkable economic development of the country, it occupies one of the positions among the top 10 countries in the world that emit the most carbon dioxide emissions (CO<sub>2</sub>). It was ranked as the seventh, with 630,870 kt in 2018, after China, the United States, India, Russia, Japan, and Germany (The World Bank, 2022).

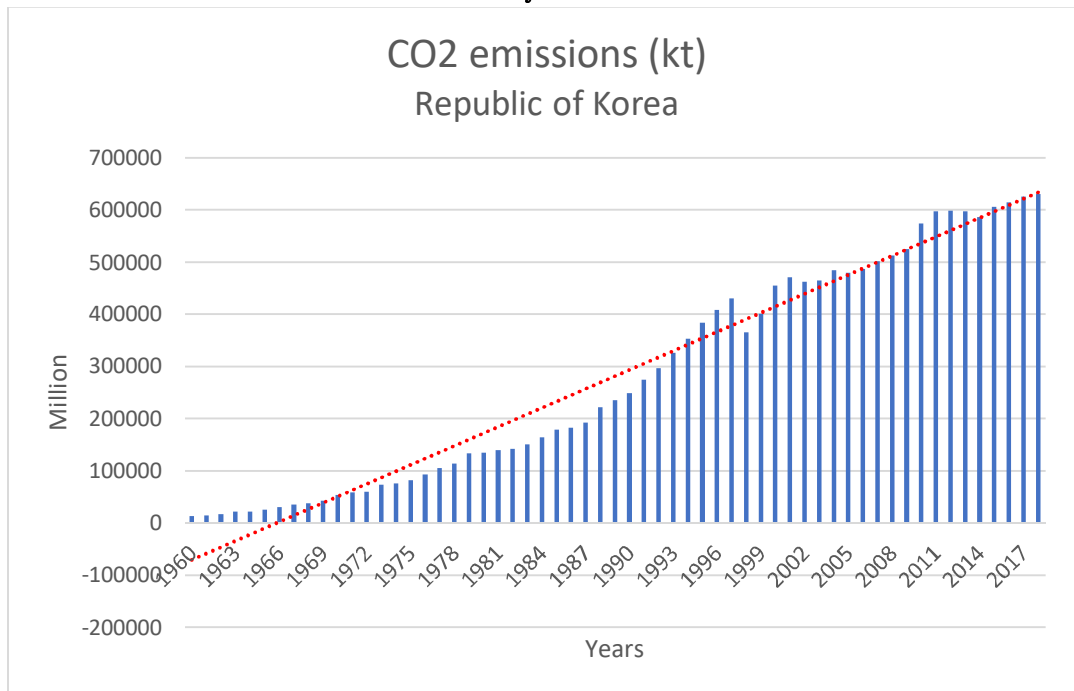
**Figure 2. Top 10 countries in the world that emitted the most CO2 by the year 2018**



Source: World Bank Data 2022.

The aforementioned position can be understood in greater detail at figure 3, which describes the increase in carbon dioxide emissions between the years 1960 and 2018. It shows that there has been a steady and rapid rise since the end of the 1960s, when South Korea started to show significant economic growth.

**Figure 3. CO2 emissions of the Republic of South Korea Between the years 1960 and 2018**



Source: World Bank Data 2022.

In response to these two recently exposed issues, as well as the impact of the COVID-19 pandemic on the country, the government announced on July 14, 2020, a National Strategy comprised of specific objectives, projects, and a large budget to ensure its implementation. The Korean New Deal (KND) launched by the government of President Moon Jae-in is composed of two main pillars, which are supposed to complement each other: the Digital New Deal and the Green New Deal (Ministry of Economy and Finance, 2020).

The proposition of this policy positions South Korea as the first country in East Asia to implement the Green New Deal. The "package" is composed of many targets and programs in order to achieve the demands needed to fight against climate change, or as it is called by some, climate emergency, in a way that the income economy is not affected (Ha, 2020).

Nevertheless, the policy has received many critics and demands from different sectors of society. Civil society members such as environmentalists and climate activists stated that the Korean Green New Deal did not provide enough actions in order to win in the fight against climate change. As many sectors of civil society worldwide state, as a response to other Green New Deals launched in their countries, the solutions proposed are not enough (Dong-hwan, 2020). As soon as the Korean Green New Deal was launched, mainly young activists went to the streets to let the government know their complaints and demands to tackle this problem. Despite the fact that the Korean Green New Deal is made up of different sections that all have the same goal of addressing and calming down climate change, critics say that it is not enough (Lee & Woo, 2020).

One year after launching the KND, a 2.0 version was released in response to the identified critics and a need to adjust certain proposals. The Korean New Deal 2.0 was launched with the incorporation of internal and external changes. During the first year, the government was able to identify domestic and global concerns and demands partially raised by the pandemic's constant affectation, which included the affectation of education, the widening of income gaps, concerns regarding the availability of jobs for young people, and the need for

systematic support for business restructuring due to the demand for labor in new industries. On the other hand, according to the newspapers, there was a strong international and local demand for carbon neutrality and a clear pathway to achieve it. (Ministry of Economy and Finance, 2020).

In order to handle the direction, coordination, budget, and scope of the public policy in question, the KND is under the Ministry of Economy, which has also been in charge of coordinating with other ministries and with the main institutions that provide information. The National Research Council for Economics, Humanities, and Social Sciences is one of these institutions, which is positioned under the Prime Minister and is in charge of coordinating with the other national institutes (National Research Council for Economics, 2022).

### **Characteristics**

The Korean Green New Deal can be seen as one of the most ambitious policies that the Republic of South Korea has launched in the last few years. Starting from the budget, the government has assigned a sum of 73.4 trillion Korean won to generate 659,000 jobs in the green industry sector (Ministry of Economy and Finance, 2020).

At the 5th emergency economic conference on April 22, 2020, President Moon Jae-in first stated the "Korean version of the New Deal" as a large-scale national initiative for inventive development in the post-corona period. The policy was presented during the "Secondary Emergency Economy Central Countermeasures Headquarters Meeting," with three main initiatives and ten essential responsibilities outlined. To implement the policy, a Korean branch of the New Deal promotion organization was established, experts were consulted, and private suggestions were collected (Korean Government, 2021).

To begin with, the objective of the Korean New Deal is to alleviate economic hardship by creating jobs. Second, this strategy aims to expedite the return of the Korean economy to normal development by laying the groundwork for a digital and green economy capable of reviving investment and creating jobs.

Thirdly, it lays the groundwork for Korea to adapt to structural changes and assume a leadership position in the post-COVID-19 era (Ministry of Economy and Finance, 2020).

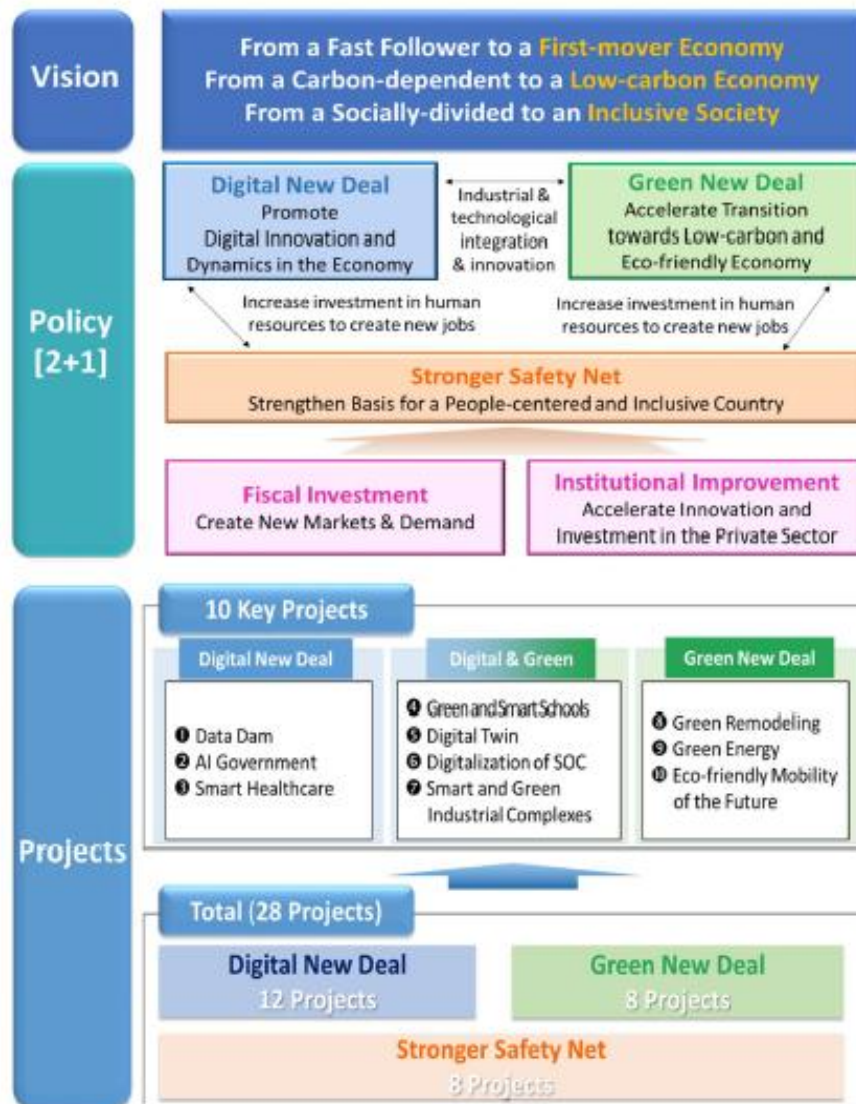
President Moon introduced the Korean New Deal as a catalyst to maintain the Republic of Korea's current pace of growth and become a global leader in post-COVID age. The KND addresses the challenges posed by the COVID-19 pandemic and climate change, allowing the nation to maintain its status as a technologically advanced country. (KTV, 2020).

This change entails not just retaining economic leadership, but also transform the nation into a more inclusive and environmentally sustainable society. In that regard, the Korean government views as a chance to build on Korea's digital strengths and create green economy based on digital technology. Korea's effective response to the SARS-CoV-2 virus demonstrates its expertise in this area (KTV, 2020).

The first version of the Korean Green New Deal was basically composed of three main sectors: Green Remodeling, Green Energy, and the so-called Ecofriendly Mobility of the Future. The first one consists of the implementation of green infrastructure such as the installation of solar panels in the whole country as well as energy-efficient insulators in buildings. The second consists on promote renewable energy use and support fair transition. Finally, the eco-friendly mobility section has the target of subsidized supply of 1 million electric and hydrogen vehicles around the country (Ministry of Economy and Finance, 2020).

The following figure summarizes the main proposals of the Korean New Deal.

Figure 4. Overview of the Korean New Deal



Source: Ministry of Economy, Korean New Deal: 2020.

## Korean New Deal 2.0

On July 14, 2021, during the 4th Korean New Deal Strategy Meeting, the Korean version of the New Deal 2.0 (KND 2.0) was unveiled with the goal of responding to new requests and adjusting to changing conditions. The KND 2.0 was portrayed as an innovative approach that adapts to changes in the worldwide environment, accelerates digital and green transformation, and prioritizes addressing gaps, expanding the safety net, and investing in people. As stated by the Korean government, the "safety net reinforcement" that supports the

Digital and Green New Deals to the "Human New Deal," will be establish a new axis between it and the Digital Green New Deal (Korean Government, 2021).

Another notable adjustment was the expansion and reorganization of the "Safety Net Reinforcement" to create the "Human New Deal," with existing New Deal tasks reinforced and new ones introduced. Additionally, in preparation for the post-coronavirus era, we will develop a proactive and preventative response mechanism. Additionally, the promotion structure significantly expanded the role of "safety net reinforcement" as a foundation for the Digital Green New Deal, transitioning from the existing 2+1+1 system (Digital/Green New Deal + Safety Net Reinforcement + Regional Balanced New Deal) to the 3+1 system (Digital/Green/New Deal + Regional Balanced New Deal). The goal is to expand total investment in the Korean New Deal from 160 trillion won to 220 trillion won by 2025, creating 2.5 million jobs in addition to the 1.9 million now employed. (Korean Government, 2021).

The Korean New Deal 2.0 proposes, in general, the development of jobs and social security programs to be reinforced with increased investment in human resources. Because of this, the inclusion of programs into both pillars of the KND has been expanded. Furthermore, the fiscal investment has increased from 160 trillion won to 220 trillion won. It also adds 600,000 more jobs to the 1.9 million that were originally planned.

Among the main criticisms that the KGND received was the lack of one of the world's most important targets to tackle climate change: achieving net zero carbon emissions by 2050. The plan states that it will move towards ensuring the achievement of this worldwide goal by the defined year without explaining how and when.

