Supporting Open Government at the Local Level in Jordan

Foreword

Open government reforms promote transparency, integrity, accountability and stakeholder participation to enable governments to work better, deliver the services their constituencies need, and ultimately enhance trust in the legitimacy of decisions. With the growing adoption of open government reforms around the world, countries are increasingly mainstreaming these principles at sub-national levels, as local governments (i.e. regional, provincial and municipal) have a direct impact on people's daily lives. Sub-national governments are often more present, have a direct role in providing the everyday services that citizen's use, and have a better understanding of public priorities and differences in needs. As a result, implementing reforms at the local level may offer multiple occasions to transform the relationship between the citizens and the state through meaningful opportunities for participation.

Recognising these benefits, the Government of Jordan has embarked on an ambitious process to decentralise power to the sub-national level in an effort to place citizens at the heart of policies and services. This impetus for reform stemmed from King Abdullah II's vision emphasizing that "political development should start at the grassroots level". In response, the 2015 decentralisation laws introduced new elected and non-elected councils at the governorate level as well as a participatory approach for the design of local development plans, through a yearly collection and assessment of citizens' needs, known as the "needs assessment process". This bottom-up process offers an excellent opportunity to involve citizens in more direct and meaningful ways at all stages of the policy making cycle.

However, to reap these potential gains, there is a need to streamline the principles of open government beyond the needs assessment process into the functioning and machinery of local administrations. While much has been achieved following local elections in 2017, challenges remain to achieve a real decentralisation of power and meaningfully engage stakeholders in local policies. At the same time, these transformations are taking place at a volatile time for the country, with stagnating economic growth, growing perceptions of corruption, and large influxes of refugees, all of which are exacerbated by the ongoing COVID-19 pandemic.

In this context, and at the request of the Government of Jordan, this document provides guidance for how to apply the open government principles of transparency, integrity, accountability and stakeholder participation at the sub-national level. Building on findings and recommendations from the OECD Report "Towards a New Partnership with Citizens: Jordan's Decentralisation Reform" (2017), this document suggests avenues to support the country's ambitious decentralisation reform agenda by highlighting good practices across key local government functions, including policymaking, subnational revenue and budget management, public procurement, and service delivery. Together with the OECD Review "Engaging Citizens in Jordan's Local Government Needs Assessment Process", this work will help the Government of Jordan design and implement ambitious open government agendas both at the national and local levels.

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What are Open Government Reforms?

Open government reforms are built on the idea that promoting transparency, integrity, accountability and stakeholder participation enables governments to work better, deliver the services their constituencies want and need, and ultimately enhance trust in the legitimacy of decisions.

Around the world, governments are faced with growing challenges and increased complexity – locally, nationally and globally. These include low levels of public trust, rising economic and financial instability and social fragmentation into increasingly polarised groups. Meanwhile, citizens are becoming more vocal, particularly given the amplifying effect of digital technologies, and their expectations for a more transparent and accountable public sector and better public services are growing.

In this context, open government represents a changed understanding of the role of the state in a modern society that aligns with an underlying shift in the policy-making context. The OECD defines it as "a culture of governance that promotes the principles of transparency, integrity, accountability and stakeholder participation in support of democracy and inclusive growth" (OECD, 2017[1]). More and more countries have begun to introduce open government reforms as a catalyst for attaining broader policy goals such as improving democracy, fostering inclusive growth and increasing trust. However, beyond the intrinsic value of open government principles, the implementation of open government strategies and initiatives can also help improve processes and outcomes across the full spectrum of public policy.

Open government principles are particularly relevant to local governments at the subnational level, which are at the forefront of building more open and inclusive societies. Not only is the subnational level often responsible for the delivery of many crucial public services, but it also plays an intermediary role between the public and policy makers throughout levels of government. Indeed, sub-national authorities are often more nimble, and therefore likely to be more responsive to public priorities. Therefore, implementing open government reforms at the local level may offer ample opportunities for transformative change in how governments and the public interact, as well as the most meaningful and

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direct opportunities for ensuring citizen engagement ultimately improves policies and services.

Given this potential, this document provides an overview of how to translate the principles of transparency, integrity, accountability and stakeholder participation into practice at the sub-national level by highlighting some of the key regional and local government functions, such as policymaking, subnational revenue and budget management, public procurement, and delivery of services. The aim is to support administrators in setting their open government agenda, as well as to show how properly designed and implemented initiatives can integrate open government

principles in core governance functions at the subnational level.

In this regard, a steady increase in the adoption of open government agendas and initiatives by multiple countries has served to establish this field of policy and to create a collection of international experiences and best practices. Building on these collective experiences, this document also provides examples of how sub-national governments have applied these principles, illustrating how administrations have become more transparent and accountable while increasing community and stakeholder engagement. In doing so, these examples seek to set a path for stakeholders advocating for more inclusive governance and engagement in decision-making.

OECD Recommendation on Open Government

Previous OECD work has focused on how subnational governments and local administrations are central to initiatives for more transparent, accountable and participatory governance as they are an essential interface for citizens to be in contact with public policies and services, which has resulted in many of the most innovative approaches to

open government coming from cities, regions or provinces. Likewise, as they are responsible for delivering public services, such as road maintenance, sanitation and policing, local governments form the immediate relationships between public administrations and citizens. In particular, the OECD report Open Government: The Global Context and the Way Forward (OECD, 2016a) accordingly:

Building on this analysis, the OECD developed the Recommendation of the Council on Open Government in 2017, which includes a provision highlighting the importance of the local level framed around the concept of an "open state". While this concept emphasises improving the quality and consistency of governance across a country, it also highlights the importance of collaborating, exploiting synergies and sharing good practices and lessons learned with stakeholders to promote open government principles (OECD, 2017a). Broadly, this provision of the Open Government Recommendation reflects that people around the world are demanding more—they want to participate in decision-making processes, they want to know what all actors that comprise the state are doing and deciding and want officials to be accountable for their actions and responsive to their demands.

> "The proximity of citizens and the state spurs engagement, but also shapes citizens' perception about the government. Thus, it is not surprising that cities, regions or provinces have, in the last decades, been places for citizen engagement. The demands for greater engagement of citizens in urban planning date back to the 60/70s. Innovative and interactive approaches to involve citizens in policy making arose in parallel with the decentralisation efforts by many countries from the 1970s and consisted of transferring authority, responsibility and resources from the national government to lower governmental levels, to better respond to citizens' needs and demands" (OECD, 2016[2])"

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**The Principles of
Open Government**
The OECD defines open
government as "a culture of
governance that promotes the
principles of transparency,
integrity, accountability and
stakeholder participation in
support of democracy and
inclusive growth" (OECD, 2017a).
The principles of
open government can be
described further as:

Transparency

Government transparency
refers to stakeholder access to
public data and information—
both proactively and reactively
disclosed—on policy actions
taken by public officials and the
resulting outcomes, as well as
openness in the public decision-
making process.

Integrity

Public integrity refers to the
consistent alignment of, and
adherence to, shared ethical
values, principles and norms
for upholding and prioritising
the public interest
over private interests
(OECD, 2017c).

Accountability

Accountability denotes a
relationship referring to the
responsibility and duty of
government, public bodies,
public officials, and decision-
makers to provide transparent
information on, and being
responsible for, their actions,
activities and performance.
It also includes the right and
responsibility of citizens and
stakeholders to have access
to this information and have
the ability to question the
government as well as to
reward/sanction performance
through electoral, institutional,
administrative, and social
channels.

Stakeholder
participation

Stakeholders are defined as
any interested and/or affected
party, including: individuals,
regardless of their age, gender,
sexual orientation, religious
and political affiliations; and
institutions and organisations,
whether governmental or
non-governmental, from civil
society, academia, the media or
the private sector. Accordingly,
stakeholder participation refers
to all the ways in which actors
can be involved in the policy
cycle and in service design and
delivery through information,
consultation and engagement.

Information: An initial level
of participation, information
is characterised by a one-
way relationship in which
the government produces
and delivers information to
stakeholders. It covers both
on-demand provision of
information and "proactive"
measures by the government
to disseminate information.

Consultation: Consultation
is a more advanced level of
participation that entails a
two-way relationship in which
stakeholders provide feedback
to the government and vice-
versa. It is based on the prior
definition of the issue for
which views are being sought
and requires the provision
of relevant information, in
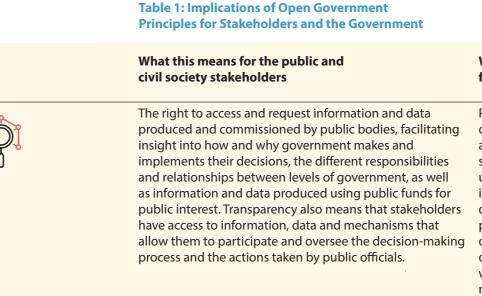addition to feedback on the
outcomes of the process.

Engagement:
Engagement takes place
when all stakeholders are
given the opportunity and
the necessary resources
(e.g. information, data and
digital tools) to collaborate
during all phases of the
policy-cycle and in the
service design and delivery.

Embedding these principles into processes and decision-making, however, is not simply a technical matter of having the right legislation or systems in place; rather, it is about a process of transforming the culture of governance towards embracing more transparent, accountable and participatory approaches. Furthermore, while it is important to understand what open government asks from public administrations, it is also essential to understand the expectations and needs of the public and other relevant stakeholders to ensure a holistic and successful approach to implementing an open government agenda. This is all the more important at the subnational level, where the state-citizen interface is strongest. Table 1 summarises what such an approach means from the perspective of the public and civil society stakeholders as well as for the operations of governments at all levels.

Table 1: Implications of Open Government Principles for Stakeholders and the Government

Principle	What this means for the public and civil society stakeholders	What this means for administrations
Transparency	The right to access and request information and data produced and commissioned by public bodies, facilitating insight into how and why government makes and implements their decisions, the different responsibilities and relationships between levels of government, as well as information and data produced using public funds for public interest. Transparency also means that stakeholders have access to information, data and mechanisms that allow them to participate and oversee the decision-making process and the actions taken by public officials.	Publishing information and data, produced and commissioned by government and public bodies, in both a proactive and reactive manner. Indeed, proactively sharing information not only improves accessibility for users, but is also promotes more efficient procedures and information sharing within government. Information and data provided to stakeholders should provide details of policy actions taken by public officials and performance of public officials as well as the resulting outcomes of government decisions and performance to assess whether the government is responding to stakeholders needs and demands. Transparency also requires government openness through all phases of the decision-making process and the actions taken by public officials at every stage of the policy cycle.
Integrity	Reasonably expect that their elected representatives and public officials will act ethically, with honesty, efficacy and in the public interest. This also includes an expectation that there is room for contestability and protection for whistle-blowers and others who highlight waste, negligence or corruption in government.	Ensuring that public officials, elected representatives and decision makers in the public sector act in alignment with defined ethical values, principles and norms that prioritise 'public interest' over the interests of private individuals or select groups. This would also entail effective accountability by applying a solid Internal control and risk management framework, adopting and applying effective sanctions for violation of public integrity standards and reinforcing the role of external oversight and control, while protecting whistle-blowers and encouraging effective transparency and stakeholder engagement throughout the political process and policy cycle. To build a culture of integrity in the public sector, it is also critical to complement policy efforts with awareness raising and technical assistance initiatives equipping public servants with relevant knowledge, tools and skills.
Accountability	The rights and tools at hand to hold their government, public bodies and decision makers accountable for their actions and decisions. These include the ability of stakeholders to question and demand answerability for the government, as well as to reward/sanction performance through formal electoral, institutional, administrative, judicial and social channels and mechanisms.	Embedding rules, laws and mechanisms, including greater access to information, data and to the decision making process, that ensure oversight over government decision-making and service delivery, as well as effective complaint and enforcement mechanisms. This would also entail governments utilizing institutional and administrative mechanisms to reward and sanction government institutions, civil servants, and frontline providers in delivering government policies and services.
Stakeholder Participation	Influence policy decision making between elections and contribute freely, actively and regularly in a meaningful way to the decisions that affect their lives.	Supporting freedom of expression and a strong, independent and active civil society. Involving relevant stakeholders in decision-making processes throughout the policy cycle by providing necessary platforms and resources, including digital tools and open data.

