ESCWA Capacity Building Workshop on Open Government in the Arab Region

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Economic and Social Commission for Western Asia

The four-phased ESCWA framework on Open Government

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Development stages:
Obama Open Government Directive 2009

- Transparency

  Government accountability

  Public has information about what government is doing

- Engagement

  Pubic can contribute ideas and expertise

  Government can make more informed policies

- Collaboration

  Improve government effectiveness

Development stages: European Union

- ## European vision for public services 2013
  - Opening up and sharing assets
  - Making data, services and decisions open
  - Increase bottom-up
  - Participative forms of service design, production and delivery

- ## Open government
  - Transparency
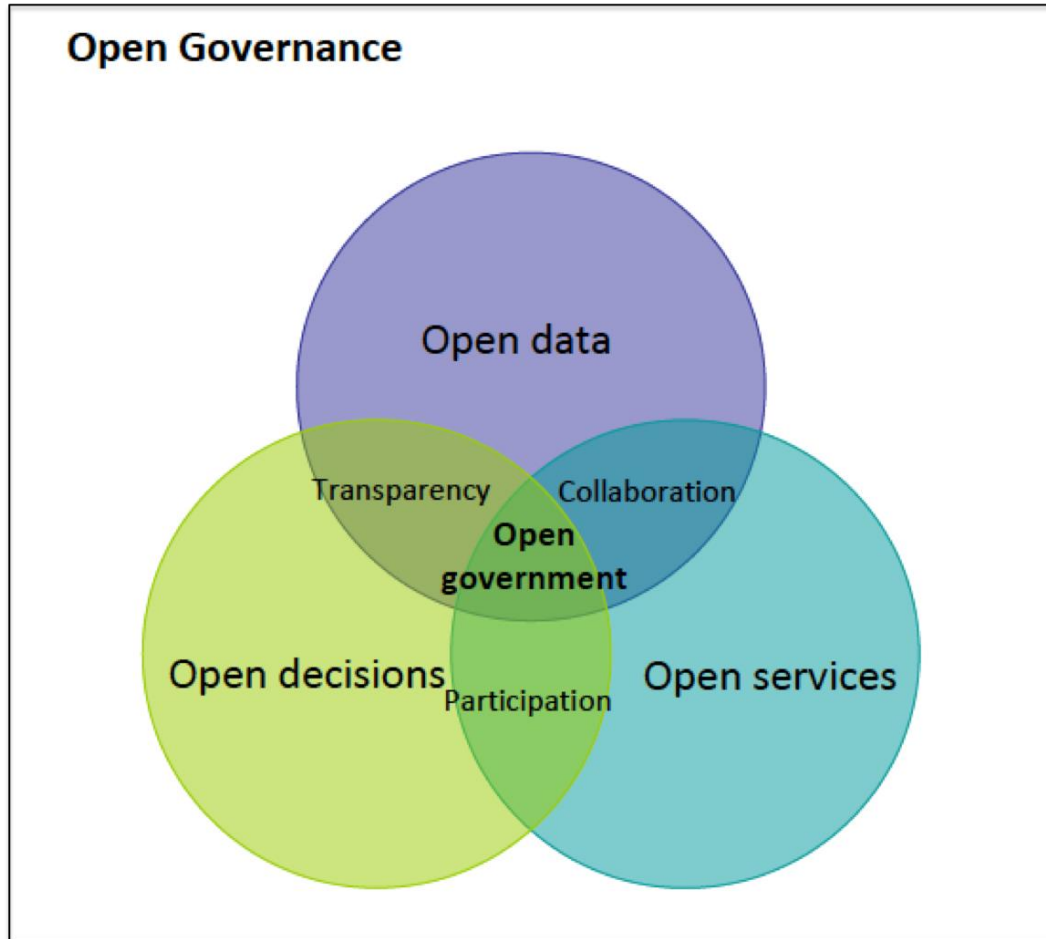 - Participation
  - Collaboration

Three pillars of Open Governance in the EU

OECD digital government strategies

How technology can be used to:

1. Greater transparency, openness and inclusiveness of gov. processes
2. Encourage engagement and participation in pub. service design and delivery
3. Data-driven culture in pub. sector
4. Risk management approach

Please note (1)

eParticipation and Open Government are <u>not goals in themselves</u> – they are tools to make wider societal goals possible.

- Cornerstones of efficient and effective government

- Both political and strategic level

Please note (2)