According to Yujin Lee, a researcher from the Green Transition Institute, the Green New Deal was composed of a set of projects detached from the main goal, which is to effectively respond to the climate change crisis by eliminating carbon emissions. In order to make it better, the plan needed a strong commitment to

achieve net zero by 2025. Second of all, the government needs to establish a clear roadmap to substantially reduce gas emissions by 2030. It is also fundamental to strengthen communications with civil society in order to generate meaningful inputs.

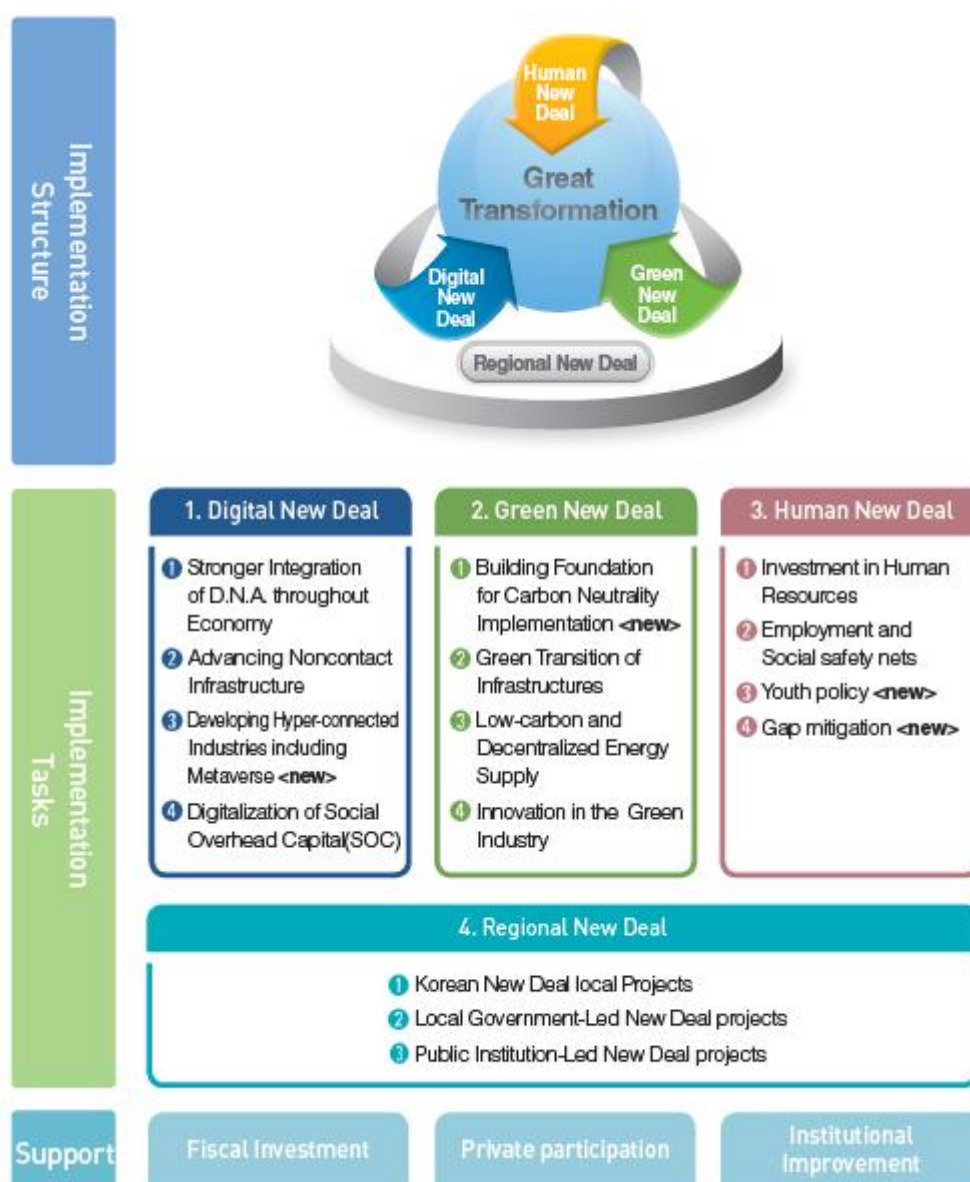
In that sense, the government did specific changes based on the new consideration of achieving carbon neutrality. To start, it proposed the implementation of a new category of carbon neutrality, the one that will be implemented in the projects in order to achieve the 2030 Neutral Determined Contribution, as well as building emissions measurement systems and creating carbon reduction programs (Ministry of Economy and Finance, 2020).

The new version of the KND includes a fiscal spending increase by 2025 from 160 trillion won to 220 trillion won for the New Deal 2.0. It counts the investments made by the local government and the private sector. From that, around 61 trillion won will be invested from 2020 to 250 in projects related to the direct pursuit of carbon neutrality, transforming the country's current infrastructure into a greener and clearer one and promoting green industries (Ministry of Economy and Finance, 2020).

This adjusted version of the KND is the result of criticism expressed by public opinion, including international and national media as well as civil society organizations. They made known their opinions and points of improvement to the KND proposal through public hearings, newspaper articles, and social demonstrations led by young advocates in the fight against climate change. (Kang, 2022; Yonhap, 2021; Lee S. , 2020; Dong-hwan, 2020; Jun-tae, 2020).



Figure 5. Korean New Deal 2.0 Vision



Source: Ministry of Economy, Korean New Deal: 2021.

After the announcement of commitment to carbon neutrality by 2050, carbon neutrality has emerged as a critical component of a country's and industry's competitiveness (October 2020). As a result, the Korean government added a new item to its Green New Deal project, titled "Building a Foundation for Carbon Neutrality Implementation," in order to assure the ongoing and efficient implementation of carbon neutrality legislation until 2050. (Ministry of Economy and Finance, 2020).

As a new mission for the Green New Deal, the establishment of a Carbon Neutral Promotion Foundation. The revised edition of the KND encourages the rearrangement of the greenhouse gas monitoring and assessment systems to assist in the execution of the 2030 Nationally Determined Contribution and adapt to international order-making initiatives such as the carbon border adjustment system. A carbon effect estimating method that meets international standards is one way the government wants to do this. They also want to be active in international talks so that international order can be set up with fair rules.

The policy also encourages the development of an industrial carbon reduction system, such as the development of an industrial complex resource circulation system, remanufacturing, and recycling, as well as the establishment of a foundation for effective carbon sink management. The one that would be attained by the promotion of waste recycling through the real-time connectivity of waste resource information amongst industrial complex enterprises. This is supplemented by the construction of a carbon-neutral promotion system in which people are the key players via the promotion of acts such as a campaign to decrease greenhouse gas emissions in everyday life and helping disadvantaged people to adapt to climate change, among others (Ministry of Economy and Finance, 2020).

The new edition of the KND promotes the reorganization of the greenhouse gas monitoring and evaluation system to facilitate the implementation of the 2030 Nationally Determined Contribution and to adapt to international order-making initiatives such as the carbon border adjustment system. The government intends to accomplish this by developing a carbon effect estimation technique that complies with international standards in order to lay the groundwork for a response, as well as by actively participating in international negotiations in order to establish an international order based on fair standards (Ministry of Economy and Finance, 2020).

Additionally, the policy promotes the development of an industrial carbon reduction system, including resource rotation within industrial complexes,

remanufacturing, and recycling, as well as laying the framework for effective carbon sink management. The one that would be achieved by promoting waste recycling and connecting waste resource information in real time among industrial complex firms. This is supported by the development of a carbon-neutral promotion system in which individuals play a central role by promoting acts such as a campaign to reduce greenhouse gas emissions in daily life, assisting disadvantaged people in adapting to climate change, and so on (Korean Government, 2021).

On the other hand, the government intends to broaden and strengthen the scope and scale of the Green New Deal project, as well as expedite its execution, in order to effectively assist the transition to a low-carbon economic structure. This will be accomplished through the reinforcement of existing projects, such as Green Smart Schools and Green Remodeling of private construction for buildings and cities, as well as the establishment of infrastructure to restore green ecosystems in urban, rural, and coastal areas and to respond to climate risks in a proactive manner (development of urban flood damage prediction technology, water distribution optimization technology by drought scale, etc.). To reduce our reliance on fossil fuels, we must provide the groundwork for the widespread adoption of new and renewable energy sources and enhance the supply of green mobility options such as hydrogen automobiles. Expanding assistance for green industries is also being considered, including the development of specialized carbon reduction technology for each type of industry, which produces a significant quantity of carbon (Korean Government, 2021).

### **Organizational structure**

A strategy meeting was convened to discuss the execution of the Korean New Deal. This summit, which will be presided over by the president and attended by the entire government, a Democratic Party committee on the Korean New Deal, local governments, and private companies, will make crucial decisions. This strategy meeting will occur once or twice a month and will take many forms,

including comprehensive public reporting and updates on major initiatives. (Ministry of Economy and Finance, 2020).

Within the government, ministers in charge of the economy will discuss about the Korean New Deal at programmed meetings. The Korean New Deal Committee, which is part of the Democratic Party, will also continue the talks on its own. A joint headquarters for carrying out the KND will also be set up to make it easier for politicians and the government to work together and talk to each other. The deputy prime minister for economy and the chairman of the Korean New Deal Committee will co-chair the headquarters. They will invite the heads of the subcommittees for the three parts of the Korean New Deal as well as relevant ministers from the Ministry of Science and ICT (MSIT), the Ministry of the Environment (MOE), the Ministry of Trade, Industry, and Energy (MOTIE), and the Ministry of Employment and Labor (ME&L) (MOEL) (Ministry of Economy and Finance, 2020).

Taking into account the relevance of the policy, the institutions in charge of its design, coordination and development are directly related to the highest political position in the country, the president, and organized as follows:

Figure 6. Organization chart of the implementation plan



Source: Ministry of Economy, Korean New Deal: 2020.

The executive team, being mainly under the coordination of the Ministry of Economy, was created, which is in charge of coordinating with the different related sectors.

Korea Version New Deal Practical Support Group:

- Planning Team
- Digital New Deal Team
- Green New Deal Team
- Human New Deal Team

### **C. Purpose and research question**

As one of the most prominent nations in Asia, South Korea is often seen as an economic and social success story as a result of its poverty-stricken history following the war with North Korea. Today, it is regarded as one of the countries with the biggest and most sustained GDP growth in world history. Collaboration with huge family enterprises known as "Chaebols" has resulted in enhanced productivity and the development of human capital. This, along with other factors like the availability of jobs, education, and the design of effective public policies is credited with the country's rapid economic growth and considerable drop in poverty. (Jeong, 2018).

Korea's premise on the importance of developing evidence-based policies, in addition to the urgency of doing research to foster innovation in both the public and private sectors, results in significant funding for this field. According to the website Statista (O'Neill, 2022), the Republic of Korea's gross domestic product (GDP) distribution across economic sectors from 2010 to 2020 was dominated by services (more than 50% across the years) and industry (more than 30 percent along the years defined). According to World Bank Data (2021), South Korea spent 4.53 percent of GDP on research & development in 2018, exceeding the global average of 2.20 percent for the same year.

Several studies regarding South Korea's economic development success agree that a great part of it is based on a capitalist model mixed with long-term planning capability. Specifically, long-term planning can be understood as the availability to make decisions based on credible information and knowledge. It is defined by Lopez Aymes (2014, p. 92) as "a set of actors, organizations, and institutions that produce and disseminate policy ideas that affect how policy-making and production regimes are organized and operate," which was first formed in South Korea in 1945 and then progressively evolved through the '60s and '70s with the founding of the Korean Development Institute (KDI), internationally highest ranked South Korean institute nowadays.

Since 1997, the government has prioritized industrial policies with the goal of intensively developing technology and creating industries with high added value based on science and innovation. Following this line, the formulation of policies has been changing at the same time. Nowadays, incentives are given to the field of research and development (R&D) rather than to massive capital investment. In recent years, there has been a change in political governance and in the way of making public policies in South Korea, where the participation of different actors has increased widely. The state is the main actor that coordinates and forms consortiums between the private sector and state-funded research institutes. A solid ecosystem has been built up by the governmental apparatus, which is always looking for alternatives to improve the way procedural issues. This includes projects as well as R&D that involve both public and private sector actors (Kim, 2014).

According to the 2020 Global Go to Think Tank Index Report made by the Think Tanks and Civil Societies Program (TTCSP) of the Lauder Institute at the University of Pennsylvania, 11,175 think-tanks were identified in the world. Of these, 412 are from South Korea, placing it as the fifth country with the largest number of think tanks. It's relevant to state that the TTCSP understands think tanks as organizations that generate through research information related to public policy and advice on domestic and/or international issues, allowing

policymakers and other sectors of civil society to make informed decisions (McGann, 2021, p. 13). These institutions are also identified as bridges between the academia, policymakers, and civil society, which provide society with trusted and impartial information. The analysis made by the TTCSP includes 7 categories of think tank affiliation, which are the following: autonomous and independent, quasi-independent, government-affiliated, quasi-governmental, university-affiliated, political party-party affiliated, and corporate (for-profit) (McGann, 2021, p. 14).