Establishing an Enabling Context for Open Government Reforms at the Local Level

To implement the principles of open government, public administrations need to also consider the wider enabling context, which refers to the supporting conditions that allows for successful and sustainable open local government strategies and initiatives. These include the following:

Enabling Legal and Institutional Framework:

An adequate legal and institutional framework is "sine qua non" to the effective implementation of Open Government activities as they provide the foundations for transparency, integrity, accountability, and stakeholder participation in a given country context. Such core laws and institutions include constitutional guarantees for freedom of speech, expression, association, assembly and press; the ability to hold free and fair elections with suffrage laws in place; the existence of Access to Information (A2I) / Freedom of Information (FoI) laws that allow stakeholders to access and demand information; as well as specific laws, policies, and regulations that support a country's Open Government agenda. In addition to this, it is necessary to ensure that other enabling laws and legislation (e.g. statistics, media, corruption, digital government, data protection/privacy, official secrets, intellectual property, whistle-blower protections, procurement laws, as well as laws related to citizen participation, transparency, corruption, and archives) are in alignment with open government objectives and principles.

Strong Political Leadership at the Central and Local Levels

Creating an environment that is receptive to open government reforms requires setting relevant institutional mechanisms, as well as ensuring committed political and administrative leadership at all levels of government. The OECD Open Government Recommendation, for example, emphasises the importance of developing and implementing strategies, having co-ordination mechanisms across all actors and levels and providing sufficient human and financial resources to implement reforms. In addition, strong local leadership is vital to ensuring the open government principles are translated to a local institutional level and that subnational governments embed the necessary policies, processes, and procedures into their everyday work.

Civil Service Capacity and Leadership

Developing successful open government reforms, at any level, requires a functioning public administration system and capable civil servants. Further, there needs to be a recognition from government that civil servants need resources and adequate capacity building if they are to implement the open government agenda, work in partnership with the public and civil society stakeholders and be able to respond to their needs. Training of officials can help in fostering the coherent implementation of the open government agenda and promoting its principles across different policy sectors.

Civic space

Civic space is defined as the set of political, institutional and legal conditions necessary for citizens and civil society to access information, speak, associate, organize and participate in public life. When civic space is protected, citizens, businesses and their associations, trade unions, CSOs and other non-governmental actors can successfully partner with government officials (based on jointly determined priorities and policies), who in turn can align policies and programmes to societal needs. It is essential for governments to support a vibrant civic space that protects and promotes access to information, free speec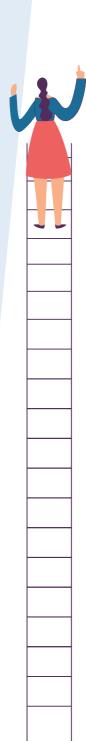h, and self-expression and debate, so that the CSOs, media, and citizens alike can play their crucial role of holding government officials to account. A culture of open governance seeks to place power in the hands of citizens and CSOs to help prevent corruption and policy capture, and to promote reforms within governing institutions, including by facilitating their role as watchdogs and whistle-blowers.

Participation of civil society

The participation and leadership of a robust civil society is an essential precondition for open government, which requires the understanding that dialogue and engagement between civil society and government is essential for reform. To be sure, the success of open government initiatives often relies heavily on the capacity and contributions of these actors. Although civil society organisations and governments have different roles to play in achieving systems of open government, the shared goal of improving the lives of people and the services they receive can only be reached if the independence of civil society organisations is protected.

Moreover, for effective open government reforms, leadership also needs to come from within civil society itself. For this purpose, civil society actors should be given the right resources and support from government to ensure their active participation and leadership in open government reforms, including through access to information, data and participation platforms.

Media and information ecosystems

Fundamental to the development of a culture of open government is the existence of a free, diverse and independent media and information ecosystem. To deliver on the principles of open government, media organisations and journalists need to be able to easily access and disseminate information and data produced and commissioned by public bodies. They need to be able to freely and safely raise awareness around public issues (to support transparency and fight corruption), create platforms for debate, advocate on behalf of public needs (promoting participation), and to scrutinise and question the decisions of government (demanding integrity and accountability). Promoting the open government principles also helps in ensuring independent media, with transparent and diverse ownership, free of influence by government and corporate interests. A transparent and open media and information ecosystem further supports effective participation and engagement from civil society.

Putting open governance principles into practice

The following sections focus on how these principles can be delivered, particularly at sub-national levels. In each section, good practice examples help illustrate a variety of ways governments can realise their commitment to transparency, integrity, accountability and stakeholder participation across a range of functions, including policymaking, subnational revenue and budget management, public procurement, and delivery of services. It is important to keep in mind that open government principles are cross-cutting and complement each other – indeed successful open government reforms promote integrated approaches that bring together all open government principles. Nevertheless, this document divides the sections to help clarify the purpose and potential of each of principle in helping governments move toward a culture of open government.

Additional resources:

→ More information on strengthening civic space can be found in the **OECD'S newly launched Observatory of Civic Space** (https://www.oecd.org/gov/civicspace.htm)

→ More information on open data policies can be found in the recently launched OECD policy paper **Open, Useful and Re-usable data (OURdata) Index: 2019 (2020)**

→ More information on creating and enhancing an enabling environment for civil society organisations can be found in the OGP's **Guide to Opening Government (2018)** (https://www.opengovpartnership.org/sites/default/files/OGP-ICNL_Guide-Opening-Government_20180508.pdf)
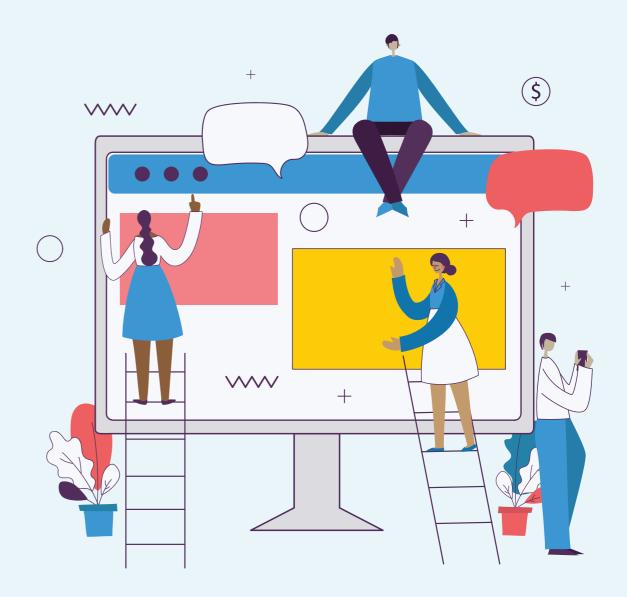
→ **Reporters Without Borders** focuses on a country's performance in regards to media pluralism, media freedom and respect for the rights of journalists to comment on and critique state policy. Their guides set out a variety of indicators against which the freedom and independence of the media can be assessed and improved. (https://rsf.org/en/detailed-methodology)

Promoting Transparency

Transparency is fundamentally about ensuring that citizens and other stakeholders can observe, understand and monitor the activities of the government, both nationally and sub-nationally. This entails the right to access and request information and data produced and commissioned by public bodies, facilitating insight into how and why government makes and implements their decisions. Transparency also means that stakeholders have access to information, data and mechanisms that allow them to participate and oversee the decision-making process and the actions taken by public officials. For government, transparency involves publishing information and data, produced and commissioned by government and public bodies, in both a proactive and reactive manner. Information and data provided to stakeholders should provide details of policy actions taken by public officials and performance of public officials as well as the resulting outcomes of government decisions and performance to assess whether the government is responding to stakeholders needs and demands.

In order to assist with Jordan's decentralization process, strengthening transparency at the local level is especially necessary given low levels of citizens' awareness on decentralization activities and results (OECD, forthcoming). Currently, only 10% of the population feel informed about the

decentralization process, while 57% remain unaware of the new roles of Governorate and Municipal Councils in the design and implementation of Governorate Development Plans (International Republican Institute, 2018). These findings align with those from an OECD survey (OECD, forthcoming), where a majority of sub-national authorities (63%) signalled the lack of awareness of civil society as a pressing challenge for their inclusion in the needs assessment process. At the same time, while Jordan was the first country in the MENA region to adopt an ATI law in 200, critical gaps exist in connecting the local level with the necessary knowledge, tools and skills to proactively share information on the needs cycle and more broadly. In order to remedy some of these challenges, it is necessary for the government to provide timely, relevant and accessible information, which can help combat feelings of scepticism around the decentralization reform and in turn support the ability of stakeholders to meaningfully contribute to local development plans.

In the section that follows, this document will provide practical examples for how transparency can support key local government functions in Jordan, including policymaking, subnational revenue and budget management, procurement, and delivery of services.

Access to information (ATI) and the proactive release of data produced and commissioned by governments is a key pillar of delivering transparency at both the national and subnational levels of government. Moreover, it is an essential element in protecting and promoting freedom of expression and is the cornerstone of enabling citizens to better comprehend how their governments and other public authorities operate and encourage them to engage with the policy-making process. As such, in order for ATI to contribute to integrity, support accountability, and enable participation, it requires that governments begin publishing of information in ways that are:

▸ **Relevant and accessible:** Information should be available in plain and readily comprehensible language and formats accessible for different audiences. It should retain the detail and disaggregation necessary for analysis, evaluation and participation – safeguarding fundamental rights / data protection and digital rights – and be easy to use and reuse (OECD, 2017).

▸ **Timely and accurate:** Government should make information available in sufficient time to permit analysis, evaluation and engagement by relevant stakeholders. This means that information needs to be provided while planning as well as during and after the implementation of policies and programmes. Information should be managed so that it is 'up-to-date, accurate, and complete (Transparency and Accountability Initiative, 2017).

Access to information across all levels of government is often enacted through national legislation in the form of ATI laws, which guarantees access to public sector information and data. This legislation comprises provisions for both proactive disclosure, which is the consistent dissemination of information by government bodies before it is requested, and reactive disclosure, which establishes the legal right of citizens to file requests for specific information that is not already publicly available, unless there are specific, limited, justified, proportionate, and legally defined exceptions, which prohibit their disclosure. At a subnational level, local governments can play a key role in supporting the broader implementation of such national laws, standards, and requirements for ATI, and in some cases, even develop more extensive provisions and concrete mechanisms that extend beyond the minimum requirements of national ATI legislation.

Administratively, the effective implementation of ATI legislation also requires effective and efficient record-keeping and information management systems that would allow public bodies to provide accurate and reliable evidence of what has been promised by public officials, what has been implemented, what services have been provided and how funds have been allocated. As digital information systems replace paper-based systems, it is essential that records in digital form are capable of providing the evidence upon which governments and citizens depend to ensure accountability. Accordingly, an effective records management regime should be consistent and transparent so that it can enable the public access to information, facilitate participation in decision-making and support holding government to account. While this in itself will not necessarily deliver openness or transparency, as records management

guidance from the Open Government Partnership highlights, "without it, openness is not possible" (Open Government Partnership, 2017).

Digital Technologies and Open Data

Transparency can likewise be supported by the rise of new technologies and the strengthening of digital government strategies across different levels of governments, which have propelled the use of digital tools to promote and implement open government initiatives (OECD, forthcoming). The OECD, through the Recommendation on Digital Government Strategies, establishes the relevance of opening up government data and processes, as well as engaging citizens and stakeholders in policymaking and service design and delivery through the use of digital technologies (OECD, 2014). The adoption of digital tools and data-driven approaches plays an central role also in the promotion of local government transparency, including the use "[open] data portals, websites for public monitoring of government spending, social media tools, and online meetings and public feedback on public policies and regulations" (Da Cruz et al, 2015).

The proactive publication of information and data held by public institutions in a format that can be freely used, modified and shared, is a vital tool for supporting transparency at both the national and subnational levels. Indeed, "there is a strong tendency across OECD countries to draw upon transparency and freedom of information acts as the legal basis for open government data" (Ubaldi, 2013). In support of these efforts, the OECD recommends that access to data should be "free of cost, available in an open and non-proprietary machine-readable format,

easy to find, understand, use and reuse, and [be] disseminated through a multi-channel approach, to be prioritised in consultation with stakeholders" (OECD, 2013) while "balancing the need to provide timely official data with the need to deliver trustworthy data, managing risks of data misuse related to the increased availability of data in open formats" (OECD, 2014). Ultimately, transparency must go beyond the proactive and reactive disclosure of government information and data required by ATI laws to encourage a policy of 'openness by default' for all government actions. Accordingly, OECD countries have gone forward by introducing specific legislation and policies that further promote the adoption of "open by default" and release of open government data for good governance and innovation (OECD, 2018).

In that context, local governments can seek to leverage these and other technologies to open the decision-making process as well as the actions taken by public officials at every stage of the policy cycle. This requires governments to foster a more active transparency by facilitating the analysis of government policy-making as it happens. This also involves both one-way forms of communication, such as communicating key reforms and policies and their expected outcomes and impacts, as well as transactional communication, which focuses on gathering feedback on policies, consultations, and public hearings and encouraging dialogue throughout the process of designing and delivering public services.