Participation Benefits

– Service efficiency and effectiveness

– Quality and legitimacy of decisions

– Good governance and active citizenship

eParticipation Benefits

– Reduced transaction and coordination costs

– Greater deliberativeness

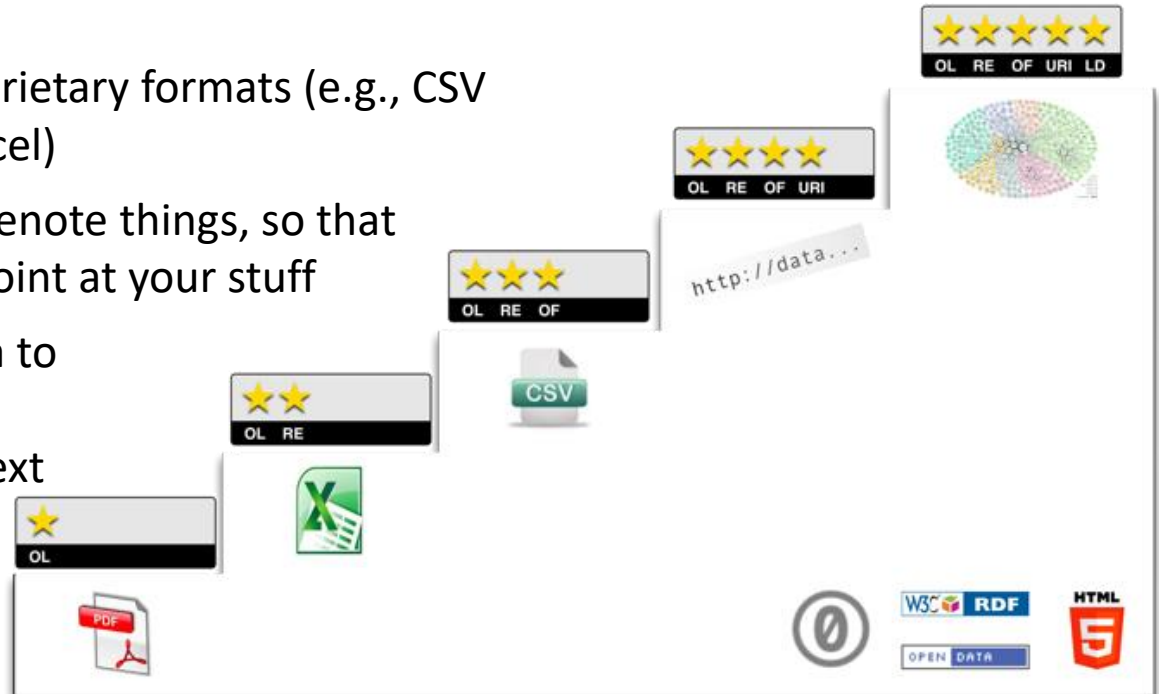– Enhanced information-processing capacity

Tim Berners-Lee's 5-star scheme for open data

★ make your stuff available on the Web (whatever format) under an open license

★★ make it available as structured data (e.g., Excel instead of image scan of a table)

★★★ use non-proprietary formats (e.g., CSV instead of Excel)

★★★★ use URIs to denote things, so that people can point at your stuff
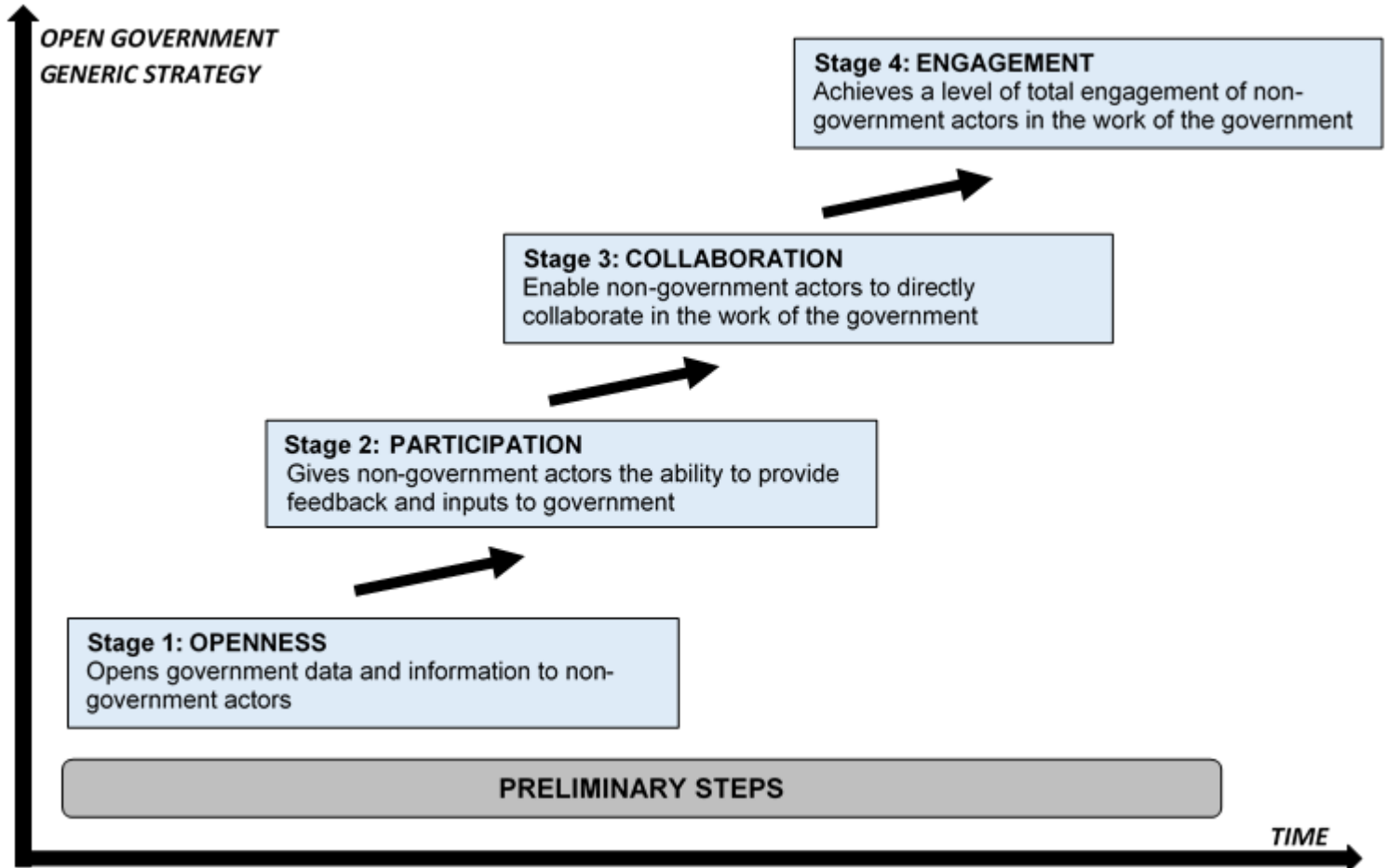
★★★★★ link your data to other data to provide context