Over the years, the South Korean government has been able to implement a series of policies that today account for greater participation of citizens in the state's decision-making processes, as well as achievements in terms of accountability. According to the Open Budget Survey (2021), an independent organization that assesses access to central government budget information, participation in the national budget process, and the role of budget oversight institutions, improvement in South Korea over the years is observed. As in the year 2019, the Budget Index score of the country received 62/100 for transparency, 61/100 for public participation, and 85/100 for budget oversight. Moreover, the World Bank's Government Data's Index "Voice and Accountability" (defined as "perceptions of the extent to which a country's citizens are able to participate in selecting their government, as well as freedom of expression, freedom of association, and a free media") for the year 2019, the Republic of Korea had an index of 0.77, which places the country above average (-0.03 points) based on 194 countries with available data.

South Korea's positive scores in accountability and citizen participation are the result of different implemented policies since the democratic transition and government initiatives such as the participatory mechanisms implemented during the President Roh administration (Wampler, 2013). It's important to show that people aren't just customers in the post-NPM era, so participatory democracy and accountability mechanisms are implemented (Kaufmann, 2020).

In August 2003, the Korean government amended the Social Welfare Enterprise Act in order to achieve collaborative governance from a top-down perspective. Thus, in addition to including local welfare planning, program monitoring, and linking welfare with public health systems, it now involves citizens in the decision-making process stages (Wilding, 2012). President Park's initiative, "Government 3.0," which focuses on openness to citizens, sharing information, establishing fluid communication, and promoting collaboration, also influenced the new assessment of citizens and understanding of government services (Nam, 2013). South Korea's government, through the Digital Government Cooperation Division from the Ministry of the Interior and Safety (MOIS), is in charge of Digital Government Innovation. They are always working to improve the digital government strategy to find out what citizens want and make sure that the administration is transparent and accountable for its actions.

There are also similar efforts being implemented to increase transparency and public access through digital platforms such as the Regulatory Information Portal, i-Ombudsman, and the online Regulatory Reform Sinmungo, tools that allow citizens to request, directly, the improvement of identified regulations. Another tool that allows citizens' active participation in the regulatory reform process and participation is the Regulatory Information Portal (Wilding, 2012).

In the same way, the Korean government, in its path to pursuing an open government in partnership with civil society, has launched the Government Innovation Master Plan, which seeks to promote citizen participation and trust relationships (Ministry of Interior and Safety, 2020). Its main foundations are the creation of a participatory democracy, where citizens are engaged in policymaking through its institutionalization and also winning trust from citizens through innovation. Some examples of the Key Government Innovation Projects are: the organization of hackathons for specific identified problems in the country, introducing mandatory quotas for female civil servants, the expansion of financial investments for programs designed to create social values, such as human rights and safety, and implementing a "One-Strike and You're Out" policy



for unfair hiring practices and improper solicitation (Government of the Republic of Korea, 2018).

In that regard, and in light of the recent formation of the Korean New Deal in response to fundamental needs that must be satisfied, the following thesis will identify the collaborative governance mechanisms used in the policy design process in the Republic of South Korea. The following research questions and hypothesis have been developed to support this:

Research Question: Was the implementation of participatory governance sufficient to define effective and needed policy objectives for the Korean Green New Deal?

Hypothesis: The implementation of participative mechanisms allowed effective and accurate proposals during the Korean Green New Deal design, compared to previous policies.

The sections below will provide the necessary theory for the understanding of the thesis, which will be reviewed, as well as the adequate methodology for the collection of information.

## **D. Structure of the Thesis**

The structure of the thesis is composed by five chapters. The first chapter provides an overview of the main theme as well as the problem definition and purpose of the research. In it, the topics related will be explained, as well as the description of the problem and case of study. Detail information of the context in which the Korean New Deal was designed and the characteristics of it will be provided.

The second chapter will explain the theoretical framework upon which this master's thesis is conducted. Key concepts will be provided and discussed in order to fully understand the analysis part.

Chapter number three will provide detailed information of the employed methodology, the data collection procedure and systematization according to the defined theory. The findings of the research will be given in the fourth chapter. The structure of the information is given according to the dimensions established in the theoretical framework explained in the second part of the thesis. As described in the methodology section, the information used in the analysis came from a review of documents and interviews with key stakeholders.

The conclusions of this research will be provided in chapter number five. In this, the summary of the thesis, research limitations and policy recommendations will be discussed.

Finally, the list of references utilized for this research is provided, followed by the formulated questions for the semi structured interviews for data collection.

## Chapter 2: Conceptual framework and Literature review

### A. General function of the state

Starting from one of the main notions used throughout history about what is understood as a "state," Max Weber defined it as a regulator of the social relations of individuals who live in a specific society. Delving further into the definition, the state is understood as an organization that has a monopoly on the legitimate use of a given territory (Dargent, 2012, p. 14). In that sense, the state has the legitimate monopolizing role of violence and legality, which in modernity adopts a rational–bureaucratic form. Likewise, it is organized based on the separation of powers, therefore, it has a specialized administrative apparatus and the origin of sovereignty rests with the members of the political community, identified as citizens, who consider themselves equal before the law (Plaza, 2014).

Along the same lines, it can be further identified as an organized and structured apparatus in a set of institutions that are supported by a legal system that normally penetrates and controls the population as well as the geographically delimited territory. It is also composed of highly bureaucratic individuals, where each one will exert specialized responsibility in order to protect the general good, strongly supported by the legal system (O'Donnell, 2008). In this way, in order to guarantee the well–being of citizens, the state implements a series of administrative mechanisms, which include the so–called public policies, carried out through actions via public administration. To give an example of what has been described, concrete steps will be taken to deal with, for example, childhood obesity in developed countries. These steps will be coordinated with different ministries and governing bodies, and they will be directed by public policies.

Some, if not the majority, of scholars have agreed with the fact that public administration is not a discipline. It can be identified as the set of public

arrangements in order to achieve the provision of public services to citizens (Rhodes, 1991; Hood, 1991). To meet a more specific definition of what public administration means, Nicholas Henry suggests it as a broad combination of "amorphous" theories and practices, whose main purpose is to promote an understanding of the government and its relationship with the governed society in order to respond to social needs through public policies. With the intention of achieving what has just been described, institutionalized managerial practices that meet effectiveness and efficiency are needed to fulfill citizens' needs (Rhodes, 1991).

Public policies, from a first approach, can be understood as tools used by states to implement solutions to certain problems or circumstances. Although there are different scholars that propose a wide range of definitions and descriptions for the process of construction of public policies, it is possible to start with Lasswell's approach. The author shows a life cycle of policies which is divided into six stages: (1) Definition of the problem / implementation, (2) Construction of alternative policies/policy formulation, (3) Selection of the solution / selection of the best policy option, (4) Policy design, (5) Policy implementation and monitoring, and finally (6) Policy evaluation. These stages follow a cyclical and continuous course. (Pollard & Court, 2005).

On the other hand, in order to simplify the process and make it more in line with reality, the authors, Pollard and Court, based on what Lasswell proposed, shortened the process into four large categories. These are: (1) Identification of the problem and putting it on the agenda, (2) Formulation and adoption of the policy, (3) Implementation and (4) Monitoring and evaluation. In their analysis, the authors show the way in which civil organizations can influence each of these stages. In the case of problem identification and putting them on the agenda, the authors highlight the potential of non-governmental agents to identify problems based on the experience they have in the field and the ability to combine testimonies and personal experiences with an analysis at the macro level, emphasizing both the severity of the problem and the opportunities to find solutions. (Pollard & Court, 2005, p. 136)

Public policies arise as a means of response by the state to a specific social problem. Its construction process, as it's going to be seen in this investigation, can be collective. Since it is in the public and state interest, a series of actors from different institutions can intervene and apply them. Effective achievement of this process is closely connected to the capacity of the state. It is understood as the "ability of a professional bureaucracy to implement public policies due to external influence" (Dargent, 2012).

Soifer and Vom Hau, on the other hand, say that the state's capacity is a function of the state bureaucracy, which is based on the relationship between the state and social actors. The aforementioned is exemplified by the actions expected of a state with high capacity. These tend to be defined as those that have the necessary provisions to enforce contracts, regulate institutions, extract, modify, and provide public goods (Dargent, 2012, p. 219).

The debate about the efficiency to be undertaken by the state has been discussed for a long time. This is how concepts like "New Public Management" (NPM) were first introduced by academia in developed countries. In its quest to deal with inefficiency caused by bureaucracy, NPM understands the functions of the state as those of private companies; that is, the unification of private and public logic in the same rationality (Hood, 1991). This leads to the loss of some of the premises of the state, such as the assurance of justice and social welfare of the community. This is how NPM, by maintaining the premise of including business and private sector criteria (management techniques and procedures) in the state apparatus, conceives citizens as clients who must be satisfied through efficient services (Pollitt, 2007). However, as a result of the search for new, more efficient ways of tackling public problems, the post-NPM concept has been introduced. It is a concept that materialized what public administrators have recently tried to re-think and re-incorporate as they seek to reinvent the state-client-citizen relationship proposed by the NPM approach. Citizens are considered, under this new understanding, the main stakeholders in a

participatory and collaborative logic, both between state institutions and citizens. Therefore, post-NPM aims to promote greater transparency and responsibility, as well as greater openness and participation of the citizenry.

## **B. Governance**

Following responses to schematic proposals such as the NPM, new perspectives from academic and transnational institutions have prompted a rethinking of how-to better approach government work while also providing consideration and openness to various actors. That is how, in a post-war environment, with the aim of promoting development among developing countries, most of them previously colonized or those in the process of independence, the term "governance" was introduced. According to the European Union: "Governance is a public administration model whose main objective is to bring citizens closer to European institutions through greater citizen participation and different networks of actors." (Paz, 2017). In addition, one of the most cited definitions over the years is the one provided by the United Nations. Governance is understood as "the process of decision-making through which decisions are implemented (or not implemented)". That is how the United Nations Development Program (UNDP), in its search for advice and support to nations, has defined eight major characteristics that define good governance: participation, transparency, accountability, responsiveness, effectiveness, efficiency, consensus-oriented, equity, and inclusiveness. (UNESCAP, 2009).

According to Ostrom (Emerson & Nabatchi, 2015), governance is a "dimension of jointly determined norms and rules designed to regulate individual and group behavior." Governance is also intended by other academics as a collection of coordinated and monitored activities that ensure the survival of a collaborative partnership or institution (Emerson & Nabatchi, 2015).

In general, we can say that governance is a process in which different actors influence the decisions and actions to be made in order to achieve a specific outcome. Over the years, governments have recognized the potential of problem-oriented governance as the most effective way to attack complex problems, such as, for example, environmental security and climate change. Authors such as Mayne et al. (2019) have identified three fundamental points to carry it out. These are the application of a learning logic based on a continuous reflective process, collaborative capacities, and finally, the ability to collect and analyze data for decision-making.

In response to the need to measure governance, the World Bank has developed a governance index in which 200 countries are evaluated during the period of 1996 or from the availability of the data until 2020. The named Worldwide Governance Indicators (WGI) project defines governance as the composition of "the traditions and institutions by which authority in a country is exercised. This includes the process by which governments are selected, monitored, and replaced; the capacity of the government to effectively formulate and implement sound policies; and the respect of citizens and the state for the institutions that govern economic and social interactions among them." (The World Bank, Government and Accountability, 2022)<sup>1</sup>.

In order to measure the different levels of governance in the world, six dimensions have been defined and collected through different survey sources among citizens. The dimensions are as follows: Voice and accountability, Political Stability and Absence of Violence/Terrorism, Government Effectiveness, Regulatory Quality, Rule of Law and Control of Corruption. Through the following table, it can be seen that the Republic of Korea is above the stipulated average.