Building on the tools and technologies discussed above, the following section illustrates how the principle of transparency can be translated into open government practices across a range of functions at the local level, including policymaking, subnational revenue and budget management, procurement, and delivery of services.

Transparency in Local Policy Making: clarifying policy discussions at the subnational level

Making the goals of government transparent can assist the public in understanding and evaluating the legitimacy of policy decisions and actions at each level of administration. In this regard, it is important to ensure that the policy-making process itself is documented as well as ensure that all decisions are made available to the public. As such, the minimum standard to safeguard transparency of decisions is to disclose the timeline and activities assigned to each of the institutions involved in the policy process. In addition, the public should be aware of any opportunities in advance and governments should publish the agenda and results of meetings. Finally, there should be adequate opportunities for all stakeholders to access the information and data necessary to participate in deliberative and consultative processes at the local level.

By making relevant information available in a visual and easily understandable form, subnational governments can better facilitate scrutiny on the outcomes of the policy discussions, as well as facilitate the ability of the media and civil society to track the process and follow up on the results. A further way of institutionalising transparency at the local level is to empower citizens themselves to control how information on policy options is presented to the wider public and/or become involved in weighing the options available to policy makers. In this regard, deliberative mechanisms can provide citizen panellists data and information, as well as the opportunity to request information they deem relevant or invite witnesses to represent a missing perspective relevant to the policy discussion. Some key policy areas where transparency and consultative requirements for information sharing tend to be more regulated include, for example, environmental protection and urban planning. Once such deliberations or consultations on policies are complete, governments can enhance transparency by keeping track of how many people participated in deliberations and consultations about each issue as well as what final outcomes were decided.
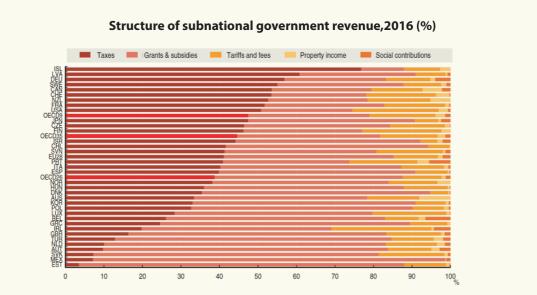
Transparency in Subnational Revenue and Budget Management:
ensuring the public has access to information on how governments collect, allocate and spend funds at the local level.

Before budgets can be drafted and services can be delivered, a critical function of sub-national governments is to collect and manage the revenues necessary to fund public expenditures. These revenues come from a variety of sources and can include taxes (both own-source tax and shared tax), transfers (current and capital grants and subsidies), tariffs and fees, property income, and social contributions. Data from OECD countries suggests that in 2016, taxes compose an average of 45% of sub-national government revenue, grants and subsidies 37%, local public service charges (tariffs and fees) 15%, property income (sale and operation of physical and financial assets) 2%, and social contributions 1% of revenue (OECD, 2018). While these ratios vary considerably across OECD countries, they do account for a significant proportion of resources available at the subnational level. To be sure, in 2016, subnational government revenue represented around USD 6,680 per capita, 15.9% of GDP and 42.4% of public revenue on average in the OECD (IBID).

While important at both the national levels and local levels, transparency in revenue administration is especially relevant for subnational governments. First, given that subnational governments are spread across the territory, sometimes located in rural and remote places, it is important that stakeholders and citizens in

Structure of subnational government revenue, 2016 (%)

Legend: Taxes · Grants & subsidies · Tariffs and fees · Property income · Social contributions

these regions have transparent information on their payment obligations, including any changes in the law that may have occurred, filing deadlines, and payment procedures—all of which can help with improving voluntary compliance. To be sure, the Subnational Field Guide of the Tax Administration Diagnosing Tool (TADAT), notes that transparent information from the tax administration "plays a crucial role in bridging the knowledge gap, including providing summarized, understandable information, which tax payers need to meet their obligations and claim their entitlements under the law" (TADAT, 2019)."

Second, given that citizens have the closest connection and oversight of their local affairs, they are most able to see how sub-national resources are being put to use. For instance, if a local government were to increase property taxes or issue a tax levy to improve local schools or fix municipal roads, citizens would likely be able to determine if the resources did in fact fund improvements in these local public goods. Accordingly, citizens of sub-national governments are entitled to know

how much of their taxes go to fund the local government, how much their local government receives in transfers from the federal level, and how much other sources of revenue contribute to the budget, including property taxes, consumption taxes, and user fees. This information should ideally be proactively disclosed by subnational governments and be readily available in online, machine-readable format, free of charge to citizens.

In order for transparency to support revenue administration, particularly at the subnational level, a number of tools and good practices could be considered. First, transparency tools can be employed to provide taxpayers with information through a variety of user-friendly products (e.g., in the form of guides, brochures, fact sheets, forms, web pages, frequently asked questions, practice notes, rulings and other written information, media articles, and oral information), as well as locally-targeted public education programs (e.g., outreach programs for people starting or running a business, and first-time employers, and course material for teaching school

students about taxes) (TADAT, 2019). Second, and especially important at the local level, is the ability to customize this information to meet the specific needs of particular taxpayer segments, such as small traders who cannot afford the services of tax intermediaries as well as marginalized groups in society, such as citizens with literacy or language difficulties (IBID). Finally, in order to enhance transparency and oversight of own-source revenues, sub-national governments can proactively disclose their revenue information on local websites, newspapers, and public meeting locations as well as to ensure that it available in an open data format, which allows for maximum use and re-use.

In addition to transparency in the management of revenues, it is equally important for subnational governments to be transparent in the management of their budgets. In this regard, budget transparency refers to "the full disclosure of all relevant fiscal information in a timely and systematic manner", including making information clear, comprehensive, reliable, timely and accessible for citizens regarding public reporting on public finances (OECD 2017b; OECD, 2002). Transparency about how administrations allocate and spend resources provides citizens with entry points to provide feedback on the quality and adequacy of

the services and infrastructure provided by their governments. Ultimately, the greater understanding afforded by transparency can increase trust and lead to more efficient use of resources.

In addition to transparent in budgeting and allocation decisions, transparency in expenditure reporting also means that there is less room for deviation from policy decisions, or the reversal of budget allocations, and can be a powerful disincentive for officials to misuse funds because their actions are more likely to be identified. To assist in these efforts, electronic mechanisms to disseminate budget information and spending data (e.g. open budget and spending data) has replaced physical distribution as the main avenue for making it available to the public. As the examples below illustrate, budget portals typically provide comprehensive and up-to-date data in a variety of formats, including the use of data visualisation, tools and resources to help users access, interpret, use and reuse raw budgetary data.

Actions that promote budget transparency at the subnational level can include: (i) making planned budgets and spending available for projects; (ii) publishing the conditions for financing (criteria on eligible sectors and other budget restraints); (iii) publishing proposed

and confirmed projects with their individual budgets; and (iv) disclosing, at the end of implementation, whether projects were completed, whether they achieved the results foreseen, and if the spending corresponded to the proposed budget. To the extent possible, good practice would be to provide this budget and spending data in machine-readable formats and with no barriers for their reuse (e.g. free of cost, open and non-proprietary formats) that allow users to search for and download specific types of fiscal information.

Transparency in Contracting and Procurement at the Local Level: providing information throughout the contracting cycle

Public procurement involves the use of public funds coming from taxpayer's money. The delivery of many public services requires on the one hand both human capital and on the other hand the procurement of specific goods and services and building or renovating infrastructures (OECD, forthcoming). The Open Contracting Partnership (OCP) estimates that governments around the world spend approximately USD 9.5 trillion through contracts every year. On average, general government procurement accounts for 12% of GDP of OECD countries (OECD, 2019). Given the magnitude of these resources, openness in relation to contracting rests on the principle that residents should be able to know what goods, services and public works are procured to provide public services. This information includes data on procurement spending, suppliers, the timeline and

milestones of procurement projects, contractual conditions; as well as the public procurement procedure used.

Contracting is often the route through which policies are translated into tangible services for people and communities. The OECD Recommendation of the Council on Public Procurement highlights the need to ensure an adequate degree of transparency of the public procurement system in all stages of the procurement cycle (OECD, 2015). Promoting transparency therefore seeks to ensure that governments publicise data and information in a timely manner, in a user-friendly interface, respecting the standards in accessibility and open data at each stage of the contracting process (i.e. planning, tendering, contract granting, budget allocation, expenditure, implementation and monitoring). Increasing transparency in contracting and procurement expenditure safeguards integrity, enhances efficiency and accountability.

In this regard, subnational government may consider enhancing the transparency of their contracting processes though the use of the Open Contracting Data Standard (OCDS), which enables the disclosure of data and documents at all stages of the contracting process by defining a common data model. For Jordan in particular, this could be ensured through the JONEPS platform managed at the central level of government . As noted by the Open Contracting Partnership, which supports governments to increase contracting transparency, use of the OCDS can help governments—national and subnational alike—to (i) achieve value for money; (ii) strengthen the transparency, accountability and integrity of public contracting; (iii) enable the private sector to fairly compete for public contracts; and (iv) monitor the effectiveness of service delivery

(OCP, 2013). In addition, transparency in contracting at the local level can be a key element in detecting and deterring systemic corruption and clientelism in public procurement (Ibid).

Transparency in Public Service Delivery at the Subnational Level: ensuring that the public understands the role and responsibilities of government for service delivery, and their own rights and expectations

In a multi-tiered governance system, it can be difficult for the public to know which authority provides which services, at what level decisions are made and what the minimum standards of service

the public is entitled to. In some cases of administrative decentralization, services are fully devolved, in others, they are deconcentrated, and in still other instances, services can be delegated. For instance, in many countries, situations of delegation exist particularly in the area of administrative services (e.g. ID, passports, residence registration, vehicle registration etc.). In such case, the main responsibility for a standardized set of information on the service (e.g. who is entitled, under what conditions, what is the fee etc.) is at the central level, while the sub-national levels can complement the information. In this regard, citizens have the right to know this information and what standards that they can expect in terms of availability and quality of services (OECD, forthcoming; OECD, 2020). Under a user-driven approach, the public should also be given the opportunity to provide feedback and

Figure 2: Degrees of Administrative Decentralization

Delegation → **Deconcentration** → **Devolution**

Delegation assigns – usually by administrative decree – decision-making authority for specifically defined functions to local units of government or agencies that are not necessarily branches or local offices of the decentralising authority. In terms of education decentralisation, responsibility is transferred to elected or appointed education governance bodies, such as school councils or school management.

Deconcentration transfers decision-making authority – often by administrative decree – from a higher to a lower level of bureaucracy within the same level of government. The same hierarchical accountability is maintained between local units and the central government ministry or agency that has been decentralised. Deconcentration is often the first step undertaken by newly decentralised governments to improve service delivery, that is, the transfer of responsibility from central ministries to field offices or more autonomous agencies, thereby becoming closer to citizens while remaining part of central government.

Devolution is the moving of political power from the top to the bottom. It involves a permanent – legal or constitutional – transfer of responsibility, decision making, resources and revenues from a higher level of government to a lower, local level that enjoys substantial autonomy from the decentralising authority. In terms of education decentralisation, devolution transfers responsibility for education to lower levels of government, such as governorates, municipalities, or districts.

Source: OECD (2017a), Towards a New Partnership with Citizens: Jordan's Decentralisation Reform, OECD Public Governance Reviews, OECD Publishing, Paris, https://doi.org/10.1787/9789264275461-en.

help address gaps in the delivery process and help the administration to understand delivery issues and identify citizens' priorities and needs (OECD, 2020; OECD, forthcoming).

At the sub-national level, one way to make this information more transparent to citizens is through the development of Service Charters. Typically, a service charter is a simple, widely distributed document that provides an explanation of citizens' rights and obligations as well as information about the services provided by the different levels of government and how to access them. Likewise, service charters can include information about the expected level, delivery times and quality of services; mechanisms for feedback and complaint; as well as information about redress procedures in cases where citizens feel their needs and expectations have not been served. Transparency initiatives can also support the delivery of services directly at the subnational levels. For instance, the Construction Sector Transparency (CoST) Initiative, works with governments, industry and local communities around the world to get better value from infrastructure investment by making available standardised open data to reduce mismanagement, inefficiency, corruption and the risks posed to the public from poor infrastructure (CoST, 2017).

Additional resources:

Key international declarations that underpin the right to information include:

→ **Article 19 of the Universal Declaration of Human Rights (1948)** (https://www.un.org/en/universal-declaration-human-rights), which states that everyone has the right "to seek, receive and impart information".