Generic strategy for open government

OPEN GOVERNMENT
GENERIC STRATEGY

Stage 4: ENGAGEMENT
Achieves a level of total engagement of non-government actors in the work of the government

Stage 3: COLLABORATION
Enable non-government actors to directly collaborate in the work of the government

Stage 2: PARTICIPATION
Gives non-government actors the ability to provide feedback and inputs to government

Stage 1: OPENNESS
Opens government data and information to non-government actors

PRELIMINARY STEPS

TIME

Four-phased framework

What	How	Why
1. Openness for Transparency	➢ What government does and how it is organised	✓ Accountability
2. Participation	➢ Feedback loops	✓ Responsive
3. Collaboration	➢ Co-creation	✓ Inclusive
4. Engagement	➢ Shared responsibility	✓ Effective

Preliminary steps

- **Availability and use of ICT**
  + business process reengineering in and across gov. entities

- Declared policy document outlining **national vision for participation** and open government

- **Change management strategy**

- Increase **capacity** of gov. employees

- Raise **awareness** among non-government actors

Phase 1: Openness strategy

- One-way flow of **information** from G2C

- **Government is active**, other non-government actors are passive

- Activities to be fully **transparent**
  (with legally defined exceptions)

- Public can **hold government to account** of policies and performance

- **Putting Data Online**

Phase 2: Participation strategy

- **Two-way** exchange of information, knowledge and opinions

- Government becomes **active and re-active**, other non-government actors are re-active

- Activities to be fully **open** to public engagement
  (with legally defined exceptions)

- Public **contribute ideas and expertise**

- Government **determines the agenda**

- Government **pertains the leading role**

- Putting data online and **machine readable & structured**

Phase 3: Collaboration strategy

- **Two-way** exchange of information, knowledge and opinions

- Government and non-government are **both active and reactive**

- Putting data online and **machine readable, structured and using open standarts**

Phase 4: Engagement strategy

- **Multi-way** exchange of information, knowledge and opinions

- Government and non-government are **both active and reactive**

- All legitimate actors can set the agenda and the overall policy framework

- **Co-governing** based on shared agenda

- But government retains ultimate right to exercise control and supervision – it must balance all interests in society

- Putting data online and machine readable, structured and using open standarts, and **linked to other data-sets**

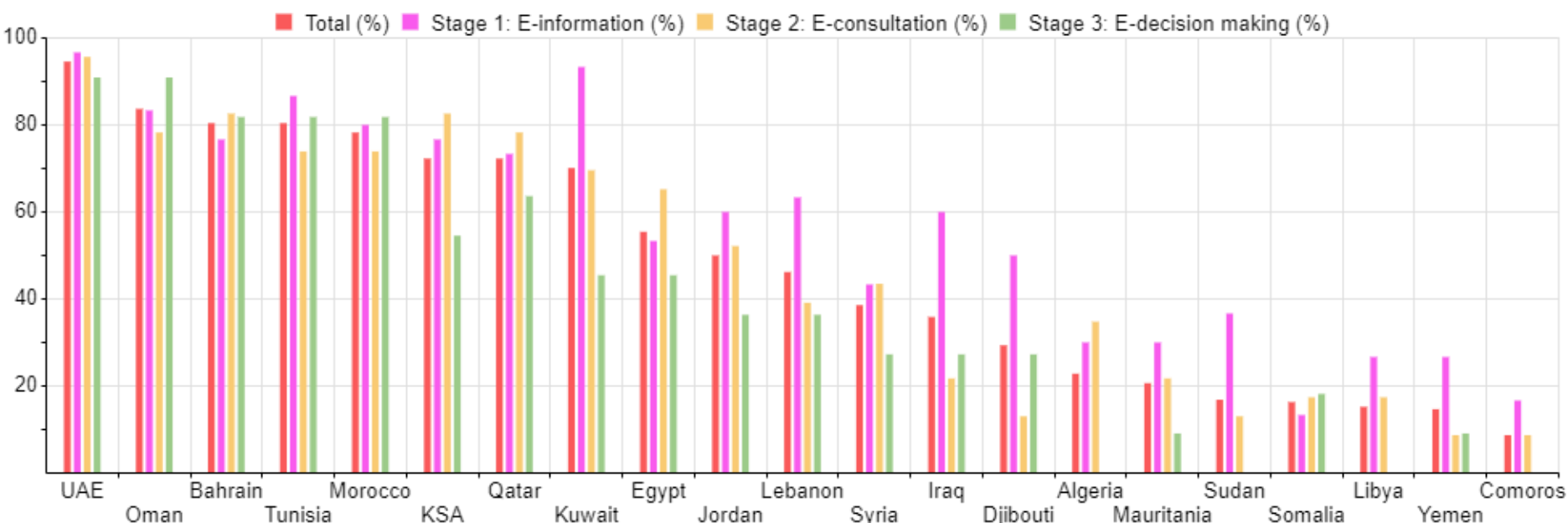# UN eGovernment Survey E-participation Index