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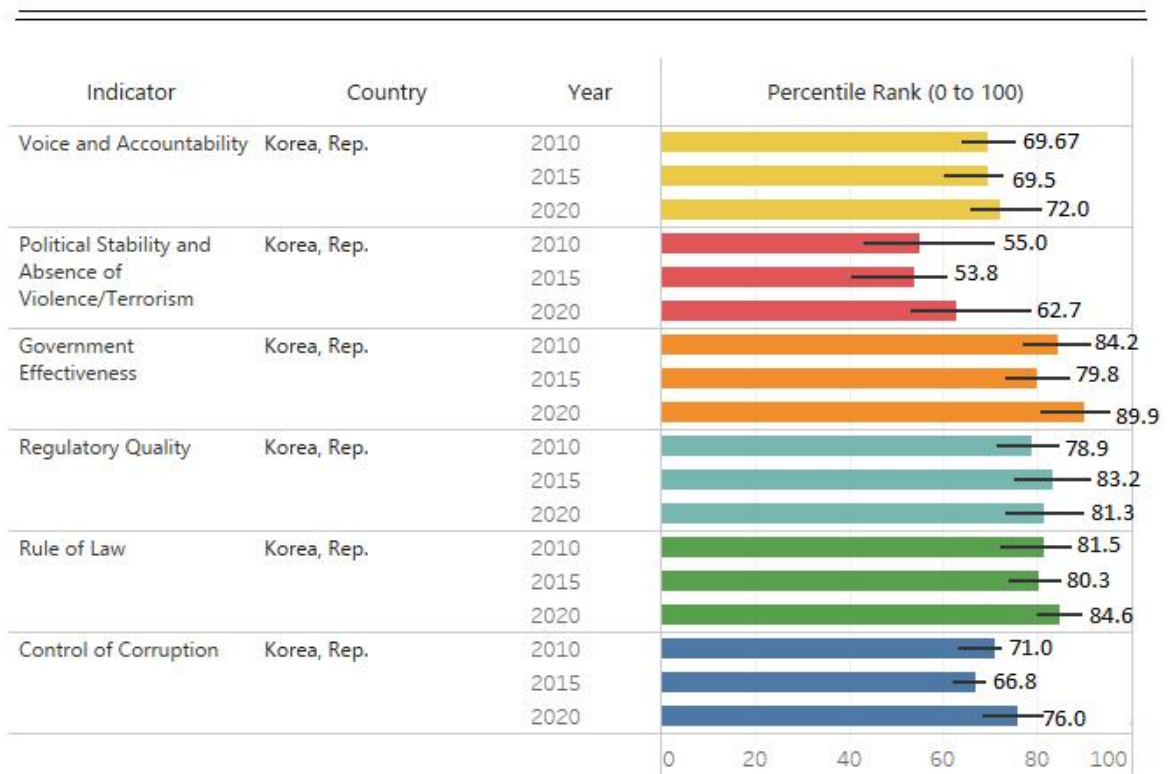
<sup>1</sup> <http://info.worldbank.org/governance/wgi/>





Figure 7. Governance indicators of The Republic of South Korea

### Worldwide Governance Indicators



Source: Kaufmann D., A. Kraay, and M. Mastruzzi (2010), *The Worldwide Governance Indicators: Methodology and Analytical Issues*.

This thesis will focus on one of those indicated by the authors: collaborative capability, since the analysis of the context, role, and degrees of freedom that non-state actors may have, specifically those in charge of producing and disseminating knowledge, is considered fundamental in order to contribute to the evidence-based policy process.

### C. Collaborative governance

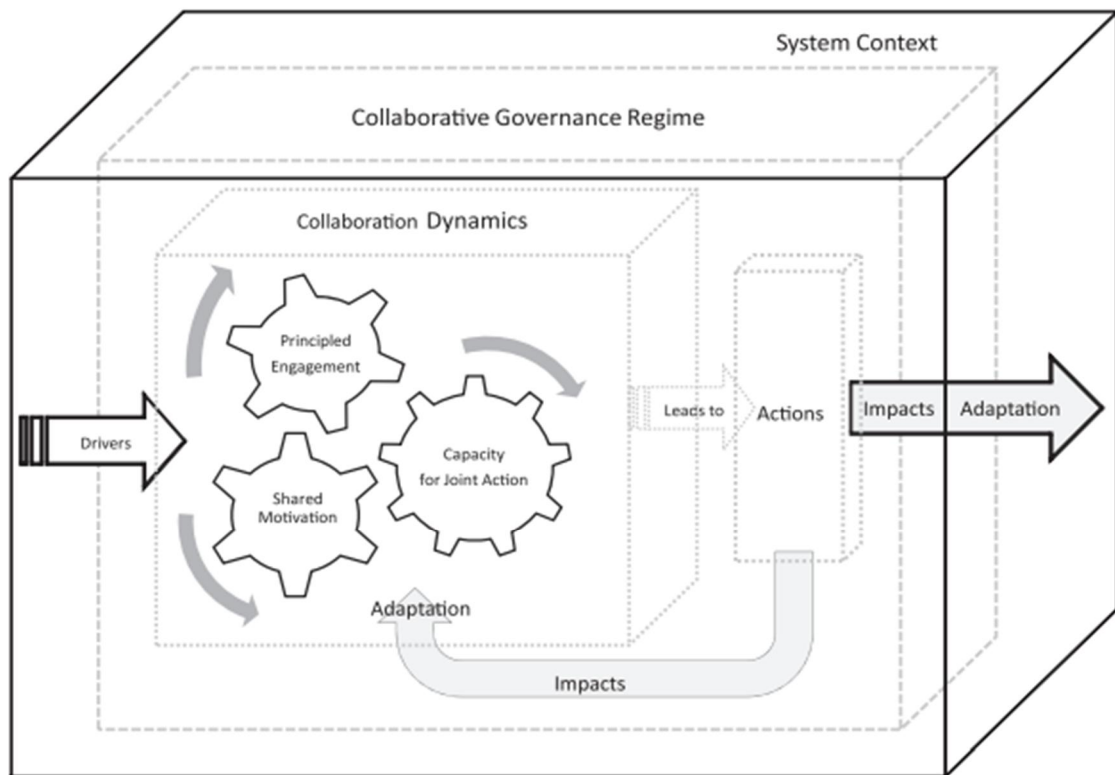
As a result of the complexity of modern social concerns and the perceived divide between government and society, public officials are increasingly collaborating with non-state stakeholders to design and implement public policy (Ansell & Gash, 2008).

Collaborative governance, according to academia, implies the sum of different perspectives, the suggestions of a diversity of actors on the stage becomes important. In that sense, Emerson et al. (2015, p. 2) defines collaborative governance as "*processes and structures of public policy decision making and management that engage people constructively across the boundaries of public agencies, levels of government, and/or the public, private, and civic spheres in order to carry out a public purpose that could not otherwise be accomplished.*"

Collaborative governance implies the identification of all the stakeholders involved, in which all of them in theory, have an equal influence on decision-making process (Huxham & Vangen, 2005). And, as noted by Innes and Booher (2018) the interaction and engagement will be given face-to-face, in which all different perspectives will converge. In this space, ideally, all participants, despite their power influence, should be thoroughly informed and capable of expressing their views and being listened to.

Within this framework, a flow that implies the convergence of different dimensions is identified, which results in the regime called "Collaborative Governance." The following diagram illustrates how, from the insertion of certain drivers (such as leadership) and the gestation of collaborative dynamics, concrete actions are produced that have a material impact on society. Specifically, the collaborative dynamics ideally observed for this phenomenon are "Principled Engagement", where different stakeholders meet and work together to resolve conflicts or create value. As a second dynamic, joint motivations are identified, which are based on "mutual trust, understanding, internal legitimacy, and commitment" (Emerson, Nabatchi, & Balogh, 2012, p. 12). In this dimension, the interpersonal relationships between actors are taken into account, which is usually linked to the social capital of each of them. Finally, as a third dimension: capacities for joint action, which are understood as the acquired capacities to accomplish their joint purpose came from earlier encounters, and is likely to be affected by the extent and quantity of the group's goals and activities.

Figure 8. The Integrative Framework for Collaborative Governance



Source: Kirk Emerson, Tina Nabatchi, Stephen Balogh (2012).

As previously stated, public administration has increasingly incorporated not only empirical knowledge but also the perspective of citizens in recent years. Their participation in the design process resulted in the development of novel solutions and the formation of more effective and efficient policies (Waardenburg, Groenleer, & Jong, 2020). In that vein, there are projects for policy creation that are collaborative in nature, such as the establishment of measures to combat human trafficking in the Netherlands. Another example is the establishment of a so-called "social lab," such as the newly created Ayni Social Lab in Peru, which is affiliated with the Ministry of Development and Social Inclusion and aims to gather insights and needs from the population served by social policies and programs through collaboration and participation. Another well-known case of participatory governance is the creation of an original and revolutionary method for the formulation and monitoring of the

municipal budget in the Brazilian municipality of Porto Alegre. Not only the local government's technicians and officials participate in this system, which is named "Participatory Budget," by deciding on the collection of taxes and the expenditure of public funds kept in their offices. The population, via debates and consultations, determines and decides on the amount of income and expenses, as well as where and when to invest, what are the government's priorities, and what plans and activities must be implemented (Novy & Leubolt, 2005).

The following logic model, designed as well by Emerson et al. provide the inputs and detailed characteristics of each of the areas, in order to collect and identify the different ways in which collaborative governance can be used.

Figure 9. Logic model approach to collaborative Governance

Dimension and Components	System Context	Drivers	The Collaborative Governance Regime			Outputs Collaborative Actions	Collaborative Outcomes	
			Collaborative Dynamics				Impacts	Adaptation
			Principled Engagement	Shared Motivation	Capacity for Joint Action			
Elements within Component	- Resource Conditions - Policy Legal Frameworks - Prior Failure to Address Issues - Political Dynamics/ Power Relations - Network Connectedness - Levels of Conflict/Trust - Socio-economic/ Cultural Health & Diversity	- Leadership - Consequential Incentives - Interdependence - Uncertainty	- Discovery - Definition - Deliberation - Determination	- Mutual Trust - Mutual Understanding - Internal Legitimacy - Shared Commitment	- Procedural/ Institutional Arrangements - Leadership - Knowledge - Resources	Will depend on context and charge, but might include: - Securing Endorsements - Enacting Policy, Law, or Rule - Marshalling Resources - Deploying Staff - Siting/ Permitting - Building/ Cleaning Up - Enacting New Management Practice - Monitoring Implementation - Enforcing Compliance	Will depend on context and charge, but aim is to alter pre-existing or projected conditions in System Context	- Change in System Context - Change in the CGR - Change in Collaboration Dynamics

Source: Kirk Emerson, Tina Nabatchi, Stephen Balogh (2012).

The logical model proposes conceptual spheres to understand each of the components that forms part of a collaborative dynamic. First of all, it is important to point out what is meant by "System context". This refers to the multilayered context which is usually made up of political, legal, socioeconomic, environmental and other influences (Emerson, Nabatchi, & Balogh, 2012). It is this system which creates the opportunities and pillars to approach a collaborative relationship. There are several system-level factors that can

discriminate or have effects in the course of a collaborative governance, including resource conditions that need to be improved, increased, or limited, policy and legal frameworks, including administrative, regulatory, or judicial and political dynamics and power relations within communities. It's important to note that this dimension isn't just a set of starting conditions in this framework. It's also a three-dimensional space because outside factors, like for example an election, an economic downturn, or a new regulation, the ones that can change the dynamics and performance of collaboration at any time during the period of the collaborative governance (Emerson, Nabatchi, & Balogh, 2012).

As another concept to understand, are the drivers. Unlike to other ideas about collaborative governance, the one by Emerson et al. separates contextual variables from important drivers. Drivers without whom collaboration would not have been able to work well. The authors identify specific drivers that tend to promote collaborative governance. Among these are, first of all, the need for leadership as an essential driver. Specifically, the presence of a leader identified as someone capable of initiating and providing the necessary resources for the development of collaborative governance. This is usually a member of one of the main groups that are part of the policy, and usually has the power to manage and allocate the human resources and other tools necessary to achieve the collaborative objective. On the other hand, consequential incentives are identified, which can be internal: identified as problems, necessary resources, interests or opportunities, or external: institutional crises, threats or opportunities (Emerson, Nabatchi, & Balogh, 2012).

#### Collaborative governance regime

The authors interpret Collaborative Governance Regime (CGR) as a system in which cross-boundary cooperation is the predominant mode for conduct, decision-making, and activity. The initial form and direction of the CGR are determined by the system context's drivers; nevertheless, the development and efficacy of the CGR are varied across times according to its two factors: collaborative dynamics and collaborative actions. (Emerson, Nabatchi, & Balogh, 2012).

### Collaborative dynamics

Among the three main components identified by the authors as essential in the dynamics of a collaborative scenario, are the principled engagement. This occurs over time, a process in which various stakeholders can be included and can take the form of virtual formats, face to face, between organizations or between private and public actors. On the other hand, shared motivation is defined as a self-reinforcing cycle, which is made up of four elements. These are: mutual trust, understanding, internal legitimacy and commitment. In general, the sphere of shared motivation relates to interpersonal relationships and the relational elements of collaborative dynamics, some of which are identified as social capital. It is also considered as an intermediate outcome, once the principal engagement has been achieved (Emerson, Nabatchi, & Balogh, 2012).