→ **The Councils of Europe's Convention on Access to Official Documents (2009)** (https://rm.coe.int/1680084826), which sets out standards for the right of access to official documents, including exemptions, request processes, charging and review procedures.

Sources of advice to support the proactive publication of government data include:

→ **OECD (2020)** (http://www.oecd.org/governance/open-useful-and-re-usable-data-ourdata-index-2019-45f6de2d-en.htm), which highlights the main principles, concepts and criteria framing open government data initiatives and the issues challenging their implementation.

→ **The OECD Working Paper** (https://www.oecd-ilibrary.org/governance/open-government-data_5k46bj4f03s7-en), which highlights the main principles, concepts and criteria framing open government data initiatives and the issues challenging their implementation.

→ **The International Open Data Charter (N.D.)** (http://opendefinition.org/), which outlines six principles for the release of data;

→ **The United Nations' Guidelines on Open Government them Data for Citizen Engagement (2013)** (http://workspace.unpan.org/sites/Internet/Documents/Guidelines%20on%20OGDCE%20May17%202013.pdf), which includes policy guidelines and recommendations for good practice;

→ **The World Bank's Open Data Toolkit (N.D.)** (http://opendatatoolkit.worldbank.org/en/), which provides a step-by-step guide to planning and implementing effective data publication.

For more information on how to implement budget transparency initiatives, see the OECD's guidance on Best Practices for Budget Transparency (2002) (http://www.oecd.org/governance/budgeting/Best%20Practices%20Budget%20Transparency%20-%20complete%20with%20cover%20page.pdf). These practices focus on producing budget reports, providing specific disclosures and information for reports and ensuring quality and integrity. Guidance on developing a Service Charter can be found in the Centre for Good Governance's Handbook (2007). This guideline is a valuable resource for policy makers seeking to develop and implement service charters by outlining what these are, their benefits as well as their limitations.

To support governments develop transparent contracting initiatives, the Open Contracting Partnership has developed a global Open Contracting Data Standard (N.D) (https://www.open-contracting.org/data-standard/) as a foundation for building tools and systems that use, present and analyse information at each stage of the contracting process.

Cameroon

Empowering Citizens through Budget Transparency

KEY FUNCTION
Transparency – budgeting
LEVEL
State/Region

With support from the World Bank, the North-West region in Cameroon piloted an initiative to promote greater budget transparency. Its objectives were:
1. The Simplification, analysis, and disclosure of budgets at multiple levels (national, regional, divisional, municipal, school, and health center);
2. Building/Raising awareness and capacity building of government officials and local/regional institutions to promote public dialogue about public expenditures by encouraging demand-side governance.

A steering committee under the chairmanship of the regional governor coordinated the creation of simplified budget templates that could be used to gather budget information. The templates were designed to convey the most important information at a glance—available resources and their expenditure across competing functions as well as performance indicators. Training was also provided to relevant officials on the importance of budget transparency and how to accurately fill out the templates. Budget templates were completed for 117 institutions across the region (schools, health centres and local councils) and this information was widely disseminated through brochures, notice boards, and the media.

The centrepiece of the initiative, however, were a series of Public Budget Dissemination Meetings designed to inform citizens about the available resources of institutions, what they were spent on, and how they were obtained. At each meeting the budgets were read allowed to attendees and citizens were given the opportunity to ask questions and provide feedback on the divulged information.

To encourage public engagement with the Public Budget Dissemination Meetings a local NGO, the Cameroonian branch of SNV Netherlands Development Organization, facilitated an innovative process of awareness raising, community mobilisation and capacity building across the community.

▶ Forty radio programs were produced, featuring discussions with directors of schools and hospitals as well as debates with civil society leaders. Most of these programs were interactive and allowed for listeners to call in and participate in discussions. These shows not only promoted the meetings, but were designed to sensitise people on a number of budget related issues (e.g., how to hold traditional leaders accountable for funds entrusted to them).
▶ Local theatre groups were mobilised to help generate interest in the meetings. Working from storylines written by SNV (and encouraged by a prize for the top three performances) 10 high-school theatre clubs developed plays that were performed at the meetings to promote citizen interest in public expenditure matters in an interesting and engaging way.
▶ Secondary school students were supported to form budget clubs, which provided a forum for interested students to discuss issues related to governance and budget transparency at their schools and in their communities, and to propose alternatives to planned expenditure.
▶ An arts competition invited students from across the region to submit essays, poems, or drawings related to budget transparency and its importance for good governance. Over 200 students participated and three were awarded monetary prizes for their entries
▶ The creation of a Facebook page that quickly picked up over 2000 "friends" and allowed interested citizens to exchange views on budget transparency.

Evaluations of the project showed that, as a result:
▶ Public awareness of the importance of budget disclosure, the role and responsibilities of public institutions and the duty of officials to account for how public money is spent has increased;
▶ Cases of poor prioritization and waste of resources were revealed and instances of corruption were unearthed, which in one case, led to the return of the embezzled funds;
▶ Citizens have become more aware of the constraints facing institutions by giving public officials an opportunity to explain the limitations they face in doing their jobs;
▶ Awareness of the importance of link budgets and expenditures with performance indicators rose, and there was greater understanding about the need to set performance targets within realistic expectations given available resources;
▶ Public officials—and mayors in particular—have reported improved relations with their constituents and increased trust between citizens and themselves
http://siteresources.worldbankorg/ EXTSOCIALDEVELOPMENT/

USA

Ohiocheckbook.Com

KEY FUNCTION
Transparency – budgeting
LEVEL
State/Region

The state of Ohio in the USA uses an online data publication and visualisation programme to make expenditure decisions transparent to citizens at a state, county and city level in a consistent way. The information provided on the website on spending is searchable, allows the public to compare spending on different services as well as track expenditure on service areas over time, and is able to be downloaded in an open data format for further use by the public and civil society.
Source: State of Ohio (2019), Ohiocheckbook.com, accessed on 10 June 2019, https://local.ohiocheckbook.com/

Your right to know»: using board games to teach citizens about their right to access information

KEY FUNCTION
Transparency – budgeting
LEVEL
State/Region

The right to access information gives each person the ability to obtain information, documents and data from public institutions and other actors, without having to provide a specific purpose. More than 120 countries around the world have adopted comprehensive laws on access to information, which means that 90% of the world's population lives in a country with a law or policy on the Right to Information. However, when these laws exist to incorporate international standards into national legal systems, their actual implementation can be difficult. Laws often raise questions such as: Who are you asking? How long do you have to wait? Do you have to pay a fee? What to do if the information is classified as confidential or confidential?

Therefore, Article 19 in Mexico City created a board game called "Your right to know", with the aim to help civil society, journalists and activists learn how to use ATI laws to guarantee their rights, acquire knowledge and challenge governments and institutions on key issues. It has been highly successful in Mexico city and disseminated by the Mexican National Institute for Transparency, Access to Information and Personal Data Protection (INAI). The game covers practical modules on how to create and submit a request, relevant institutions involved in the process, the types of public information that exist and the processes for appeals.

Source: Article 19 Mexico City (2019), «Tu derecho a saber» un juego para aprender cómo funciona el derecho a la información, https://www.article19.org/wp-content/uploads/2019/09/FOI-snakes-and-ladders-Spanish-Final_compressed.pdf

Citizens' Initiative Review

KEY FUNCTION
Transparency – Policy Making
LEVEL
State/Region

The Citizens' Initiative Review is a mechanism from Oregon that enables citizens to evaluate publicly legislative proposals in order to inform other citizens. As such, it is a process of delegating authority over the production of public information on proposed legislations.

Each Review brings together a randomly selected and demographically balanced panel of 24 citizens over 3-5 days to review evidence, talk to experts, hear from campaigns, and discuss their views before producing a "Citizens' Statement". This Statement reviews the facts and arguments for and against a given proposal and is distributed to the electorate in advance of polling time alongside the official government information, so that voters have access to clear, useful, and citizen led information.

A 2012 evaluation of the programme found the Citizens' Statements to be "highly deliberative", to contain a "high level of factual accuracy" and "insightful" from the perspective of 2/3 of citizens.

Source: Fletcher, S. (2017), Citizens' Initiative Review, case published online on Participedia, https://participedia.net/method/5097

The Citizens Charter of Naga City

KEY FUNCTION
Transparency – Public Services
LEVEL
City

Naga City's Citizens Charter was launched in 2001 as a guide to the city's government services. Spanning 140 services, in 18 categories, the Charter makes clear the responsibilities of the city government and their performance pledges: the step-by-step procedure for availing each service, the response time for its delivery, and the city hall officers and staff responsible for the services.

This information is complemented by a list of requirements a customer must comply with to be eligible for service delivery. The Charter is distributed to all households in Naga via a printed leaflet and is available on the city website.

Source: Naga Government (2019), Naga City's Citizens Charter, accessed on 12 March 2019, http://naga.gov.ph/experience-naga/services/naga-city-citizens-charter/

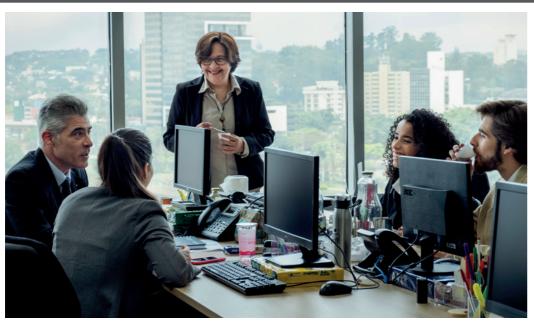# Increasing transparency in infrastructure delivery

KEY FUNCTION
Transparency – Public Services
LEVEL
City

The Construction Sector Transparency (CoST) Initiative delivered training workshops on open data and how it can be used to demand better service provision to the community. Following this training, local citizens organised their own meetings to discuss specific infrastructure projects affecting their community. Working together to use this information, and with support provided by CoST, they began to realise that they had cause to demand that local policy-makers deliver better value from local road maintenance works.

As a result, citizens now regularly meet with the CoST Honduras Assurance Team to discuss their findings and monitor the continued works. This has highlighted where works have been completed insufficiently or where certain areas of the town have been bypassed. Together with CoST Honduras, the citizens have put pressure on the construction firms to improve their practices in accordance with their contracts.

Source: CoST (N.D), Delivering better value public infrastructure, available online at : http://infrastructuretransparency.org/wp-content/uploads/2018/06/2186_CoST-Success-Stories.pdf

Brazil

Promoting transparency of municipal finances: the case of the My Municipality portal

KEY FUNCTION
Transparency – Public Services
LEVEL
State/Region

While 80% of 5,570 municipalities in Brazil have less than 50 thousand inhabitants, their revenue is often not sufficient to pay public expenditures and therefore incur in debt with the federal government. Alongside resource scarcity, municipalities have a prominent position in the provision of local services and public investment. Therefore, citizens' quality of life can be negatively affected due to poorly administered resources.

Against this backdrop, in the year 2014 BRAVA Foundation created "Portal Meu Município" (My Municipality portal). My Municipality gathers municipal data from the National Treasury and IBGE (Brazilian Institute of Geography and Statistics) and synthesizes it in a simpler, understandable and comparable format. Through the platform, citizens can visualize the source and destination of government revenues. This tool has also been a valuable resource helping public managers understand local performance indicators to create more evidence-based policies and optimize local spending.

My Municipality has financial data of 90% of Brazilian municipalities with a historical series since 2013. The platform also provides easy data visualization and comparison of municipalities and its management indicators. In only four years, more than 92% of municipalities from all Brazilian states have used this platform and at least 11 have used it to optimize their finances. In addition, more than 3.3 million people have accessed My Municipality and more than 5 million have reached out to their local administrations, including more than 100 mayors, through social media.

Source: Dal Fabbro, A. (2019), Promoting transparency of municipal finances: the case of My Municipality in Brazil, published on the OECD Case Navigator for Open Government, https://oecd-opsi.org/innovations/promoting-transparency-of-

Colombia

Hackathon to make information available on public contracts more relevant to the public

KEY FUNCTION
Transparency – Public Services
LEVEL
City

Sharing information with the public, parents and potential suppliers was an important part of initiatives to make the contracting of school meal provision in Bogotá more open and transparent. Details about how the meals were procured was therefore made available on a public contracting online platform for all to see.

Discussions regarding the school meals program with parents, however, revealed that for them, the basic information about what was being provided to their children was what mattered the most: i.e. information that might not actually be detailed in the contracts.

In March 2018, a 24-hour hackathon named #Alimendata (a play on the Spanish words for food and data) was organized by a coalition of government and civil society organizations to mark Open Data Day and increase social monitoring of the public resources spent on school meals programs countrywide. It focussed on using the data on school meal procurement that was available in reusable open data formats, to develop tools designed specifically to meet the needs of the parents and children themselves.