UN E-Participation utilisation by stages 2018

Legend: ■ Total (%) ■ Stage 1: E-information (%) ■ Stage 2: E-consultation (%) ■ Stage 3: E-decision making (%)

Countries (x-axis): UAE, Oman, Bahrain, Tunisia, Morocco, KSA, Qatar, Kuwait, Egypt, Jordan, Lebanon, Syria, Iraq, Djibouti, Algeria, Mauritania, Sudan, Somalia, Libya, Yemen, Comoros

E-Participation Framework is comprised of the following three stages:

    Stage 1 - E-information: availability of online information

    Stage 2 - E-consultation: online public consultations

    Stage 3 - E-decision-making: directly involving citizens in decision processes

Openness strategy – Policy

- All* government activities *in principle* fully transparent: Decisions themselves, as well as the evidence and rationale for them should be transparent.

- The public can then:
    - 1) Understand how government works
    - 2) Hold government to account

- Long-term and politically stable framework

- Aligned with broader social policies

- Impacts, benefits, costs

- Quick wins
(Collaborative alliances, coordinate strategy, body with cross-government responsibility and power)

- Tackle resistance

*) Except in specific legally defined areas. There are areas of legitimate privacy!

Openness strategy – Institutional framework

- **Institutions**
  (State/national Authority or competence)

- **Governance**
  (centrally, de-centrally) – coordinate strategy at top gov.
  level (eg. prime minister office, taskforce in min. of finance)

- **Monitoring/anlyzing impacts**
  (standardized approach)

Openness strategy – Legal and regulatory

- **Legal and legislation**
  (freedom of information, re-use of information and data)

  Once only principle, consider digitization before legislation

- **Open government data**
  (inventory of data, Chief Data Officer, data quality, ownership of data, taxonomies/global standards)

- **Data protection**
  (identity assurance(UK), see own data (Estonia))

- **Security**
  (technical, citizen data, reputation)

Openness strategy – Government capacity

- Open government data
  (focus on high value datasets)

- Government personnel
  (whole-of-government perspective, civil servants carrier progression)

- Raise awareness

- Cross border
  (e.g. European Interoperability Framework EIF)

Openness strategy – Technology features and channels

- Tools and features for transparency

  1. portals,
  2. transparency features,
  3. open government features,
  4. data protection features

- **Suit the needs** of both government and users

- Raise **awareness** specifically amongst non-gov. users

- Provide **incentives** (why? what's in it for you?)

Openness strategy – Public capacity

- **Basic digital training**
- Curate **demand side ecosystem**
  (survey, quick wins, potential pioneers)

Participation strategy – Policy and strategy

- **Participation policy**
  (1. why, 2. list of facility and functions, 3. how participation will by handled, 4. expected user behavior)

- **Success criteria**
  (explain in language people can understand – and let people express their anger and frustration, no black hole)

- **Participation process**
  (describe)

- **User-centered design**
  (design thinking, personas, service pathways)

- **Personalisation**
  (e.g. MyPage, simplification=personalization)

Participation strategy – Institutional framework

- **Institutions**
  (e.g. state/national authority)

- **Governance**
  (see phase 1)

- **Monitoring**
  (quantitative - numbers, qualitative - satisfaction)

Participation strategy – Legal and regulatory frameworks

- Require government entities to enable participation
  - **right of** non-government actors to participate

- **Open government data**
  - machine readable and standard formats

Participation strategy – Government Capacity

- **Train** civil servants in engaging with the public

- **Be a civil servant** – ambassador for the government

- Social media is about talking **person-to-person**

- **Select issues**: participatory budgeting, public planning

- **Frame the debate** – government as arbiter between competing interests in society