Regarding capacity for joint action, given that the end goal of cooperation is the achievement of results that could not be realized without the involvement of multiple actors, the collaboration is based on joint activity. In this sense, a regime based on collaborative governance must generate joint actions that did not exist before. In this sense, the need for capacity building is highlighted during principled engagement, which starts from the need of the participants to achieve the objectives set (Emerson, Nabatchi, & Balogh, 2012).

### Collaborative actions

As described, an effective collaborative governance regime, will provide new mechanisms for effective collective actions, the ones that will be defined by the stakeholders after a usually non-linear process, which implies building consensus. If goals are achieved as a result of a collaboration between actors, it would result in the development of actions such as securing endorsements, educating constituents, enacting policy measures, new administrative practices, enforcing compliance, among others (Emerson, Nabatchi, & Balogh, 2012).

It's important to take into consideration that although collaborative governance tends to usually been understood as promoted formally by the government, it can as well be propose by informal interactions or non–state actors' initiatives (Ansell & Gash, 2008).

Policy making implies a complex process in which the interaction and participation from the inside and outside individuals is difficult to identify. In this thesis, the following stakeholders without formal government positions will be identify: interest groups, researchers, consultants, media, parties and other elections–related actors, and the mass public.

It is important to take into account that the line between inside and outside of government is difficult to draw (blurred in practice). Actors frequently enter and exit government. Sometimes they work for the government, and other times they are lobbyists, consultants, or well–known names. There are many ways for people inside and outside of the government to interact with each other. These ways are very open, and ideas and information flow through them in a network of people involved in the issue, regardless of their formal positions. (Kingdon, 2014).

Among them, is considered as relevant the definition of the group composed by academics, researchers and consultants. After interest groups, this is the next most important group of non–government actors. They are written by intellectuals and well–known academics who have a hand in making policy. Some consultants don't do research as their main job, but they are valued for their political sense as well as their expertise in the field. Most of the time, congressional committees and government agencies call on them for their expert analysis (investigations) at hearings, meetings, and advisory panels. Known as more of a long–term actor than a short–term actor. Their effects may be different, and they may affect the alternatives more than government plans. Most of the time, policymakers listen to academics when their research and ideas are directly related to problems that are already on their minds. (Kingdon, 2014).





## **Chapter 3: Methodology**

The research is proposed based on a case study with a qualitative approach. This approach is considered to be the most appropriate for the in-depth information collection process since it seeks to identify specific dynamics during a pre-determined period and gather information in a non-numerical manner with the intent of elucidating underlying meanings and patterns of interactions. Documents were revised and semi-structured interviews were used to get a complete picture of the case studied. The validity of findings is essential for ensuring that data is representative of reality.

### **A. Stakeholder mapping**

Initially, the actors that participated or were somehow related to the policy and the Green New Deal topic, were identified through official documents uploaded on the government's web page. The participation of other sectors was identified through the suggestions and referrals made by the first actors contacted. This is due to the fact that not all the information corresponding to the offices involved and the contact details are found on the government web pages translated into English.

Three distinct stakeholder groups were identified during this process. The first category includes employees who are members of ministries (mainly central government authorities in charge of the departments assigned for the design and development of the Korean New Deal). The second category comprises academia and research institutions, the majority of which are government-sponsored (these are responsible for developing scientific evidence for decision-making). Finally, civil society organizations were designated as a third group, as they have been active participants in forming opinions about the KND.

It means that there is data that is only in Korean, for which, during the investigation process, translation tools had to be used in the web browser.

**Table 1. List of institutions and organizations contacted by phone and/or e-mail**

#	Name
1	Ministry of Economy and Finance – Korea Version New Deal Working Group
2	Ministry of Economy and Finance – Green Climate Policy Division
3	Ministry of Economy and Finance – Development Finance Division
4	Ministry of Economy and Finance – Green New Deal Team
5	Ministry of Economy and Finance – Climate Environment Policy Team
6	Ministry of Environment – Department of Environmental Industry and Economics
7	Ministry of Environment – Atmospheric Future Strategy Division, Ministry of Environment
8	Ministry of Environment – Korea Forest Service (KFS)
9	Ministry of Trade, Industry, and Energy
10	Korea Environment Institute
11	Korean Energy Economics Institute
12	Korea Environmental Industry & Technology Institute
13	Korean Development Institute
14	National Research Council for Economics, Humanities and Social Sciences
15	National Institute of Environmental Research
16	Korea Energy Transition Organization
17	International Environmental Research Institute – IERI
18	Gwangju Institute of Science and Technology
19	The Korea Environmental Education Center
20	Green Technology center
21	Global Green Growth Institute
22	The Institute for Climate Change Action
23	EcoPeace Asia
24	Institute for Green Transformation
25	The Korean Federation for Environmental Movement

26	Green Climate Fund
27	Korea Safety Health Environment Foundation
28	Citizens' Institute for Environmental Studies
29	CIFAL Jeju
30	Green Korea
31	Green Peace Korea
32	Green Environment Youth Korea
33	Green Transition Institute
34	ECO Cooperative
35	Youth 4 Climate Action
36	Seoul National University – Graduate School of Environmental Studies
37	Local Governments for Sustainability (ICLEI) – Korea

## B. Qualitative interviews

Four semi-structured qualitative interviews were conducted in this study, primarily with personnel of research institutes having ties to the KND's development process or the topic. One face-to-face interview was executed at Sejeong city, the country's administrative capital. The remaining three interviews were conducted through Zoom due to the informants' busy schedules and the ongoing COVID-19 safety measures. Between 15 March and 29 April 2022, interviews were held (see Appendix 1 for interview questions).

First, contacts and coordination were carried out by phone and/or email. These lasted approximately 45 minutes, depending on the disposition of the interviewees. For this purpose, after a general introduction to the study, the questions proposed were formulated, the order depended on the progress of the information collected from interviewees.

Following the actor mapping described in the preceding paragraphs, we sought out the contact information for individuals working in the organizations or

institutions of interest. In some cases, direct contact information for stakeholders who were involved with the subject was given; in others, personal emails were available; and in still others, only the institution's phone number or email address was given.

In the case of public officials, the contact information was gathered not just from the state or ministry's web pages, but also from press releases that frequently provide contact information (mostly telephone numbers) of public servants and heads of teams and related offices. Civil society groups were reached by contact information provided on web pages or social media platforms like Facebook, Twitter, and Instagram.

The researcher's biography, the reason for contact, and the research objectives were all described in English in the first communication email. Additionally, the informants' discretion and anonymity were highlighted. On the other hand, during telephone interactions, an initial and basic level of communication was sought in Korean; nevertheless, given poor proficiency in Korean, the possibility of continuing the call in English was consulted. Granting this, and despite the encouraging reaction to maintain oral communication in English, particularly in research centers and the majority of state offices, some initial contacts showed that they lacked the requisite idiom knowledge. In a few cases, people who spoke Korean said they didn't understand the request made in English.

According to the records made during the fieldwork stage, a total of 53 telephone calls were recorded. These include the stakeholders corresponding to the three typologies described. On the other hand, a total of 84 emails were sent, of which 20% responded. Among them, 3 of the 4 interviews were obtained. The rest of the people who did not accept an interview but who responded to the sent email shared official information through PDF document attachments, as well as web pages related to the collaborative dynamics that revolve around the Korean New Deal.

In total, it is estimated that 102 individuals were contacted for interview requests (the count implies the overlapping of contact made via telephone and email since most telephone contacts proceeded with communications via email where more explanation was provided regarding the objectives of the thesis). It was possible to interview four people, which was less than expected (a 10% of acceptance was estimated for the total number of people contacted). In light of this, two assumptions have been made, in addition to the limitations imposed by the language barrier.

The first one is related to the consequences of the high level of politicization surrounding the KND. Both public sector actors and civil society representatives preferred to maintain an official discourse and respond to questions via email, as well as share official information already published on their respective organizations' web pages.

The other reason for the lack of the expected acceptance is the country's impending presidential succession. As is well known, presidential command transitions are typically hectic and stressful for public servants, as they entail the completion and closure of various processes and reports. President Moon Jae-in will hand over the presidency to President-elect Yoon Suk-yeol in mid-May this year.

As mentioned above, it was able to interview four people who have participated in the process of formulating the Korean Green New Deal and/or are very familiar with the subject. Next, the profiles of the people interviewed are presented, in order to be able to identify them when citing what was mentioned during the interviews.

**Table 2. Characteristic of interviewed stakeholders**

Identification code	Gender	Age	Type of institution	Position
A	Female	33	Research Institute	Researcher
B	Male	60	Research Institute	Chief Research Fellow
C	Male	35	Ministry	Specialist
D	Male	40	Research Institute	Chief Supervisor

Regarding the interviewers' ethics and confidentiality, even though the interviews were conducted for solely analytical and academic purposes, the interviewers' confidentiality was guaranteed due to the potential political and critical ramifications of the policy.

As interviews are subjective, Emerson and Nabatchi (2015) assert that it is critical to employ less subjective methodologies when evaluating the product dimension. They recommend combining data from several sources and doing triangulation. Direct archive review from official and unofficial sources was conducted in order to confirm and compare data provided by informants.

### **C. Document collection**

An exhaustive file review was carried out. An archive review of Official Government Documents published on the Ministry's webpages, as well as opinion articles and related papers. To these were added the review of other web portals such as press releases, news from newspapers in digital version, and elaborate annual reports from the research centers, in which the record of the meetings and major events related to the Korean Green New Deal are registered, as well as goals achieved in terms of assigned research and design

advice and policy suggestions. Similarly, YouTube channels from both the state and news media and from civil society and research centers were reviewed.

Some of the main sources are the following:

- The Ministry of Economy and Finance webpage
- The Ministry of Economy and Finance webpage
- Korea Environment Institute webpage
- Korean Energy Economics institute webpage
- National Institute of Environmental Research webpage
- National Research Council for Economics, Humanities, and Social Science webpage
- The Korean Herald Digital version
- Eco-business webpage
- Forbes digital version
- Energy transition Organization webpage
- Green Climate Fund webpage
- The Korean Federation for Environmental Movement webpage
- Korea Environment Institute webpage
- 2050 Carbon Neutrality and Green Growth Commission webpage
- Green Peace Korea webpage

The following table indicates the typology of the different types of sources reviewed to obtain information used for the analysis of this thesis:

**Table 3. Typology of sources**

<b>Type of Source</b>	<b>Number of revised sources</b>	<b>Version</b>
Ministerial publications	8	Digital
Government press released	4	Digital
Research institute publications	6	Digital
News articles	12	Digital
Civil society organization articles	7	Digital
YouTube videos	2	Digital

As a methodological instrument for the systematization of interviews, the use of a consistency matrix will be used. This will allow organizing the information according to the main components and indicators corresponding to collaborative

governance. In this way, it will allow us to systematize, analyze and understand the mechanisms specified in the theoretical framework (Lafosse, *Elaboración y pertinencia de la matriz de consistencia cualitativa para las investigaciones en ciencias sociales*, 2020).

After every interview, key information through the reproduction of the audio and re-reading of the notes made during the interviews was inserted in the mentioned matrix. For this, an Excel template was used in order to organize and insert all the information related to every category obtained in the conceptual framework provided by Emerson et al (2012). The same process applied for the document review, as in many cases, after reviewing them (in some cases it included a translator procedure), the main data was introduced in the matrix. The written material, especially press releases, helped to understand the timeline and detailed procedure of the meetings held and important announcements regarding the KND. It provided information that was missed and not provided by the interviewers.

Finally, as a methodological concern, it's important to note that the access to the information for the present thesis was limited. Although the government of the Republic of Korea has its digital service systems translated into English, as well as the main materials, such as major public policies and strategies, it should be noted that not all official documents or academic papers, as well as most of the media, written press or journalistic analysis are translated or written in the English language.

Hence, the limitations are not only access to information and specific data related to the topic, but also, there is a limited understanding of the idiosyncrasy and understanding of the topic by local actors. This does not mean that there will not be some approximation or general idea in this regard, however, this disclosure has the objective of clarifying the aforementioned limitations.

Although not all official pages or media are translated/produced in English, secondary information media was used, which are normally written in the



mentioned language. These are mainly international or civil society organizations that count as staff or also allow scientists or experts on the subject, in this case, governance, climate change, and green growth, to write in these spaces.

## **Chapter 4: Findings: collaborative mechanisms**

The findings regarding the collaborative mechanisms used in the design of the Korean Green New Deal will be explained in this chapter. The structure will be guided according to the dimensions established in the theoretical framework explained in the first part of the thesis. As described in the methodology section, the information used in the analysis came from a review of documents and interviews with key actors.