The result was a simple App that would enable parents and students to check on their schools' menu of the week. The App also provided users with information on the range and quality of the offer they should expect from the school meals programme and provided a mechanism for making comments and complaints (using Blockchain technology to guarantee the transparency and integrity of the comments made by the public).

Source: Universidad Distrital Francisco José de Caldas (2018), Red Rita gana Hackatón #AlimenData, published online at: https://www.udistrital.edu.co/red-rita-gana-hackaton-alimendata

Spain

The Provincial Law on Transparency of Biscay

KEY FUNCTION
Transparency – Public Services
LEVEL
State/Region

Based on their commitment to make Biscay (Spain), a better, closer, more modern and responsible public administration, the Province adopted the Law (Norma Foral) on Transparency in February of 2016. The intention of this law was to go a step further on what was already stipulated in the Spanish national Law for Transparency, Access to Public Information and Good Governance (enacted in 2013). Most notably, the Provincial law expands the list of information and data to be proactively disclosed in relation, for instance, to the public administration (procurement, grants and subsidies), sectoral policies (plans, programmes and service charters), public employment (staffing structure, job offers, training programmes), and other general information that can be useful for citizens. Acknowledging that having the law only represents the initial step for a more transparent government, Biscay has carried out several activities to facilitate its dissemination and understanding aiming at ensuring a proper implementation. For instance, several awareness-raising public campaigns were conducted with public and private stakeholders. In addition, an easy-read version of the law was published and a central transparency portal was created. Building on these achievements, the Provincial government adopted the Plan for Transparency in 2017. It included, among other measures, supporting the creation of new transparency portals in municipalities with an easy-to-use website called "Udala Zabaltzen". To improve public services, the Plan established the development of service charters (cartas de servicio) for certain public offices that have constant contact with the public. The Provincial government moreover conducted technical seminars for all the Departments (ministries) and elaborated guidelines for private entities receiving public funds to ensure their compliance with the law. More recently, the Province adopted a new Transparency Plan for the 2020-2022 period, which focuses on improving the content published proactively, on reinforcing transparency measures in procurement, budgeting and service delivery, and on developing an Open Data Strategy.

Source: OECD (2019), Open Government in Biscay, OECD Public Governance Reviews, OECD Publishing, Paris, https://doi.org/10.1787/e4e1a40c-en.

Consult more cases on Transparency

On the Open Government Tool Kit and Case Navigator, developed by the OECD and the OGP.

Promoting Public Integrity

Integrity is a cornerstone of good governance, contributing to inclusive growth, ensuring the effective delivery of public services, as well as strengthening the values of democracy and trust in governments. It is a strategic response to corruption, which can widen economic and social inequalities, lead to political polarisation and reduce trust in institutions (OECD, 2020). In this regard, it is essential that public officials, elected representatives and decision makers in the public sector act in alignment with defined ethical values, principles and norms that prioritise 'public interest' over the interests of private individuals or select groups. This would also entail the application of a solid internal control and risk management framework, adopting and applying effective sanctions for violation of public integrity standards, and reinforcing the role of external oversight and control, while protecting whistle-blowers and encouraging effective transparency and stakeholder engagement throughout the political process and policy cycle.

In order to assist with Jordan's decentralization process, strengthening integrity at the local level is especially necessary given low levels of citizens' trust in public institutions (OECD, forthcoming). Indeed, the 2019 Arab Barometer notes that trust in government has been declining in the region, reaching a record low in Jordan

(38%). The country ranked 76 out of 151 countries in the transparency of government policy making index and received a score of 65.87% on the rate corruption control (World Bank, 2018). In parallel, Jordan has remained consistent in regard to Transparency International's Corruption Perception Index , with an average score of 48 since 2016 and ranking 60th globally in 2019 (Transparency International, 2020). In order to remedy these challenges, the National Integrity Charter and its executive plan consolidate a comprehensive vision for reform under 168 commitments focusing on the need to institutionalize governance, rule of law, combatting corruption, and public participation in the decision-making process. Jordan's commitment to strengthening integrity systems was also emphasized in the context of the decentralization reform through the National Renaissance Plan (2019-2020), which acknowledges combatting corruption and enhancing transparency and integrity as critical factors to strengthen institutions in light of the decentralization of power to the sub-national level.

In the section that follows, this document will provide practical examples for how integrity can support key local government functions in Jordan, including policymaking, subnational revenue and budget management, procurement, and delivery of services.

An introduction to the concept of Public Sector Integrity

The OECD Recommendation on Public Integrity emphasises that "enhancing public integrity is a shared mission and responsibility for all levels of government through their different mandates and levels of autonomy in line with national legal and institutional frameworks…for fostering public trust" (OECD, 2017c) and promotes a whole-of-government approach towards public integrity, which includes the national and subnational level. It provides national and subnational governments with a vision for a public integrity strategy, based on a context dependent, behavioural, risk-based approach with an emphasis on cultivating a culture of integrity. Its thirteen principles are organised according to three pillars:

1 A coherent and comprehensive integrity system: To establish a comprehensive integrity system, it is crucial to promote political and senior management commitment to integrity, clear institutional responsibilities across the public sector, including mechanism for horizontal and vertical co-operation, an evidence-based, strategic approach to mitigate public integrity risks, most notably corruption, and high standards of conduct that prioritise the public interest and adherence to public sector values.

2 A culture of public integrity: To cultivate a culture of integrity, governments could aim to engage private sector, civil society and individuals to promote a whole-

of-society culture of integrity, invest in integrity leadership, promote a merit-based, professional, public sector dedicated to public-service values and good governance, and support an open organisational culture responsive to integrity concerns, where employees feel confident to speak up and an effective whistle-blower protection system is in place, with a particular focus on ensuring that clear rules, procedures and channels are in place to report suspected integrity violations.

3 **Effective accountability:** To enable effective accountability, it is key to apply an internal control and risk management framework, ensure enforcement mechanisms that provide appropriate response to suspected violations of integrity standards, reinforce the role of external oversight and control for example through independent oversight bodies, regulatory enforcement agencies and/ or administrative courts and encourage transparency and stakeholder engagement at all stages of the political process and political cycle, including by averting policy capture through managing conflict-of-interest

situations, and instilling transparency in lobbying activities and financing of political parties and election campaigns (OECD, 2017c).

Corruption is a multilevel issue, which concerns all levels of administration, including subnational governments. The breadth of responsibilities, planning and licensing discretions, and high proximity to public and users of government services place municipal governments at a unique conjunction of integrity challenges. Subnational governments are often responsible for decision-making and service delivery in a wide range of areas renowned for their vulnerability to corruption, such as urban planning, building and construction, social services, waste management, utilities, granting and licences and permits. Compared to the national level, these types of interactions increase the frequency and directness of interactions between the public and individuals and the private sector and create opportunities to challenge integrity (OECD, 2017d).

Subnational governments face specific integrity risks. For example, conflict-of-interest situations are more likely because of the proximity of the subnational governments to the local community,

making family and network ties a typical characteristic of the operational environment (Transparency International, 2015). Similarly, limited resources in the majority of municipal governments can result in a situation where elected councillors are not remunerated on a full-time basis, leaving them as part-time councillors holding down full-time jobs, and exposed to a wide range of pecuniary interests inevitably interwoven with public duties (Dollery et. Al, 2003). Additionally, local media may be weaker than at the national level and civil society potentially less developed may reduce external accountability and pressure from civil society (Whitton, 2001).

Furthermore, subnational governments may suffer significant capacity limits in human, financial and technical resources, impairing their ability to tackle corruption effectively. The resources and capacities of subnational governments can vary significantly, from city councils larger than some state governments to extremely small councils with a handful of staff for very small populations, but which also often serve geographically large areas. Bigger municipalities may be large enough to possess their own office against fraud and corruption with responsibilities for corruption prevention and fraud investigation. While smaller municipalities often do not have the resources to establish any type of systematic corruption prevention or investigation function. Finally, corruption of this tier of government is often more visible to citizens than corruption at the more remote levels of regional or national government. Indeed, it is often those public activities and services, which are either under multi-level or municipal responsibility that are perceived as most corrupt (see for example Mexico, ENCIG 2017).

Despite this, anti-corruption initiatives tend to focus on the national level, are designed in a top-down manner and follow homogeneous patterns (national laws and institutional frameworks) irrespective of the differences of the subnational contexts. These differences can involve governance-related factors, including political effectiveness, political stability, degree of citizen involvement, violence or level of decentralisation. They can also involve special demographic or social characteristics, including education levels, the degree of social integration, heterogeneity and social mobility. Economic differences can also be strong between subnational entities, including poverty levels, employment, fiscal autonomy and self-sufficiency, as well as the outcomes in terms of general well-being. Stark governance, socio-economic, and institutional differences between regions and sub-national governments within the same country demand a differentiated treatment of its problems.

A critical analysis of the integrity approaches in subnational governments shows the relevance of approaches that take account of the context, resources, capacities and specific integrity risks. This means that while the OECD Integrity Recommendation provides a blueprint for subnational governments on how to strengthen integrity, the principles will need to be adapted to the context. The OECD is developing a methodology for designing a strategic approach to integrity at the subnational level. It aims to analyse the national and regional context in which the subnational government is located, including a multi-level governance perspective, characterises the challenges faced by the local government in terms of citizens' needs and corruption vulnerabilities as well as the elements at

its disposal for change. On this basis and with a perspective of the local context and dynamics, it enables the development of potential integrity pathways to address the identified priority problems through a strategic selection of key integrity instruments and measures directed at improving service delivery, socio-economic development, wellbeing and trust

A crucial feature of this methodology is that it takes the perspective of the local actor, rather than prescribing approaches from the national level without further adaptation. This does not mean discarding traditional solutions up-front (e.g. codes of conduct, access to information, whistle-blower protection, etc.), but it means to target them and to select priorities according to the integrity vulnerabilities, resources and capacities of the subnational entity (Box 1.1). Governments should reflect on the expected impact (as opposed to a mere checking-the-box exercise) against opportunity costs of investing the required resources into activities that are expected to be more impactful. At a minimum, however, dedicated processes for managing conflict of interest and

basic internal control functions should be established. If additional functions may be too resource-intensive to operate in the municipality, it may be prudent to assign some integrity functions at the regional or national level. For example, an already existing whistleblowing mechanism at the regional level could also cover local government.

Building on the tools and approaches discussed above, the following section illustrates how the open government principle of integrity can apply to a range of functions at the local level, including policymaking, subnational revenue and budget management, procurement, and delivery of services. However, as has been explicitly mentioned, the tools and approaches discussed below are meant to be illustrative and not exhaustive. In actual application at the local level— and in accordance with the OECD Recommendation on Public Integrity—the selection of measures should be based on a context dependent, behavioural, risk-based approach with an emphasis on cultivating a culture of integrity.

Box 1. Assigning local integrity responsibilities in the Netherlands and France. The following are examples of how local governments assign integrity functions in line with their capacity and resource levels.

The Netherlands:

Most cities and communities in the Netherlands develop and implement their own local integrity strategy. In the City of Amsterdam, the Integrity Office (Bureau Integriteit -BI) is responsible for promoting integrity with the local political leaders and managers, the whole city administration, and service providers and businesses. The mandate of the BI covers ethics and legal advice, training, risk assessments, disciplinary procedures and integrity investigation. This office is also the contact point for whistleblowers to report misconduct and breaches of integrity rules. The staff is specially trained to provide integrity advice, and usually has had extensive experience working for the administration of the City of Amsterdam.

Source: OECD (2020): OECD Public Integrity HandbookNote

France:

In France, some major cities and regions have designed and implemented an integrity policy and specific functions. Since 2014, the City of Paris has an ethics commission responsible for conflict of interest and asset disclosure, gifts and gratuities, interpretation and application of the code of conduct, and counselling and advice. In 2014, the City of Strasbourg assigned a similar role to an independent ethics officer for promoting the integrity of political leaders and managers, as well as administration of the municipality. Regions that have adopted a comparable approach include Provence-Alpes-Côte d'Azur. The 2016 revision of civil service status introduced a right to access ethics counselling in public organisations for all civil servants regardless of their status. The organisations must assign this responsibility, internally or externally. However, there are close to 35000 municipalities, among which more than 90% count below 5000 inhabitants and have more limited financial and human resources. Consequently, some integrity functions are either the responsibility of a local management centre, general director or other designated person(s) of the administration, or they are not assigned locally and rely upon other actors in the integrity system.