- Participants inputs must be **early enough** to make a difference

- **Objectives** needs to be clear from the outset + transparent procedure

- **Security and privacy for civil servants** (email, passwords, security risks)
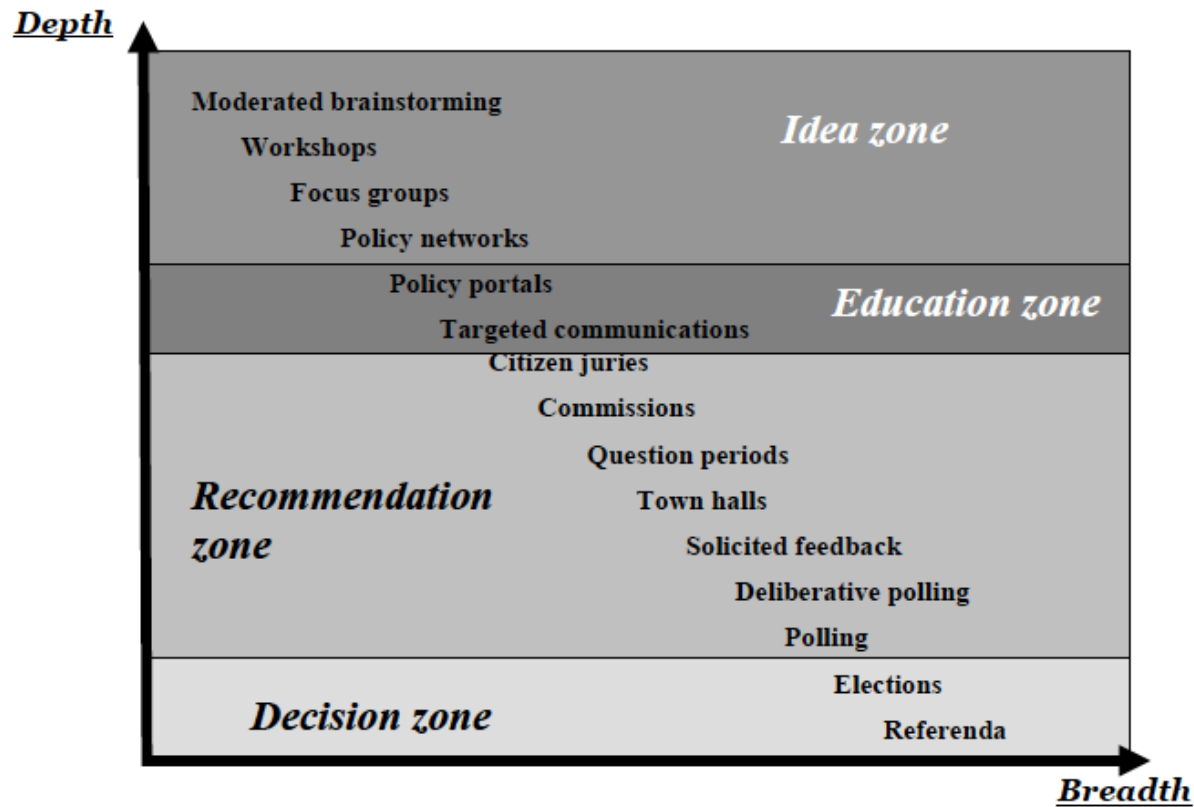
Participation strategy – Technology features and channels

1) **E-participation portal**

2) **Collect** feedback, comments, opinions. Access decisions based on previous consultations

3) **Open government data** (machine readable and in standard format: 2+3 star)

4) **Data protection** – eID, Information (Privacy) Commissioner, guidance on cyber security

• Multi-channel and multi-media both for participation and 'e'-participation

Participation, collaboration and engagement methodologies

Participation strategy – Technology features and channels (cont.)

- **Social media**

- **Citizen feedback channels**

  ➢ Citizens: this is a problem

  ➢ Government: We need inputs to inform adm. or political process

  Examples: chat, comment, poll, surveys, forums, blogs, social media link buttons etc.

- Remember to **acknowledge feedback**: Automatic receipt of feedback

Participation strategy – Public capacity

- **Build from the bottom**

  - show how local debates have wider relevance

- Digital and political **literacy**

  …and problem of 'elites'

Collaboration strategy – Policy and strategy

- Government activities open for collaboration with all legitimate actors

- All legitimate actors have a say in what they find it important to collaborate on

- **Legal provision**

- Move from more **'passive' to 'active' engagement** -> partnership of citizens and government in defining the process and content of policy-making

- Non-government actors can take the initiative.

- But public authorities must have:

  1. Clear e-collaboration strategy
  2. Clarity about targeted groups and audiences
  3. Clear rules and procedures

Collaboration strategy – Institutional Frameworks

- **Biggest challenges**: trust, transparency and openness must be ensured

- **Trust**: reduces transaction costs
  "If citizens can see how decisions are made, who takes them and why"

- **Accountability**: 1) Political accountability, 2) Administrative accountability, 3) Citizens and interest groups must be accountable, 4) General ethical and moral accountability of all actors
  => New forms of accountability

- **Too much participation**?
  1) Systems becomes overwhelmed, 2) Populist participation
  => Too many decisions and not enough responsibility
  => If all are responsible – no-one is!