### **A. System context**

This dimension is defined by the presented theory as a multidimensional arena that includes political, legal, social, environmental, and other elements. In other words, it is a structure that provides opportunities and pillars for approaching collaborative governance. According to the data collected, the following components comprise the system circumstances that lead to opportunities and, therefore, cooperation in the particular case study of the Korean Green New Deal.

The political–administrative system of the country is the first and main part of the system context that allows a collaborative dynamic. The presidential democratic republic was established in the year 1987, after the June struggle. According to the recently revised constitution, Korea became the 6th republic. From there, over the years, institutions were established and strengthened, thus promoting evidence–based policies in a democratic system that allows the representation and participation of citizens in terms of decision–making in the country.

On the other hand, how the administrative apparatus is designed can be considered as part of the system context. As described before, the Global Go to Think Tank Index Report, by the year 2020, identified 412 think tanks in the Republic of Korea. All of these are coordinated by the National Research Council for Economics, Humanities and Social science (NRC), which is a public organization right under the Prime Minister. Its job is to coordinate and help government-funded research institutions work together (National Research Council for Economics, 2022).

Therefore, the NRC is the main coordinator for the design of the Korean Green New Deal policy. It coordinated among the different institutions in charge of the dialogues, meeting setting, follow-up, etc. for the evidence-based discussions of the central policy.

Through the literature review and interviews with informants, other dimensions of the system context are the pressure of peer countries on South Korea as well as multilateral organizations in the matter of climate change. Being South Korea, part of the United Nations and a country active in international relations, its participation in international treaties such as the Paris Agreement is imminent.

At the last UN climate conference held in Glasgow, the Minister of Finance of the Republic of South Korea, Hong Nam-ki, announced that the country plans to invest about 73 trillion won (the US \$62 billion) in its main energy initiatives by the year 2025. Throughout the speech, the minister refers to the actions accomplished in the fight against climate change as "engines for growth", the ones that are designed in the Korean Green New Deal projects. He follows by indicating that 3.8 percent of the gross domestic product is going to be invested in the mentioned policies, the ones that will be implemented in order to achieve the country's commitment to cutting greenhouse emissions by 40% from the year 2018 to 2023. Finally, as another action to reaffirm the government's commitment to the fight against climate change, the announcement of more than

tripling its low-interest loans for green projects in emerging countries by the year 2025 as a part of the country's international cooperation policies (KEEI, 2021).

As per the information provided by one of the interviewers, which is aligned with the institutional discourse from the booklet regarding the Korean New Deal and Korean New Deal 2.0, the policy was proposed due to the increased polarized concerns of the Korean society, the ones who emerged from the COVID-19. The negative impact on the income of Korean families, added to the impact on learning tools that school students have had, the quality of life that Korean citizens have been used to, such as stress levels and relationships with family and peers, in addition to the notable increase in unemployment and, therefore, housing insecurity as well as access to goods (KND 2.0, 2021).

On the other hand, the action plans proposed by the KND policy respond to the commitment of the Republic of South Korea to transitioning to a green and low-carbon economy in order to face climate change at the same time as other demands such as digitalization and non-contact procedures. It goes in line with the country's commitment to becoming carbon neutral, considered the "global new normal" stated in the declaration signed by 25 countries at the so-called Leaders' Summit on Climate held on April 2021 and the Partnering for Green Growth and the Global Goals 2030 (P4G) Summit in May 2021 (KND 2.0, 2021). It's important to note that the summit took place in the city of Seoul, where 67 world leaders and representatives of international organizations made commitments to implement actions that go along with the Seoul Declaration, in which a net-zero future is proposed. The summit emphasized not only the importance of building partnerships in order to achieve the goals stated but also green recovery from the pandemic was highly highlighted (PG4, visited on 31 March 2022). This demonstrates international pressure for the government to be part of this kind of summit and be aligned with the international actors' demands.

Hand in hand with that, official government sources indicate the need to implement a policy like the KND and specifically the Korean Digital New Deal as a need to become the leading country in the field of digitization and AI among the fierce global competition (Ministry of Strategy and Finance, Korean New Deal, 2021). This was specifically stated in the "International Conference on the Green New Deal: Green stimulus in the post-COVID-19 Era and beyond." On September 16, 2021, international conferences were held by the South Korean government, which were transmitted to over 1,000 participants, who acknowledged the plans that the country is applying in order to deal with the pandemic economic effects following a carbon-neutral pathway. The conference took into account, as well, the similarities between the Korean Green New Deal Plan and other Green New Deals proposed all over the world. (GCF: 2021, revised 31 march 2022). The meeting was put on by the Green Climate Fund (GCF) and the Ministry of Economy and Finance of South Korea, which was the host country.

As stated in the second chapter, several civil society organizations have been expressing their concerns regarding the climate crisis and the urgent need for the Korean government to initiate concrete actions in this regard. One clear example is the manifestation organized by the non-governmental organization, Green Peace. On June 15, 2020, as a tribute to the start of the 21st National Assembly, a large hologram appeared in front of the National Assembly. They stated that they would keep an eye on how the National Assembly responds to the climate crisis when it comes time for them to do so (Jin-gam, Ji-hyun, & Jeong-bin, 2020).

As stated by one of the informants, Environmental civil society organizations have a long history in South Korea, due to the pollution problems that arose with the industrialization of the country: *"In the Seoul region, there is a strong movement from civil society, like the last Seoul's major political party. I would say that Seoul city has strong participation and a lot of power among civil society groups. Actually, we have a big movement on environmental issues because since the economic growth of Korea, we have been facing many issues like*

*pollution. We also have seen movements regarding climate change. They contact national assembly members and promote their opinions and force them to implement laws and regulations” (Interviewee C, May 2022).*

## **B. Drivers**

This dimension represents the inputs without which cooperation would not have been successful. First among these is the requirement for leadership as a crucial motivator. Specifically, the existence of a leader who can initiate collaborative governance and provide the required resources. Consequential incentives are recognized, which may be internal—identified as issues, required resources, interests, or opportunities—or external—identified as institutional crises, threats, or opportunities.

The political and economic context are the first factors that influence the dynamics of collaboration in the policy-making process of the Korean Green New Deal. Regarding the political reason, as stated by some of the interviewees and also by some opinion articles, the current government in charge of the Democratic Party of Korea, as it was close to the end of the presidential term, felt an urgent need to emit a policy and a "legacy" that traces a road map for the next 50 years of the country. A roadmap that, according to the pillars, will face the current and future challenges in the economic and environmental spheres.

Regarding the economic context, South Korea, like all countries around the world, was economically impacted by the consequences of COVID-19. As described in figure 1, the annual GDP growth of the Republic of Korea reached a value of -0.85% (The World Bank, 2022). Even though the impact was not as great as the world average, -3.29%, a policy to recover the impacts of the pandemic was needed. As per the information provided by the government and one of the interviewees, who is part of the administrative apparatus: *“in order to be prepared for the post-COVID19 period, the South Korean government established the Korean New Deal. South Korea's post-pandemic recovery will*

*be founded on three pillars: the Digital New Deal, the Green New Deal, and a Stronger Safety Net” (Interviewee D, April 2022).*

A second interviewee added to the economic crisis, the need for an environmental policy. As stated in the given interview: *“The pandemic situation and the economic crisis were the major trigger points of the Korean GND policy and also the carbon neutrality trend of the world... Many countries have announced plans to reach carbon neutrality by 2050, mostly. And also, South Korea has announced the goal of 2020. So, the combination of the economic and public health crisis and the carbon neutrality trend has made the Korean Green New Deal policy: those three components are the main causes of it” (Interviewee A, May 2022).*

To this is added, as indicated by one of the interviewees, the recommendations given by the IMF before the start of the pandemic: *“In 2019 the World Bank Korean mission, was visiting as every year, came in spring and after visiting Korea in May, the World Banks decided to release a recommendation to the Korean economy. The Korean economy has a strong macroeconomic condition and fiscal stability, but we were suffering from low demand and weaker economic activity, so the team recommended the expansionary fiscal policy during the rest of the year. So, we established a team to focus on social economic and humanitarian studies under the office of the prime minister” (Interviewee B, May 2022).*

Hence, the initial proposal of the Korean New Deal was based on the policy recommendations made by the International Monetary Fund to the Government of South Korea in May 2019, pre-pandemic period. In the report issued by the institution, it is pointed out that although the country has sound economic fundamentals, it is currently at a stage in which it is necessary to make certain changes and execute policies that help deal with issues such as the slowdown in economic growth, the inequality gap, as well as the demand for jobs. In this sense, the IMF specialists recommended the application of an integrated

macroeconomic package as well as financial and structural policies that help the country resume the economic growth to which they have been accustomed in recent decades (IMF, 2019).

The recommendations to establish stable economic growth were based on two types: short-term and long-term. Those of the short term suggested the provision of fiscal stimuli during the year of the given recommendations, 2019, through a supplementary budget that means more than 0.5% of the country's GDP. As additional measures, it was recommended to take into account increasing spending on targeted safety nets, child care, job creation, and training in the service sector. Recommendations were also included regarding policies that maintain macroeconomic prudence to deal with weaknesses such as households' debts, as well as the liberalization of monetary policies against projected inflation. On the other hand, to address the promotion of long-term growth, policies that revolve around inclusive growth and job creation were recommended. Specifically, the expansion of fiscal policies in the medium term was mentioned, which are focused on increasing social protection, promoting the participation of the female labor force, as well as promoting structural reforms that ensure growth that can be sustainable in resource terms (IMF, 2019).

On the other hand, according to theory, facilitative leadership is essential for getting stakeholders together and engaging them in an atmosphere of collaboration. According to one informant, who participated in the initial stages of the formulation of the Korean New Deal (even before the pandemic, specifically since the reception of the recommendations given by the IMF), one of the key factors that allowed the interaction among different stakeholders for the design of the KND policy was the role of the leader assigned to coordinate. This was stated by one of the informants: *“One of the Key features/ characteristics of this policy is that it was led by a very intuitive leader, chairman of the national research council: Seong Kyoung-Ryung, he led the process and he was very positive about how we should play a critical role and*

*responding the IMF recommendation in 2019. And then, Mr. Seong Kyoung-Ryung's leadership was very crucial, he coordinated all the different voices from different research institutes... he could because he was the chairman of the National Research Council and he attended almost all the weekly meetings and he decided what should be highlighted, what should be included, what should be emphasized. The leadership was crucial, and one of the key features of our New Deal” (Interviewee B, May 2022).*

The informant continued to highlight the relevance of the successful coordination of the NRC chairman. It is essential to balance all the voices from the different research institutes, each of them specializing in specific and different expertise from the others: *“He was the chairman of the Council and he was the coordinator of the process. Because the experts from different areas wanted to emphasize their focus. For example, we wanted to emphasize environmental sustainability and the experts from the science center, they wanted to emphasize the urgent need to respond digital transformation, we needed someone who could coordinate all the different voices and what should be included to balance the voices in the policy package” (Interviewee A, May 2022).*

### **C. Collaborative dynamics**

According to the theory, the collaborative dynamics sphere is composed of three interdependent elements: principled engagement, shared motivation, and the capacity for joint action. With these three parts of collaborative dynamics, activities are done in a way that is interactive and keeps going back and forth.

#### **Principled engagement, Shared motivation, and Capacity for joint action**

Communication can happen in these sub-areas in person, online, through networks between organizations, in both private and public meetings, and so on. Individuals with diverse content, connection, and identity goals work across



institutional, sectoral, or jurisdictional boundaries to solve problems, settle conflicts, or create value.

The shared motivation, according to the interviews, is guaranteed due to the presidential mandate and the direct involvement of the president himself. The political and governmental cut of the research institutes, along with the importance of the topic due to the considerable budget assigned, assured the shared motivation by the involved stakeholders.

Concerning the capacity for joint action, the National Research Council's coordination and the creation of the Green New Deal subcommittee of the Korean version of the New Deal advisory group ensured collaborative and institutionalized policy coordination.

According to the information gathered, several representatives and specialists from different governmental organizations held meetings organized by the specially formed Green New Deal Team, part of the Korea Version New Deal Working Group, and the National Research Council, specifically the Cooperative Research Planning and Management. This last is in charge of Mega Projects Designed by the Research Council: A Study on the Strategy Development for the Korean Green New Deal with the Korea Environment Institute as the principal research institute in charge.

In these meetings, different chosen stakeholders shared their proposals, concerns, and agreements regarding the topic. The meetings held before and after the launch of the Korean New Deal were sustained. According to one of the correspondents, a variety of actors participated in the meetings: *“We all worked together according to the NRC. We were environmental institutes, industry institutes, energy economics, transportation, marine and ocean, and agricultural economics institutions. 7 institutions were included in the process of this research, so I think similar actors from the public service in these fields were included in the policy-making process. I was part of the making backup information, a pack up knowledge”* (Interviewee A, May 2022).