Integrity in Policy Making at the Local Level: ensuring that subnational government officials are working in the public's interest

Subnational governments can demonstrate integrity in policy making through taking proactive and transparent actions to minimise the risk of "policy capture," which refers to a situation wherein decisions over policies are consistently or repeatedly directed away from the public interest towards a private or special interest group (often as a result of lobbying). Establishing a legal framework for lobbying transparency and regulation can be an important tool for safeguarding the integrity of the policy-making process.

In addition to adopting national regulations or mechanisms, sub-national governments can implement measures to increase the transparency of lobbying, even when there is no national requirement. Examples of initiatives that local governments could take include publishing the 'diaries' of elected officials and senior managers within government so that the public knows who they have met with, and about what topic or issues as well as publishing the minutes of meetings with lobbyists. To improve public scrutiny, the use of social media highlight the events that elected officials and senior managers attend can promote wider awareness and oversight.

Integrity in Subnational Revenue and Budget Management: Ensuring that subnational revenues and expenditures are protected from fraud and corruption.

Public sector integrity, including the processes, procedures, and regulations for improved oversight, is integral to revenue and budget management, particularly at the local level. Having the appropriate integrity mechanisms and processes in place ensures that local governments have the ability to prevent waste, fraud, and corruption in the administration of public resources. In particular, given that revenue and budget management presents opportunities for the misallocation of resources, rent seeking behaviour, as well as other illicit and corrupt practices, a strong integrity framework can provide the basis to ensure efficient and intended use of public resources. As such, this includes protections and policies supporting codes of conduct, asset declarations of tax officials, conflicts of interest, gift policies, post-employment limitations, functional rotations, and whistle blower protections—all of which can help prevent officials from abusing the powers of their position (TADAT, 2019).

As noted above, sub-national government revenues (e.g. taxes, transfers, tariffs, user fees, property income, and social contributions) account for an increasingly large proportion of total public revenues, which makes it increasingly necessary that these levels adopt and implement effective integrity measures. Likewise, budget management practices at the local levels may be subject to greater vested interests given lower wages and weaker oversight from media and civil society. Taken together, these characteristics of local governments may increase incentives for local officials to act in corrupt or non-ethical ways.

Given the unique challenges that subnational budget and revenue management can pose from an integrity perspective, a number of tools and good practices could be considered. First, an internal affairs unit responsible for formulating integrity and ethics policy can help to investigate professional misconduct of local tax and finance officials and bring wrongdoers to account, often in cooperation with relevant enforcement agencies (e.g., police, anti-corruption body, and public prosecutor) (TADAT, 2019). Second, internal controls in the form of policies, procedures, and systems can help to protect the local administration's accounting systems from error and fraud, safeguard its assets and records, and ensure compliance with laws. Examples of specific types of controls

include: (i) authorization of transactions; (ii) functional separation of duties; (iii) audit trails of transactions and activities; (vi) physical security over assets; (v) control over access to electronic and manual records; and (vi) backup and recovery procedures (TADAT, 2019).

Integrity in Public Procurement at the Subnational Level:
promoting fair and efficient contracting at the local level

Public procurement is a high-risk area due to several factors including the close interaction of the public and the private sector, the high financial interests at stake, the multitude of stakeholders and the complexity of procurement processes (OECD, forthcoming). Both at the national and subnational level, these risks may result in the inefficient, or active misuse, of public money through bribery, cartelism, nepotism, cronyism, collusion and bid rigging as well as the delivery of substandard products and services through fraud. At the same time, conflicts of interest that can result in contracts that are unnecessary or not aligned with public needs and interests—or in worst case scenarios—result in a threat to public health and safety, especially in relation to drug and healthcare supplies or infrastructure work (OECD, 2016; Hussain et al., 2018). Furthermore, the OECD experience shows that the most prominent weakness in public procurement systems is the workforce's lack of capability (defined as skills-based ability for an individual, group or organisation to meet obligations and objectives) and lack of capacity (defined as the ability to meet

obligations and objectives based on existing administrative, financial, human, or infrastructure resources). These weaknesses can be stronger at the subnational level and compromise the integrity of the investment process, deter investors and the achievement of policy objectives.

Given these challenges, which are especially relevant at the subnational level, openness and integrity in contracting is one way of securing better value for money, while also building trust with the private sector, civil society and the public. In order to mitigate potential integrity risks, general measures subnational governments may consider are ensuring transparency throughout the procurement cycle, strengthening professionalization of the procurement function, and ensuring clear accountability and control mechanisms. Electronic tools, such as e-procurement systems line such as JONEPS in Jordan, can be important tools to monitor and manage risks (OECD, 2015). It is also important, however, for governments to use the information they hold to monitor contract performance

and enable value-based procurement decisions that demonstrate their integrity. Such information can flag cases of non-competitive practices and price fixing and the changes implemented--due to access to relevant contract and procurement data --can clarify for governments how they can reorganize the process and ultimately improve service quality.

Integrity in Public Service Delivery at the Local Level:
so that the public can trust that services are being provided by subnational governments in an effective and efficient manner

Local level policies have a direct impact on the quality of people's daily lives and affect how the public experiences the actions of their governments. One way of ensuring that the public can trust in the integrity of their public officials is through the institutionalisation of "codes of

conduct" or "standards for public life." These frameworks are designed to demonstrate a commitment to ethical behaviour and can enhance the organisation's reputation, support harmonious relationships within the organisation, enhance relationships with third parties, manage risks associated with ethical decision-making, set out disciplinary procedures and demonstrate effective governance arrangements (Gilman, 2005; OECD, 2009a).

The integrity of elected government officials, as well as the integrity of those working inside administration and in delivering services, is vital for developing and maintaining citizen trust in public institutions. However, evidence suggests that simply having a code of conduct in place will do little to instil a culture of integrity and transparency across public services (Fillabi & Bulgarella, 2018). To be effective, a code must be translated into practical action and its central values and standards embedded in an organisation's overall practices and procedures. Embedding codes of conduct not only contributes to the emergence

of responsible individual behaviour but also to the establishment of a responsible organisational culture. There are a number of elements that can help embed a code of conduct into an organisation including: (i) a participatory development process backed up by strong leadership; (ii) structures and mechanisms for guidance, monitoring and enforcement, including a wide dissemination of their existence; (iii) capacity building among elected officials and staff to enable them to apply the standards to real life situations as well as incentives for compliance; and finally (iv) periodic review and evaluation.

In addition to codes of conduct to help guide the delivery of local services, sub-national governments can also rely on Integrity Pacts, which were developed by Transparency International to prevent corruption and mismanagement in the delivery of large infrastructure works. An Integrity Pact is a binding document signed between a contracting authority, bidders and an independent civil society monitoring organisations. It commits all parties to comply with best practice standards (for example in relation to transparency, contracting and employment practices) throughout the delivery of a public works project and entrusts the monitor to make sure this happens. Monitors follow the whole process from the design of the tender to the implementation of the contract and the quality assurance of the completed works. The monitoring organisation also has a responsibility to oversee how effectively people and communities affected by the project are kept informed and engaged (Transparency International, N.D.).

Additional resources:

→ **The OECD Recommendation of the Council on Public Integrity (2017c)** (http://www.oecd.org/gov/ethics/OECD-Recommendation-Public-Integrity.pdf) provides policy makers with a vision for a public integrity strategy which shifts the focus from ad hoc integrity regulations to a context dependent, behavioural, risk-based approach across the whole of society.

→ **The OECD Public Integrity Handbook (2020)** (https://www.oecd.org/corruption-integrity/reports/oecd-public-integrity-handbook-ac8ed8e8-en.html) provides guidance to government, business and civil society on implementing the OECD Recommendation on Public Integrity. The Handbook clarifies what the Recommendation's thirteen principles mean in practice and identifies challenges in implementing them.

→ **The OECD report Behavioural Insights for Public Integrity: Harnessing the Human Factor to Counter Corruption (2018)** (http://www.oecd.org/governance/behavioural-insights-for-public-integrity-9789264297067-en.htm) describes how behavioural insights can help make integrity and anti-corruption policies more effective and efficient. It includes concrete policy applications and provides guidance for policy makers on how to use behavioural insights in designing integrity and anti-corruption policies.

→ **The OECD's Guidelines for Managing Conflict of Interest in the Public Service (2003)** identifies policies and standards for developing an effective conflict of interest policy, promoting a culture of transparency and support partnerships with the private sector as well as civil society. The report Managing Conflict of Interest in the Public Service - OECD Guidelines and Country Experiences (2004) (https://www.oecd.org/gov/managing-conflict-of-interest-in-the-public-service-9789264104938-en.htm) highlights trends, approaches and models across OECD countries in a comparative overview that also presents examples of innovative and recent solutions. The Managing Conflict of Interest in the Public Sector Toolkit (2005) (https://www.oecd.org/gov/managing-conflict-of-interest-

in-the-public-sector-9789264018242-en.htm) provides resources and strategies for identifying, managing and preventing conflict-of-interest situations more effectively and increasing integrity in official decision-making which might be compromised by conflicts of interest. It provides non-technical, practical help to enable officials to recognise problematic situations and help them to ensure that integrity and reputation are not compromised.

→ **The OECD report on Preventing Policy Capture (2017)** (http://www.oecd.org/gov/preventing-policy-capture-9789264065239-en.htm) provides guidance for policy makers on how to mitigate the risks of policy capture. It maps four complementary strategies to counter policy capture, including through engaging stakeholders with diverging interests, ensuring transparency and access to information, promoting accountability and identifying and mitigating the risk of capture through organisational integrity policies.

→ **The OECD's 10 Principles for Transparency and Integrity in Lobbying (2013)** (http://www.oecd.org/corruption/ethics/Lobbying-Brochure.pdf) provides guidance for implementing effective policies to avoid undue lobbying influence on public sector decision making.

→ **The OECD's CleanGovBiz toolkit** (http://www.oecd.org/cleangovbiz/) offers practical guidance on how to fight corruption and build integrity by drawing together relevant instruments to support the establishment of healthy systems of governance, prevent corrupt practices, detect corruption, prosecute delinquencies and remedy the consequences of corruption. It also provides guidance on developing effective and comprehensive whistle-blower protection laws.

→ **The OECD Report Committing to Effective Whistleblower Protection (2016)** (http://www.oecd.org/corruption-integrity/reports/committing-to-effective-whistleblower-protection-9789264252639-en.html) analyses whistleblower protection frameworks in OECD countries, identifies areas for reform and proposes next steps to strengthen effective and comprehensive whistleblower protection laws in both the

public and private sectors. In addition, Transparency International has developed a Best Practice Guide for Whistleblowing Legislation (2018) for policy-makers on how to implement its International Principles for Whistle-blower Legislation.

→ **The United Nations Convention against Corruption (2004)** (https://www.unodc.org/documents/treaties/UNCAC/Publications/Convention/08-50026_E.pdf) creates a framework for preventing and tackling corruption and promoting integrity. It further obliges signatories to implement anti-corruption measures at all levels of government: focusing on prevention; law enforcement; international cooperation; asset recovery; and technical assistance and information exchange.

→ **Transparency International's Implementing Codes of Conduct in Public Institutions (2014)** (https://knowledgehub.transparency.org/assets/uploads/helpdesk/Implementing_codes_of_conduct_in_public_institutions_2014.pdf) provides advice and practical tools for assessing the effectiveness of implementing codes of conduct.

Additional sources of advice for putting in place initiatives to support integrity in public procurement include:

→ **The OECD's Checklist for Enhancing Integrity in Public Procurement (2008)** (http://www.oecd.org/gov/41760991.pdf) is designed to guide policy makers in instilling a culture of integrity in the entire procurement cycle, from needs assessment to contract management and payment.

→ **The Open Contracting Partnership's global Open Contracting Data Standard (N.D.)** (https://www.open-contracting.org/data-standard/) enable users around the world to publish shareable, reusable, machine readable data, to join that data with their own information, and to create tools to analyse or share that data.

→ **Transparency International's Local Governance Integrity: Principles and Standards (2014)** (file:///C:/Users/Lopezramos_P/Downloads/2015_LocalGovernanceIntegrity_PrinciplesStandards_EN.pdf), provides clear

guidance as to how to prevent corruption and deal with it when it occurs at the local level. The guide also has a specific chapter focused on local public procurement.

→ **The OECD's Good Practice Guidance on Internal Controls, Ethics, and Compliance (2010)** (https://www.oecd.org/daf/anti-bribery/44884389.pdf) is addressed to companies for establishing and ensuring programmes or measures for preventing and detecting the bribery of foreign public officials in business transactions.