- Independent, neutral trusted **third-party service**: champion, watchdog, ombudsman
  - Citizen charter
  - Monitor and uphold citizens privacy and data protection rights

Collaboration strategy – Legal and regulatory frameworks

- Legislation/regulation **must support collaboration**

- Open government data

  – machine readable and standard formats, **using open standards** (Berners-Lee 4-star)

Collaboration strategy – Government capacity

- Strengthen professional communities
  Online debate and knowledge exchange
  - so they can help prepare rules and regulations
  - general consultation

- Cyber-security concerns

- 'Fake news' and 'Fact-free' discourse, Filter bubbles

Collaboration strategy – Features and channels

- Collaboration features (+ PPP and PCP)

- Open government data (structured formats)

- Data protection features – correct own data directly

- From information sharing to knowledge creation (see figure next slide)

Collaboration strategy
– Classification of collaboration tools
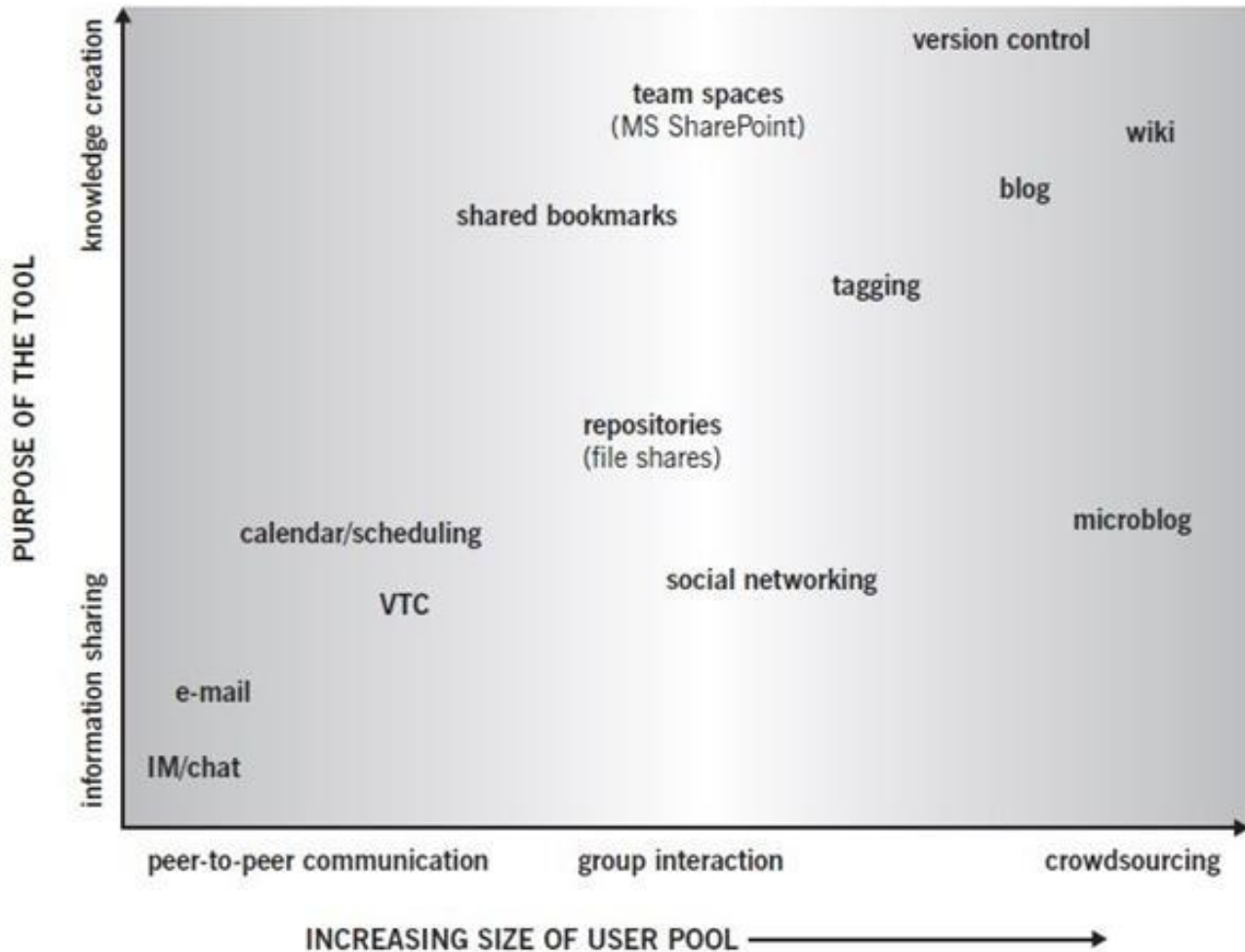
Collaboration strategy – Features and channels (cont.)

- E-voting / e-polling
  (Examples: Estonia, Switzerland, Brazil and India)

- E-Petitions

- Participatory budgeting - prioritize public spending projects
  - recommendation to politicians
  - concrete financial plan (budget)
  …often results in more equitable public spending!