On the other hand, in the formulation of the policy, specifically in the evidence collection stage, not only representatives of actors from within the government apparatus (national and local level) participated but also representatives of civil society and academics. As one of the interviewees mentioned: *“Some local-level civil servants participated in our meetings to get some information and some ideas, but they didn't participate regularly. They participated in some meetings when we requested. And some professors were invited to some meetings to give some specific presentations regarding methods or specific knowledge, and they gave us some presentations or lectures regularly. For example, one professor came to our meeting and gave one presentation on how to calculate job creation when we apply for the Green New Deal Program. Other participants from local research institutes were sometimes included in our meetings, irregularly”* (Interviewee A, May 2022).

Until now, according to the informants, depending on the stage of the formulation of the public policy, the working groups have met from twice a week to once a month. The frequency of the meetings varies according to the sector, rank, and type of work group to which they belong. For example, the meetings of the research team were held at the beginning, once a month. But over time, they were more and more frequent: *“The Green New Deal was announced in July 2020. The backup of the policy started in May 2020 and ended in January 2021 for 8-month duration. We held regular meetings with the Council's researchers and professors. So, the research was based on the fact that the policy had already been announced and we were proposing how to make the policy better. How to strengthen the policy and add more details on the policy. Some of the proposals were accepted by the public servants, but others were not accepted, because some of them were really too idealistic for real society. Researchers, we always propose something really good, so some of the proposals were accepted and some others were not. So, the election was announced in July 2020 and the plan was announced later, the ones that included our research results.”* Regarding the frequency of this type of meeting, the interviewee

stated that “... we used to meet once a month, but during the last few months of the study, we met more than once a month to wrap up the study. We were using Zoom because we were not able to meet in person. As I told you, there were participants from different institutes all gathered together. Some small meetings were also held in person due to the COVID-19 regulations at that time” (Interviewee A, May 2022).

According to the National Research Council annual report, the following activities of the Joint Research Group in charge of the Korean Green New Deal policy suggestion were executed: It should be noted that only the main activities are mentioned in this section, not the frequent meetings.

**Table 4. Activities held by the National Research Council**

Date	Research Group	Event topic
March 27, 2020	<b>Innovative Economy Research Council</b>	<ul style="list-style-type: none"> <li>- Open expert meeting of the Innovative Economy Research Council</li> <li>- Expert presentation and discussion on the “transitional new deal season II – sustainable development in the transitional new deal and green new deal”</li> </ul>
April 3, 2020	<b>COVID-19 Response Research Group</b>	General discussion on the industrial strategies against COVID-19 and green new deal measures such as housing/urban, energy, rural, marine, environment, etc.

<p>June 12, 2020</p>	<p><b>Inclusive National Research Council</b></p>	<p>Seminar of the Inclusive Nation Research Council:</p> <ul style="list-style-type: none"> <li>- Realizing an urban-rural inclusive society: construction of a rural utopia (Kim Hongsang Kim, President of the Korea Rural Economic Institute, Song Mi-ryung, head of the Agricultural Policy Research Division of the Korea Rural Economic Institute)</li> <li>- Green new deal, what to include and how to include them? (Yoon Sun-jin, Professor of Seoul National University)</li> <li>- Reform in the public pension funds as a universal owner (Ryu Young-jae, CEO of Sustinvest)</li> </ul>
<p>July 14, 2020</p>	<p><b>Future Forecasting Research Council</b></p>	<p>Meeting of the Future Forecast Research Council (5th) Innovative breakthrough in the era of post-COVID-19 Expert presentations and discussions, etc. related to the digital new deal and green new deal</p>
<p>August 14, 2020</p>	<p><b>Innovative Growth Research Group</b></p>	<p>NRC Venture Renaissance Forum Seminar (2nd)</p> <ul style="list-style-type: none"> <li>- Digital New Deal 2020 and Ventures (Professor Song Lak-kyung of KAIST)</li> <li>- Geen New Deal and Ventures (Kim Bong-gyun, Head of the</li> </ul>

		Korea Energy Technology Evaluation and Planning)
October 6, 2020	<b>Innovative Economy Research Council</b>	Open expert meeting of the Innovative Economy Research Council (30th) –Expert presentation and discussion on the green new deal and energy transition, etc.

Source: National Research Institute Annual Report – The year 2020.

Meetings regarding the core knowledge needed for the policy based on evidence were held. As stated by one of the interviewers: *“I was part of the research team, and there was a combination of different fields. I just want to show you the report of the NRC, and under this council, there are many research institutes, including mine. We all worked together according to the NRC. We were environmental institutes, industry institutes, energy economics, transportation, marine and ocean, and also agricultural economics institutions. 7 institutions were included in the process of this research, so I think similar actors from the public service in these fields were included in the policy-making process. I was part of making backup information, a pack up knowledge”* (Interviewee A, May 2022).

In these meetings, there was a notable presence of actors outside the state apparatus, who were able to give their opinion and provide information regarding the topics discussed based on their experience and expertise. This premise was provided by the same interviewer: *“A private research institute for green transformation called Green Transition Research Institute participated in our meetings and seminars gave some information or making some opinions. And also, the one called Korea Federation for Environmental Movement is one of the civil society organizations in Korea focusing on the environmental movement. They have also participated in our seminars too”* (Interviewee A, May 2022).

On the other hand, according to the press releases by the Korean government, several meetings were held in order to define the KGND action plan. These types of meetings started after the Korean version of the New Deal Advisory Group was launched. It was composed of 50 experts in the fields of the Digital New Deal, Green New Deal, and safety net reinforcement. Among them, 18 advisors with field experience and expertise in climate change, energy, future cars, and green technology were appointed to the Green New Deal subcommittee. The advisory group was set up so that those policy ideas could be made to improve the Green New Deal's tasks and plans over time.

The first meeting of the Green New Deal subcommittee held on September 9, 2020, collected various field opinions from several institutions. The participants were part of different institutions: the Office of Climate Change Policy of the Ministry of Environment; the Office of Energy Innovation Policy of the Ministry of Industry; Yonsei University; Kyunghee University; Sookmyung Women's University; Korea University professors; Environmental Policy Evaluation Institute; Korea Transportation Research Institute; Korea Research Institute of Chemical Technology; Environmental Energy Research Institute; Korea Energy Research Institute; CEO of Eco & Partners; and SK Supex Council. In it, the main idea of the KGND, objectives, and details regarding future meetings was established (Korean Government, 2021).

These types of meetings have been held over the months, in which the participation of different stakeholders has ensured the diffusion of the diversity of opinions among the voices of Korean society.

The coordination between different actors was given, according to the level, to different stakeholders. As seen before, the coordination among research institutes was in charge of the National Research Council. On the other hand, the coordination of the New Deal and Green New Deal was given to the Ministry of Economics and specifically the Subcommittee on Korean Green New Deal. The coordination on a micro-level was held by the Korea Environment Institute:

*"...this research institute, as part of the Korean Green New Deal Research team, had the responsibility to talk with civil servants and other actors. So, sometimes we went to the Ministry of Environment to talk with them and to discuss some ideas or research methods. We sometimes hold seminars to promote our research results, and we also make a research summary to promote our research results to the public. The seminars from the research team were usually open to the public via YouTube or online broadcasting from the research institutes, but we didn't have many publics"* (Interviewee A, May 2022).

Throughout this subsection, the meetings and direct interactions that the stakeholders had with each other during the development of the Green New Deal policy have been detailed. In general, a fluid interaction is identified between the different actors from a variety of sectors involved in the issue of sustainable development. They are supported by one of the statements made by one of the informants of this thesis: *"Past policies are different from KGND because they were only focusing on economic development by developing green industry and green technology. Here we include social and climate components. The GND considers climate, environment, economy, and social things all together for the whole economy. For example, now energy transition is possible to apply because GND implies the transformation of the whole society... I think the Green New Deal has been more inclusive compared to the last policy regarding the environment, where there were many policy opinions and criticism of the deliberation process. This most recent policy was more inclusive than the last two"* (Interviewee A, May 2022).

It's important to highlight, the time limit mentioned by the interviewees, and variables identifying as restrictive for stakeholders' wide participation during the Green New Deal policy design process. It was stated by two different informants: The first one, stated that the policy-making process in Korea tends to include a variety of stakeholders since the beginning of the policy process: *"usually we invited NGO and civil society when we develop new initiatives and programs, but this was kind of a refining process and policy recommendations*

*and alternatives for the government. They really wanted to develop a policy package, but there was no time back then. After that, we started a wide communication with civil society after the launch of the KND in July”* (Interviewee B, May 2022).

The other informant stated something similar: *“Not many institutes were invited since they produce the policy within a short period of time, not all the institutes were called. When the president made the proposal to the public, the government was working hard to get the approval for the complementary budget”* (Interviewee A, May 2022).

#### **D. Collaborative actions**

According to the authors, a victorious collaborative governance regime will achieve new methods for successful collaborative activities that will be defined by stakeholders following a typically non-linear process, which requires consensus building. In the following, the formulation of new collaborative spaces, as a result of the interaction among different stakeholders, will be described.

The channel is maintained through the National Assembly so that citizens can share their concerns and demand action from the government. The fact was confirmed by two of the informants: *“The public hearings are made in the National Assembly, with the Congressman. They organize it frequently and listen to the opinions of the citizens. As far as I know, more than a dozen seminars and public hearings before the announcement of KND. Between our proposal and the final policy package, there were more than a dozen hearings organized by the National Assembly”* (Interviewee B, May 2022).

The channels are reinforced and organized by organizations such as Green New Deal Citizen Action. It is a civic organization founded with the assistance of Greenpeace volunteers to address the climate problem and promote energy conversion. Among these, the 'National Assembly Monitoring Team' was responsible for monitoring whether members of the National Assembly made concrete efforts to address the climate catastrophe and encouraging the



National Assembly to do so with a strong voice (Jin-gam, Ji-hyun, & Jeong-bin, 2020).

In this dimension, collaborative space has been funded. It is the Citizen Action National Assembly Monitoring Team for the Green New Deal. It has ten leaders and approximately fifty members, for a total of sixty volunteers. Activities are divided into a "government audit" and a "policy action" group to achieve the goal of "urging political circles to adopt policies to aggressively address the climate problem." 300 members of the National Assembly are being investigated to determine if they participated in climate- and Green New Deal-related activities across a range of legislative activities, including state audits. Additionally, Green Peace acts as a lobbyist to ensure that the views of citizens are reflected in actual policy (Jin-gam, Ji-hyun, & Jeong-bin, 2020). It is a campaign in which citizens have a voice, and it is conducted entirely online. The unprecedented campaign and the opportunity to meet a large number of people face-to-face who are enthusiastic about the "Green New Deal." Participation is open to all citizens, irrespective of age, status, or place of residence.

Since the beginning of the 21st National Assembly, 300 legislators have evaluated and awarded points for significant legislative actions in the areas of legislation, research groups, interpellation, standing status, and parliamentary audit. All materials were evaluated using data provided by the National Assembly, such as the bill information system, the website for National Assembly minutes, and the Internet broadcasting system, and after thorough verification, media-displayed content was factored into the score. The top ten legislators were determined by adding the points earned in each category after completing all questionnaires.

The National Assembly members that were listed in the top ten comprised nine members of the Democratic Party of Korea and one member of the Justice Party. Among the elected parliamentarians, the Small and Medium-Sized Enterprise

Committee for Trade, Industry, and Energy had the most members (3), while the Environment and Labor Committee had two members.

The Green New Deal Citizen Action paid a visit to the offices of National Assembly members Kim Seong-hwan and Lee So-young, both of whom got high marks among the National Assembly's ten selected members and hosted a citizen meeting. As detailed by one of the Green Peace volunteer activists, the most stunning feature of Assemblyman Seonghwan Kim's workplace was a whiteboard with the concept of a 2050 carbon-neutral pathway, which gives light regarding the concerns of the senator about the climate catastrophe.

The conference provided an excellent chance to connect with legislators and to receive straight information about the state of the carbon-neutral drive. We were able to learn about the concerns raised by our civic acts throughout the monitoring process, as well as perspectives on how lawmakers and governments could collaborate with civic groups and citizens to develop a Green New Deal in the Korean style that can avert the climate problem.

Additionally, people from Green New Deal Citizen Action went to the offices of the eight National Assembly members who were chosen to tell them about the results and give them the plaque of thanks.