Additional sources of information for establishing integrity initiatives in relation to public services can be found in:

→ **The OECD's Integrity Framework for Public Infrastructure (2016)** (https://www.oecd.org/corruption/ethics/Integrity-Framework-For-Public-Infrastructure-Brochure.pdf) which presents a range of tools and techniques for demonstrating that infrastructure projects can be delivered in ways that are productive, transparent and free from corruption.

→ **Transparency International's Local Integrity Assessment Toolkit (2014)** (https://issuu.com/transparencyinternational/docs/2014_listoolkit_en?e=2496456/8615967) provides a structure for evaluating the effectiveness of local mechanisms to tackle opportunities for corruption and develop procedures to strengthen integrity in partnership with local stakeholders.

→ **The Construction Industry International Transparency Initiative** provides guidance on the types of information that should be proactively made available in relation to infrastructure projects to improve government integrity in the CoST International Data Standard (2017) (http://infrastructuretransparency.org/resource/977/)

Netherlands

Self-assessment of the implementation of the Municipality of Amsterdam Code of Conduct

KEY FUNCTION

Integrity – Policy Making

LEVEL

City

Over 22.000 employees work for the municipality of Amsterdam, in fourteen city boroughs and about forty departments, which operate on widely varied domains and relatively independently from each other. In 2002, the Council decided to implement a code to support the integrity of the employees across the entire municipality. Each head of department and each district officer was then responsible for implementing the integrity policy in his or her department or district.

In 2003, the Municipality's Bureau of Integrity undertook a self-evaluation of the effectiveness of the implementation of the code (assisted by academic researchers). The aim was to establish to what extent the code was embedded in the consciousness and practices of the workforce, measure to what extent is has improved its track record on integrity and determine which type of activities deserve greater priority, and where.

The researchers developed a list of indicators that could be used in these assessments, and a survey was sent to managers of different departments and city boroughs. The indicators used were:

▶ Identifying and removing barriers: incidents and dilemmas are being consistently registered and categorised.

▶ Coding: the code reflects concrete dilemmas that occur in daily business practice.

▶ Internalisation: the code contains indications that refer directly to the activities of the employees.

▶ Enacting values: there are short feedback loops so that employees are quickly informed whether or not they have behaved according to the code.

▶ Monitoring: internal process risks are registered and monitored whenever possible.

▶ Accountability: exemplary projects are transparently and widely communicated within the organisation.

▶ Leadership: the head of the organisation consequently indicates what the important values within operational management are.

▶ Policy and strategy: the strategic policy of the organisation indicates the long-term importance of the code of conduct.

▶ People: the code serves as a framework for formal and informal functioning and appraisal interviews.

▶ Resources: the organisation is prepared to concede to financial results if the code demands it.

▶ Processes: the organisation has made a risk inventory to discover bottlenecks concerning responsible and irresponsible behaviour.

The evaluation found that overall the enactment of the code was seen to be relatively underdeveloped. Further, although the municipal government had set out to translate the principles of the code in clear guidelines, some of these guidelines appeared to send contradicting messages to the employees, depending on their workplace environment (e.g. the policy on receiving gifts). The assessment also found that awareness and monitoring of conduct varied greatly between departments. Awareness was, however, highest in departments where the code had not simply been distributed to employees but rather efforts had been made to bring it to life through staff meetings, discussions, and, in one case, by inviting theatre actors to organise a performance about the code.

Source: Nijhof, A. H. J., Cludts, S., Fisscher, O. A. M., & Laan, A. (2003), Measuring the implementation of codes of conduct. An assessment method based on a process approach of the responsible organisation, Journal of business ethics, 2003(45), 65-78. https://doi.org/10.1023/A:1024172412561

Spain

City of Madrid Transparency Ordinance

KEY FUNCTION

Integrity – Policy Making

LEVEL

City

As part of a range of open government initiatives, the City of Madrid adopted a lobbying transparency register in 2017. Any individual or organisation that seeks to meet public officials first needs to include their details in the register. They are also required to record any meetings in the register and keep the details about their interests up-to-date in the register every year. The register is transparent and searchable by the public and other stakeholders seeking to influence policy-making.

As part of this same initiative, the City of Madrid also proactively publishes the diaries of elected officials, with details of the meetings they hold and events they participate in. The city has also developed an on-line 'legislative footprint' that shows the relevant procedures and documents generated during a decision making processes, including any previous public consultation, so that citizens are able to monitor the process.

Source: Gobierno de Madrid (2019), Tomadedecisiones. madrid.es, accessed on 10 July 2019, https:// tomadedecisiones.madrid.es/

Colombia

Open Contracting to improve the provision of school meals

KEY FUNCTION
Procurement and Contracting
LEVEL
City

In the City of Bogotá, a $170 million program to ensure fresh, nutritious school lunches reach their 800,000 students (aged 4 – 18) in over 700 different schools every day is contracted to independent suppliers. The quality and reliability of the school meals delivered, however, was often inconsistent, though city administrators often felt at the mercy of the supplier's terms to ensure their pupils had a reliable supply of food.

Part of the problem was the contracting process that was largely dependent on direct contracting with a single supplier, who was then responsible for sourcing, packaging and delivering the meals every day (often using sub-contractors). In most cases, companies were contracted in a "reverse auction process" in which the bidder with the lowest price won, and there was no requirement for them to continue to use the same providers (meaning they could switch to cheaper products after winning the contract). Further, with many tenders themselves attracting just one bidder, competition was limited and scandals about inflated prices for products were regularly highlighted in the press.

Funding for the food program comes from both national and local government, so in 2016 Bogota's education secretariat and Colombia's national public procurement agency began exploring new options for the contracting of school meals. Open data and open contracting drove the radical reforms that they introduced. (While much of the government data that informed the design of the new procurement system was already available on Columbia's open procurement database once this data was published in standardized and reusable formats compliant with the called the Open Contracting Data Standard it made it much easier to access and analyse to shape the new program.)

After an analysis of the data, the solution they devised was to divide the process in two. The first part would cover sourcing the food: suppliers are now commissioned by participating in a tender for a framework agreement that sets the general conditions and price caps, while quantities and final prices are established when a purchase is needed. A second procurement process then covers the assembly and distribution of the food.

By adopting open and competitive procurement processes that focused on the requirements of each component in the supply chain, and cutting out intermediaries, the US$170 million that was previously shared between just 12 companies is, in 2017/18, spent among 55 specialized producers (14 of which had never participated in a bid process before). 24 companies that previously participated only as subcontractors now contract directly with the city, which means that their contracts are more secure which allows the businesses to plan. Due to these changes, costs to the city for these products and services have also decreased, with savings estimated at 10–15% in the first year.

Source: Open Contracting (2018), The deals behind the meals: How open contracting helped fix Colombia's biggest school meal program, published online on Open Contracting Stories, https://medium.com/open-contracting-stories/the-deals-behind-the-meals-c4592e9466a2

Greece

Integrity Pact for the construction of a flood protection pipeline network

KEY FUNCTION
Integrity – Public Services
LEVEL
Region

Almost every winter, heavy rains in Athens cause devastating floods, particularly affecting neighbourhoods in the Municipalities of Nikaia-Aghios Ioannis Rentis and Moschato-Tavros.

In response, the Region of Attica has set flood protection among its priorities and is implementing a series of anti-flood projects. Among the projects is one to create a massive and complex network of pipelines to carry floodwater safely away from these municipalities, with funding of more than EUR 12.5 million secured from the European Union.

To respond to public concern about corruption in the delivery of infrastructure projects, an Integrity Pact has been put in place to support the transparent, efficient and accountable delivery of these major public works (involving approximately 7.1km of pipelines and related infrastructure).

Transparency International Greece, in collaboration with specialized consultants (a legal advisor and civil engineer who were selected through an open call will monitor the entire process – from the launch of the tender, and the evaluation of bidders, to the construction work itself. More specifically, the Integrity Pact sets out that, in their role as independent monitor, Transparency International Greece will:

▸ Take note of the content of the tender documents, monitor the selection process, have access to the concluded contract and to all documents related to its execution;
▸ Have the right to monitor the contract execution, after its conclusion, even with on-site presence, when necessary;
▸ Inform all parties about any detected irregularities and monitor their response;
▸ Submit recommendations about procedural improvements and adoption of more effective preventive and anti-corruption measures for future prevention and/or redress
▸ Publish regular reports on their findings on the project's dedicated website enhancing, public access to information regarding the development of the project.

Local mayors, the Athens Water Supply and Sewerage Company and local citizens' groups and businesses have also been invited to work with Transparency International Greece and play a role in monitoring the delivery of the project. The Integrity Pact was signed in April 2018 and works have now begun to deliver the project.

"The Integrity Pact cannot eliminate corruption but by allowing an independent eye at all stages of a public contract it can prevent and correct problems if they arise… Above all it highlights the constructive role civil society can play as part of the process and provide the public with an opportunity to understand how they can be part of it and push for more access to information, participation, good governance and timely and proper implementation of public contracts" – Transparency International Greece.

Source: Transparency International, Greece (N.D), The Integrity Pact in Greece, available online at: http://integritypact.gr/en/to-symfono-akeraiotitas/to-symfono-akeraiotitas-stin-ellada/

Consult more cases on Integrity
On the Open Government Tool Kit and Case Navigator, developed by the OECD and the OGP.

Ensuring Accountability

Accountability is essential for good governance and is key to ensuring the efficiency and effectiveness of public institutions. It also strengthens citizen trust in government and increases the legitimacy of government decision-making as well as the responsiveness of public bodies. As a product of improved transparency, it contributes to inclusive growth by enabling citizens of all demographics to participate more actively in service design and delivery as well as allowing all stakeholders to monitor and evaluate local government objectives, policies, and outcomes. As such, accountability denotes a relationship referring to the responsibility and duty of government, public bodies, public officials, and decision-makers to provide transparent information on, and being responsible for, their actions, activities and performance. It also includes the right and responsibility of citizens and stakeholders to have access to this information and have the ability to question the government as well as to reward/sanction performance through electoral, institutional, administrative, and social channels. In the context of open government, it is pivotal that public officials and public agencies responsible for providing public services can demonstrate that they are responding to the needs and demands of citizens and other stakeholders. In order to do so, public officials must report on their usage of public resources, their performance objectives and outcomes, and the ways in which they are addressing any issues and concerns in their community. At the same time, the dual nature of accountability implies that both citizens and stakeholders also hold the right and the responsibility to fulfil their civic duty and make consistent efforts to hold the government accountable for its actions, in order to uphold the wider democratic order.

In order to assist with Jordan's decentralization process, strengthening accountability at the local level is especially necessary given unclear and overlapping mandates as well as weak reporting lines between the central and local levels (OECD, forthcoming). As noted in the OECD report "Towards a New Partnership with Citizens: Jordan's Decentralisation Reform", accountability lines remain blurred and the roles for local non-governmental stakeholders in the needs assessment process remain undefined (OECD, 2017). In fact, the OECD found that "the articles dedicated to governance structures, functions, funds and multilevel co-ordination barely represent 25% of the tenants within the Decentralization Law (12 articles out of 47) and 41% of the Municipalities Law (32 of 77 articles) respectively" (Ibid). Lack of clarity can make service provision and policymaking costlier, increase the existence of process bottlenecks and create delays. Likewise, unclear and overlapping tasks may also have a negative effect on stakeholder participation, by creating confusion among citizens on which institution is responsible for a specific service and by blurring accountability lines (Allain-Dupré, 2018). To remedy this, the government of Jordan is currently working to clarify the responsibilities assigned to different levels and ensure that sub-national functions are codified in significant detail within legal and regulatory frameworks and widely disseminated (OECD, forthcoming).

In the section that follows, this document will provide practical examples for how accountability can support key local government functions in Jordan, including policymaking, subnational revenue and budget management, procurement, and delivery of services.

An introduction to the concept of Accountability

There are several ways to hold the government accountable. Traditional forms include state accountability, administrative accountability, and budget accountability, which include mechanisms that range from political elections and parliamentary and judicial reviews to budget audits and fiscal inspections. However, in recent years, new and innovative bottom-up practices have emerged which can be broadly defined as policy outcome accountability and social accountability. These forms of accountability include various mechanisms such as stakeholders' engagement in public consultations and in the evaluation of policies and services as well as citizens' panels and juries, and the creation of alternative dispute resolution mechanisms. For example, policy outcome accountability ensures that public officials account for their performance by monitoring and evaluating policy outcomes and making relevant performance information available in a timely manner. The purpose of this process is threefold: (i) policy makers are held accountable; (ii) there is an opportunity to learn from the past; and overall, (iii) evidence-informed policy-making is fostered and continual improvements are made. In addition, social

accountability refers to the form of accountability that emerges through actions taken by citizens and other stakeholders to hold the government to account, as well as government efforts to support and respond to these actions. This particular form of accountability has become increasingly important in recent years as stakeholders seek more ways to influence the decisions that affect their lives.