- Co-production – Multi-stakeholder partnerships:
  - Public-Private-Partnerships PPP
  - Public-Civil-Partnerships PCP
  - Public-Private-People-Partnerships PPPP
  - Crowd-funding

Collaboration strategy – Public capacity

- Build citizens capacity from the button
  (like phase 2, but upgraded)

- Support participatory, digital and political literacy
  (like phase 2 , but upgraded)

Engagement strategy – Policy and strategy

- Enable full involvement of all legitimate actors

- Total engagement of citizens and non-government actors in government work

- Ensure continuous improvement and innovation in citizen engagement programmes

Engagement strategy – Policy and strategy (cont.)

- Government on its own does not have monopoly of knowledge, resources or power to tackle most societal challenges

- **Non-government actors** can **take the initiative** and **lead** in <u>**creating public value**</u>

- Citizens can **directly** engage with and influence government policies and decisions

- Government can **tap into collective knowledge** of society

- Shift from a purely individual actor focus to **prioritizing the societal level**

Engagement strategy – Institutional frameworks

- Institutional arrangement: support engagement strategies

- Governance
(builds upon phase 1,2,3)

- Monitoring
(like phase 1,2,3)

Engagement strategy – Legal and regulatory frameworks

- Legislation:
  - Require specific government entities to enable engagement
  - Right of non-government actors to be fully involved
  - Neutral trusted third-party service

- Open government data

  – machine readable and standard formats, using open standards **+ linking data to other datasets** (Berners-Lee 5-star)

Engagement strategy – Government capacity

- **Government as a platform**
  - Open government services platform in the cloud
  - City level
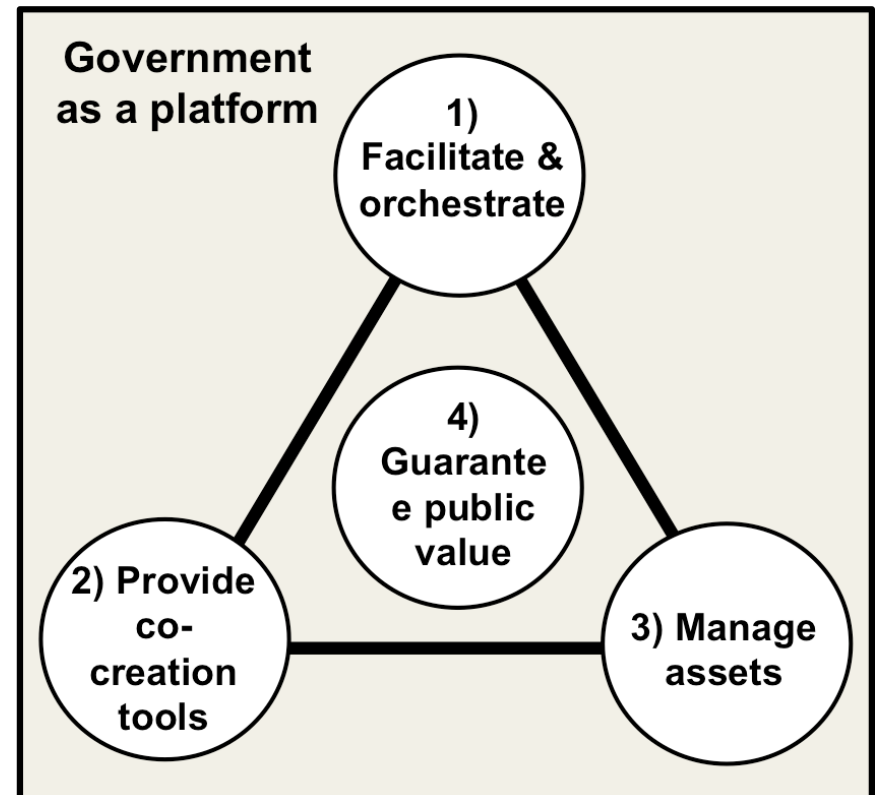
Engagement strategy – Features and channels

- ICT has become general purpose technology

- 4th industrial revolution
  …IoT, Cloud computing, wearable technology, robotics, AI, VR, AR, Big data, social media, smart grids, additive manufacturing, unmanned transport, remote sensing, blockchain/open ledgers etc.