The National Assembly Monitoring Team for the Green New Deal Civil Action intends to return for a second term next year and continue monitoring activities in the National Assembly. By continuing to behave as Green New Deal citizens, we want to accomplish two goals. The first is to establish a parliament that is more proactive in responding to climate catastrophes. We will congratulate politicians who have responded well to the climate issue and urge parliamentarians who have gotten worse rankings to respond aggressively to the situation. The second will bring individuals to the forefront of the climate crisis response. Climate change is becoming an increasingly personal issue for residents, and as a result, voters are increasingly demanding a direct response

to the catastrophe. The number of people who know about the climate crisis keeps growing, and more and more of them want to take action on their own. On the other hand, the second and one of the most important spaces for collaboration is the establishment of the 2050 Carbon Neutrality and Green Growth Commission.

The Commission was renamed the 20250 Carbon Neutrality and Green Growth Commission in March 2022. It was established in May 2021 to reinforce the strategies and policies published in response to the October 2020 2050 carbon neutrality statement, and its name was changed in March 2022. According to the Commission's website, its primary objective is to manage carbon neutrality policy and facilitate stakeholder participation and communication.

The commission has formulated specific goals. Among these are the establishment and evaluation of a carbon neutrality system. This is a response to the recently enacted Framework Law on Carbon Neutrality and Green Growth, which includes a budget increase of 12 billion KRW for 2022.

Two plenary sessions, ten planning, and management meetings, seventy-two sub-commission meetings, thirty-three expert commission meetings, and twenty-six consultative body meetings are among the scheduled coordination activities through November 2021.

Regarding the three drafts of the 2050 Carbon Neutrality Scenarios, the commission provided a summary of the contributions and perspectives of numerous social sectors. There were twenty total meetings with industry, civil society, and youth representatives. There were collected 94 opinions from 115 institutions or organizations. From this, two proposal drafts were generated.

Its coordination mechanisms are based on an organizational structure with the prime minister and a private sector representative as co-chairpersons. These co-chairpersons are joined by principal members who represent the various levels of government, subject matter experts, and citizens from a variety of

social sectors. This core is comparable to the General Planning Commission and advisory bodies.

## Chapter 5: Conclusions

### A. Summary of the Thesis

The information gained during the fieldwork adds to a deeper understanding of the current processes of collaboration between the Republic of Korea's central government, research institutes, and civil society, particularly environmental advocates. In this chapter, I present the findings and major lessons from the research, as well as practical implications for public administration, based on the reading of the research question and the data gathered along the thesis writing process.

The main objective of this research was to identify the interaction process of the different governmental and non-governmental actors. Obtaining insights regarding the process of developing policies as relevant as the one mentioned, may be taken into account and applied by the public administration of developing countries such as mine, Peru.

The selected case may provide relevant insights for the application of similar policies that are already being applied and will probably be applied in the not-too-distant future since funds such as the one assigned to disseminate the Korean experience of the New Deal, as well as the need to execute measures urgently needed to tackle the climate crisis.

The main conclusion is the confirmation of the collaboration of different stakeholders during the design of the Korean Green New Deal.

Two stages of collaboration are identified in the process. The first is at the intergovernmental level with limited participation of external participants. In this stage, main decision-makers and technicians from the offices and assigned areas of the Ministries participate, as well as the research centers related to the subject. In this process, a limited number of non-governmental stakeholders were included, as mentioned: a private research institute named Green

Transition Research Institute and one of the main civil society organizations specializing in the environment called the Korea Federation for Environmental Movement. Expert professors in the field who are part of universities are invited to be part of the policy design process as well.

The second part of the collaboration has taken place, in this case, after the launch of the first version of the Korean New Deal. This is due to local and international pressure, especially to reach net-zero emissions by 2050. Through the National Assembly's channel for citizen participation, groups of citizens spoke out about their concerns and the lack of accuracy in proposed steps to deal with climate change and make the environment truly sustainable.

These two levels of collaboration have been carried out thanks to a contextual system in which the political structure encourages the participation of the different stakeholders involved. On the other hand, the nature of politics, by requiring the intersection of specialists from different subjects (energy management, urban planning, green energy, transportation, among others), has been able to be satisfied due to the Korean government structure, which has a great diversity of research centers, in addition to a central institution in charge of coordination between them.

It is important to highlight the pressure exerted by non-governmental actors. These have occurred both at the international level, through specialized organizations dedicated to dealing with climate change, and at the domestic level, through civil society groups organized to express their concerns regarding climate change and actions undertaken by the state. Without the binding character of international agreements on climate change, as well as the important role and pressure exerted by international organizations, including the IMF, decisions regarding policies related to climate change would be different.

An interesting discovery in the case study is the leadership role mentioned by one of the informants. According to the theoretical framework used, having

active and assertive leadership is a fundamental driver for the gestation of subsequent collaborative actions between the different stakeholders. In this case, the role was carried out by the chairman of the National Research Council, who is specifically assigned by the president of the republic.

As the selected theoretical framework says, collaborative processes should not be seen as linear. On the contrary, they are interactive processes in which, over time, the exchange of positions and points of view is defined. The case of the formulation of the Korean New Deal is no exception. The formulation of the second version of the Korean New Deal is proof of this, which included goals more committed to the fight against climate change.

The formulation of the KGND found collaborative spaces already established, given that there were already state interaction mechanisms to ensure the formulation of evidence-based policies as well as communication channels with citizens. One of these spaces, and the one most mentioned by those interviewed and according to the media, is the space provided by the National Assembly, in which organized citizens share their opinions, raise their voices, and monitor the interests that they fight for. An example of this is the publication of Green Peace, where the interaction with the members of the National Assembly is narrated.

## **B. Limitations of the methodology**

Since the case study is a method that observes, analytically and in-depth, a person, an organization, or a small community to identify general characteristics, it implies some limitations. This methodology limits the results, to some extent, to the specific case. It means that we do not permit the development of universal explanations. However, the case study enables the identification of certain insights that offer general visions and global explanations of processes. That is why the following section will provide policy

recommendations to be taken into account by public managers who work in different contexts.

In addition, it must be considered that, as this is a case study, only certain components of social reality are addressed; in this case, the design of the Korean Green New Deal, which must be supplemented with information from other sources and a wider range of stakeholders.

Another limitation to consider revising this thesis is the restricted access to information. Although the government of the Republic of Korea has translated its digital service systems and key materials, such as major public policies and strategies, it should be noted that not all official documents or academic papers, nor the majority of the media, written press, or journalistic analysis are translated or written in English. On the other hand, although the interviewees had a good command of the English language since this was not the native language of both the researcher and the stakeholder, a limitation was identified in the communication channel. Therefore, it's important to take into consideration that there is a language barrier on both sides, which limits the provision and understanding of certain details.

Despite contacting 102 people with interview requests (via telephone and email), only four people could be interviewed, fewer than expected. This was due to the KND's high level of partisanship. Both public sector players and civil society members favored maintaining an official dialogue, responding to queries through email, and disseminating official material previously published on the websites of their respective organizations. The absence of the anticipated interview acceptances is indicative of the country's imminent presidential succession, which is commonly known to be chaotic and stressful for public workers, as they need to complete and finalize several processes and reports.

Finally, it must be taken into account that the Korean case study is particular since it has unique political and cultural processes, such as the Korean War, which influence today's social interactions as well as the ways of making public policies. It's important to consider the peculiarities of Korean society, such as



its homogeneity and how the rules for living together thought by Confucianism and Buddhism have shaped it.

## C. Policy recommendations

The findings of this thesis provide enough insights to enlist several policy recommendations for other collaborative efforts to be applied in the policy designing process:

1. Based on what was seen throughout the building and restructuring of the KND and KND 2.0, it is crucial that all parties, and notably government officials in a government–initiated partnership, be extremely attentive to the concept of inclusion from the very beginning. Failure to involve key stakeholders from the outset raises the likelihood of multiple subsequent restructurings of the policy. With government–mandated collaborative governance, the risk of venue shopping is arguably higher. Stakeholders have more experience with adversarial policy settings and may not understand what collaborative governance is, which could make it more likely that obstacles will show up.
2. The second policy proposal is the necessity of having or establishing institutional underpinnings that ensure the collaboration and involvement of many stakeholders. Basic protocols, ground rules, and regulations are essential to the validity of the collaborative process's procedures. Broad–based participation is not only a reflection of collaborative governance's open and cooperative character. The foundation of a legitimacy process should be the chance for stakeholders to discuss policy results with others and the assertion that the policy conclusion represents a broad–based consensus. Setting up transparent process management at the center of government and institutions will make sure that everyone is heard and that joint solutions are valid.

3. As shown in the findings chapter, strong leadership is essential for bringing parties to the table and guiding them through the challenging phases of the collaborative process. Leadership is essential for establishing and upholding clear ground rules, fostering trust, promoting discourse, and exploring opportunities for mutual advantage. It is crucial, therefore, that the assignment of a head who is aware of the coordination with the multiple stakeholders, the same must be recognized and reaffirmed by all the actors involved so that it is facilitated and can legitimize the leadership of a single person.
4. The collaborative approach entails not just negotiation but also the development of trust among parties. It may be fairly challenging to create trust, which is frequently the most important part in the early stages of collaboration. This is not to imply that creating trust is a different process from serious communication and negotiation. However, effective collaborative leaders are aware that they must create confidence among former adversaries before stakeholders will risk manipulation. Consider that the process of establishing trust is frequently time-consuming and requires a long-term commitment in order to achieve joint achievements.
5. Finally, a key insight regarding collaboration, that has been discovered throughout the preparation of the thesis, is the importance of the different levels of specialization of the research centers. South Korea, having a boasts numerous research centers thanks to its substantial research and development budget.

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Finally, this manuscript is dedicated to my family and friends, especially my mother, father and brother, as well as every woman in my family's lineage. Being the first woman to receive a full higher education implies a tremendous honor for me.

# Annex 1.

## Semi-structured interview questions

### Introduction

As I mentioned before, I am a foreign student of the master's degree in public administration at Seoul National University and a public servant in my country, Perú. The information provided in this interview will provide me the proper inputs to a proper analysis of the current thesis I am developing. The title of my thesis is the following: "Collaborative process in the design of public policies, the case of the Korean Green New Deal". The main target of the research is the identification of collaborative processes applied to the design of public policies. The research seeks to understand the interaction process of the different governmental and non-governmental actors. Obtaining insights regarding the process of developing policies as relevant as the one mentioned, may be taken into account and applied by the public administration of developing countries such as mine.

### Basic information

Name:

Institution:

Position and time in the position:

### Questions

- Can you tell what triggered the formulation of the Korean Green New Deal?
- Which institutions participate in the design of the Korean Green New Deal?
- How often were the meetings held?
- Did the meetings include research institutes and civil society organizations?
- In addition to meetings, what other mechanisms were considered for the decision-making process?
- What were the primary and secondary sources of information for making policy decisions and setting goals?

- In your opinion, what is the level of legitimacy of the different stakeholders that participated in the design process?
- Is there anything else you would like to add related to the collaborative processes of the KGND?

## 국문초록

# 공공정책 설계과정에서의 협력적 거버넌스 : 한국 그린뉴딜 사례를 바탕으로

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글로벌행정전공

협력적 거버넌스는 수년에 걸쳐 증가하고 있다. 전 세계의 기획자, 공무원 및 연구원들은 공공 정책 문제에 대한 솔루션을 공식화하기 위해 협업한다. 증거 기반 정책 결정과 그 목표는 주요 이해 관계자 간의 협력 없이는 달성될 수 없다. 이 논문은 공공 정책을 설계하는 동안 다양한 정부 및 비정부 행위자와 적용된 협력 메커니즘의 상호 작용 프로세스를 식별하는 것을 목표로 한다. 이를 위해 새로 공식화 된 정책이 선택되었는데 한국 그린뉴딜이다.

본 논문은 여러 출처의 문서를 검토하고 핵심 주체와의 인터뷰에서 얻은 정보를 통해 정책 형성의 메커니즘을 설명한다. 협력적 거버넌스에 관한 폭넓은 이론적 틀을 통해 획득한 데이터의 해석을 바탕으로, 이 논문은 한국의 그린뉴딜 정책 설계에 있어서 능동적인 협력적 거버넌스를 식별한다. 협력은 두 가지 다른 단계에서 확인되었다. 첫 번째는 주로 중앙 정부와 지역 및 시민 사회 조직의 제한적인 참여와 같은 다양한 정부 기관 간의 협력을 의미했다. 두 번째 단계는 보다 광범위한 협력적 거버넌스를 수반하는 한국형 뉴딜 2.0의 창출과 관련이 있다. 따라서 본 논문은 한국의 그린뉴딜 정책 설계가 기존의 유사한 정책들과 차별화되는 여러 이해관계자들의 다양한 표현 방식으로 인해 시간이 지남에 따라 증가하는 협업 형태를 포함하고 있다고 결론지었다.

주요 키워드: 협력 거버넌스, 정책 설계, 공공 정책, 협력 메커니즘, 한국 뉴딜, 그린 뉴딜