Engagement strategy – Public capacity

- Builds on the other phases - but we all need to learn!
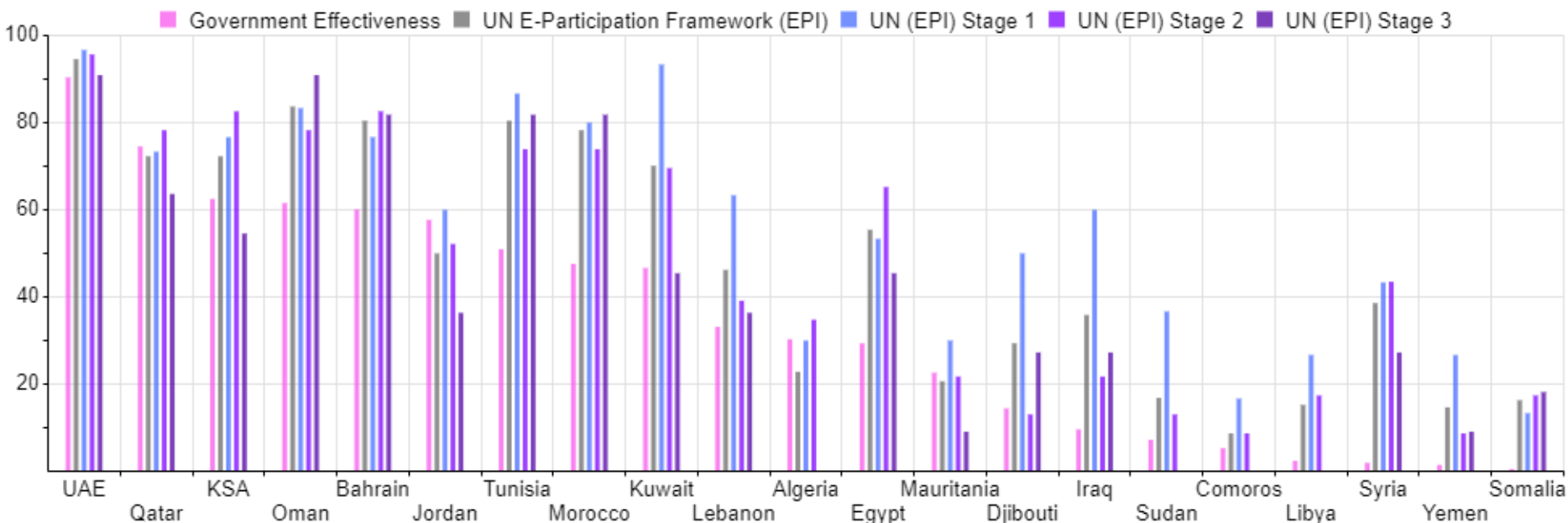
Government effectiveness and e-participation

Governance Indicators (Gov. effectiveness) 2017 and UN eGov Survey eParticipation incl. stages 2018

Government Effectiveness (GE) – capturing perceptions of the quality of public services, the quality of the civil service and the degree of its independence from political pressures, the quality of policy formulation and implementation, and the credibility of the government's commitment to such policies.
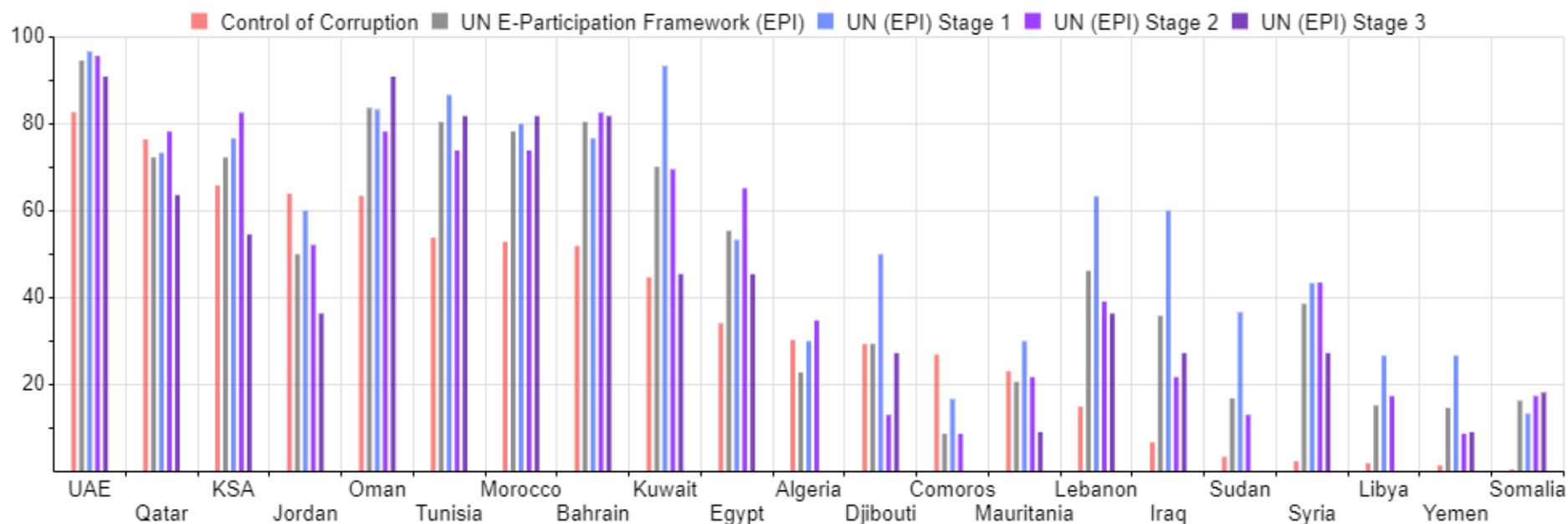Source: Worldwide Governance Indicators (WGI) project by the World Bank Institute

Control of Corruption and e-participation

Governance Indicators (Control of Corruption) 2017 and UN eGov Survey eParticipation incl. stages 2018

Control of Corruption (CC) – capturing perceptions of the extent to which public power is exercised for private gain, including both petty and grand forms of corruption, as well as "capture" of the state by elites and private interests.

Source: Worldwide Governance Indicators (WGI) project by the World Bank Institute

Thank you شكرا

UNITED NATIONS

ESCWA