However, true accountability to the public involves not only this vertical relationship for greater accountability between citizens and public officials, but also effective and enforceable mechanisms that guarantee horizontal accountability in the public administration. Accountability is not the sole responsibility of one organ or public entity, but of many institutions and public officials who must ensure that government activities and decisions respond to citizens' needs and demands. Thus, horizontal accountability refers to the different branches of the state, namely the executive, the legislative, the judiciary, as well as independent institutions (e.g. ombudsman, supreme audit institutions, and special commissions) holding each other to account on behalf of citizens. This could include internal sanctions when these responsibilities are not met, as well as the possibility of penalties or consequences for failing to answer claims and opportunities for the public to seek redress through formal mechanisms (e.g. audits, judicial proceedings, appeals to ombudsmen or commissioners and/or legal institutions).

Accountability is of particular importance for subnational governments as there is more proximity between elected and non-elected public officials and stakeholders, which can create informal mechanisms that may foster conflicts of interest, veiled incentives, and corruption in the long term if not adequately confronted.

Actions that governments, including subnational administrations, can take to improve accountability include:

▸ Introducing rules, regulations and mechanisms that call upon government actors to justify their actions, act upon criticisms aimed at them, and accept responsibility for failures to perform with respect to laws or policy expectations;

▸ Promoting the use of digital technologies and data that supports new and innovative ways of information sharing, participation, and collaboration;

▸ Involving citizens in the design, evaluation and monitoring of public policies and services;

▸ Creating open and accessible tracking systems for public complaints;

▸ Introducing citizen-initiated reporting and appeal processes designed to deliver redress in cases of non-performance, wrongdoing or the abuse of powers;

▸ Ensuring the public has the opportunity to challenge government decisions by making the mechanisms of the intervention of legal review cheaper, faster, or easier to use.

Building on the tools and approaches discussed above, the following section illustrates how the principle of accountability can be translated into open government practices across a range of functions at the local level, including policymaking, subnational revenue and budget management, procurement, and delivery of services.

Accountability in Policy-Making at the Local Level:
Ensuring the proper citizen oversight mechanisms for the development of local policies

Accountability plays a significant role in determining public trust in the policy-making process. Effective mechanisms create an environment that promotes learning and information sharing and generates incentives for stakeholders to participate in monitoring and evaluating government decision-making and performance to hold public officials to account. An engaged citizenry working alongside public officials at all levels of government can promote accountability and help transform public services while giving citizens the responsive and effective public institutions they deserve. Involving stakeholders in participatory processes ensures that public officials garner a wide range of perspectives and expertise to make well-informed decisions while allowing citizens to experience and understand how public officials deliberate and make decisions.

Policy implementation analysis is critical to policy success and citizens can be key actors in strategic foresight, especially at the subnational level. Failure to anticipate implementation problems when a project or policy reform is being considered may lead to failure to achieve objectives, excessive costs, and perhaps even a political backlash and low trust in government. Involving stakeholders with a wide range of expertise ensures that potential issues will be highlighted early in the policy-making process, which will ultimately improve government performance. Furthermore, citizens who are engaged upstream in the policy-making process are in turn far more likely to continue to monitor and evaluate the activities of public bodies and the outputs and outcomes of their decisions.

In fact, the recent OECD report "Innovative Citizen Participation and New Democratic Institutions", which analyses such deliberative processes, found that most examples take place at the local level (52%) (OECD, 2020). During these processes, randomly selected citizens, comprising a microcosm of a community, spend significant time learning and collaborating through facilitated deliberation to develop informed collective recommendations for public authorities. These citizens are then more likely to monitor the outcomes of these. In addition to deliberations the subnational level, accountability in public decision-making can be likewise enhanced through the use of tools such citizens' juries, community monitoring, integrity pacts, public hearings, and citizen-user membership in decision-making bodies.

Accountability in Subnational Revenue and Budget Management:
Ensuring proper oversight of sub-national revenue authorities and administrators as well as budgetary institutions and processes.

Given that sub-national revenues make up a considerable part of all public revenues—15.9% of GDP and 42.4% of public revenue on average in the OECD—it is necessary for local public officials, including revenue and tax officials, to be accountable and answerable for the way they collect public resources and exercise authority (OECD, 2018). To be sure, the sub-national tax administrations and revenue officials should be openly accountable for their actions within a framework of responsibility to the minister, legislature, and general public in order to enhance community confidence and trust (TADAT, 2019). In doing so, it is necessary to ensure that (i) audit institutions and control mechanisms ensure that revenues were collected in line with existing laws and were correctly reported; and (ii) in the instance of any irregularity or malpractice, the appropriate institutions and procedures are in place to investigate, adjudicate, an sanction these actions.

Accountability in revenue administration is important at all levels of government, but is especially so at the subnational level. Given the diversity of subnational revenues sources (e.g. taxes, transfers, tariffs, user fees, property income, and social contributions) and given that not all subnational governments may have the same financial and HR capacity to

manage these revenue sources in an equal manner, it is essential to have ex post audit functions in place to ensure accuracy in revenue collection and reporting. Likewise, given that the incentives for corrupt practices may be higher at the sub-national levels given that oversight is usually lower, it is necessary to ensure that there is an adjudication and sanctioning process in the case of mismanagement or malfeasance.

In order for accountability to support revenue administration, particularly at the local level, a number of tools and good practices could be considered. First, this would include enhancing external oversight of the local tax administration through annual reports on operational and financial performance, financial and performance audits conducted by the local or municipal auditor, as well as local councils or citizens groups following-up on external audit findings (TADAT, 2019). In addition to these oversight functions, it is likewise necessary to have the institutional structure to correct and sanction any potential problems, including "independent and impartial investigation of taxpayer complaints concerning wrongdoing and maladministration by the tax administration" (IBID). To satisfy this function, an ombudsman could be put in place to investigate local taxpayer complaints and other systemic problems at the subnational level.

In addition to being accountable in the collection of revenues, subnational governments are accountable for the management of their budget and expenditures. Many of the examples discussed earlier relating to budget transparency, integrity and the opportunity to participate in the development and allocation of budgets all contribute to holding governments accountable for their decisions on the use of public

finances. Policy approaches focusing on the accountability of budget decisions are growing in popularity due to the increasing release of open budget- and spending data by public institutions. Ensuring accountability throughout the budget cycle can contribute to more effective service design and delivery, due to the transparency of the country's budget and budgetary process as well as the degree of citizen engagement in the budget cycle.

As will be discussed in the stakeholder participation section in-depth, participatory budgeting is a form of civic engagement that is integrated into the regular annual budgeting cycle. As such, participatory budgeting is a process whereby citizens decide how to spend a segment of the budget, usually through the form of project proposals. Participatory budgeting not only leads to more social inclusion, but it has also great potential for enhancing accountability. Through this mechanism, citizens have the opportunity to gain first-hand knowledge of government operations, influence government policies, and hold the government to account. Furthermore, inputs from residents often lead to more innovative and equitable solutions by filling in the knowledge gaps of public officials. In a similar vein, community-led audits enable the public to undertake assessments of how budget decisions have impacted (positively or negatively) specific population groups or sections of the community, for example on women, children, or those living in poverty.

Another useful tool for increasing accountability in budgeting is public expenditure tracking. A public expenditure tracking system (PETS) is a system that presents public sector financial information and enables stakeholders to track the source of capital and its usage. PETS

allows governments to make budget flows transparent and enables citizens to follow transactions and ensure there are no instances of corruption, fraud, or bribery. In addition, mid-term strategic planning can also strengthen accountability in budgeting. Mid-term strategic planning facilitates a closer look at the decision-making process in an ex-ante rather than ex-post manner. Governments may achieve an intended objective of for example, constructing a new highway, which will be reflected by annual reports. However, mid-term planning exposes the steps behind the process which could include corruption, bribery, or simple mismanagement of funds meaning that the highway was not constructed in an optimal way with the best use of taxpayers' funds. Mid-term strategic planning can allow public officials to hold one-another to account during the process, rather than when it is too late. Other tools which are used to hold public institutions accountable for their decisions and outcomes include independent budget analysis, public reporting of expenditures, and participatory planning.

Accountability in Subnational Procurement and Contracting: ensuring answerability and enforcement in local government expenditures.

Accountability is one of the twelve integrated principles of the OECD Recommendation on public procurement (OECD, 2015). The fact that public procurement involves significant financial resources creates both opportunities and incentives for dishonest behaviour on the part of public officials and private suppliers. As a means of combating possible manipulation of the procurement process, responsible governmental bodies, especially those at the local level, have the responsibility to develop and implement several control mechanisms designed to monitor the integrity of this function, while ensuring transparency and accountability.

Box 3.1. OECD Recommendation of the Council on Public Procurement

The OECD Recommendation on public procurement calls upon countries to apply oversight and control mechanisms to support accountability throughout the public procurement cycle, including appropriate complaint and sanctions processes. To this end, it establishes the following principles:

i) Establish clear lines for oversight of the public procurement cycle to ensure that the chains of responsibility are clear, that oversight mechanisms are in place and that the delegated levels of authority for approval of spending and approval of key procurement milestones is well defined. Rules for justifying and approving exceptions to procurement procedures should be comprehensive and clear, such as in cases of limiting competition.

ii) Develop a system of effective and enforceable sanctions for government and private-sector procurement participants, in proportion to the degree of wrong-doing to provide adequate deterrence without creating undue fear of consequences or risk-aversion in the procurement workforce or supplier community.

iii) Handle complaints in a fair, timely and transparent way through the establishment of effective courses of action for challenging procurement decisions to correct defects, prevent wrong-doing and build confidence of bidders, including foreign competitors, in the integrity and fairness of the public procurement system. Additional key aspects of an effective complaints system are dedicated and independent review and adequate redress.
iv) Ensure that internal controls (including financial controls, internal audit and management controls), and external controls and audits are coordinated, sufficiently resourced and integrated to ensure:

1. the monitoring of the performance of the public procurement system;
2. the reliable reporting and compliance with laws and regulations as well as clear channels for reporting credible suspicions of breaches of those laws and regulations to the competent authorities, without fear of reprisals;
3. the consistent application of procurement laws, regulations and policies;
4. a reduction of duplication and adequate oversight in accordance with national choices; and
5. independent ex-post assessment and, where appropriate, reporting to relevant oversight bodies.
OECD (2015), Recommendation of the Council on Public Procurement, Paris: OECD Publishing. Retrieved from https://www.oecd.org/gov/public-procurement/OECD Recommendation-on-Public-Procurement.pdf

Among these, annual reports and reviews of government performance at the local level on a regular basis can play a crucial role in strengthening the accountability of the public sector. Public officials have an obligation to produce an account of the impacts and benefits of their decision-making in relation to procurement and contracting while providing factual information that is open for investigation. Reporting and reviewing facilitates an in-depth examination of government activities and a basis of evidence for granting redress or imposing sanctions on behalf of stakeholders.

In particular, while local governments are increasingly granting access to information and proactively publishing open data to the public, as well as involving citizens in policy-making and service delivery, oversight agencies such as the Ombudsman and Supreme Audit Institutions are key for public officials to also hold one another to account, especially in relation to procurement and contracting. Governments must empower rather than hinder the work of their independent oversight agencies so that they can continue to effectively maintain essential checks and balances in the system. In performing their functions, oversight bodies form a critical link in a government's accountability chain through their traditional role in the external oversight of government accounts. Additional tools to increase accountability in procurement, which are particularly relevant at the subnational level—include input tracking, participatory physical audit, community procurement monitoring, community contracting, and community oversight.

Accountability for Public Service Delivery at the Local Level: ensuring that the public can see how their local governments are delivering on expectations, needs and/or promises

Local governments are likely to have responsibility for much of the public sector infrastructure that residents interact with on a day-to-day basis – local roads, footpaths, street lighting, parks and public spaces and the maintenance of public buildings. Proactively publishing information and feedback on public service performance as well as any complaints raised with the government regarding local service design and delivery can be an important way of increasing confidence that the issues that are important to citizens are taken seriously by their governments, when combined with concrete plans and strategies to address any highlighted gaps or concerns.

Another way of involving the public in the assessment of the services they receive is through the introduction of user satisfaction surveys and Citizen Report Cards (CRC). This simple but powerful social accountability tool can be used to solicit user feedback on service provider performance and should be openly available and user-friendly so citizens can understand to what extent public service delivery meets users needs and satisfy their expectations and priorities (OECD, 2020).

During a CRC process, quantitative and perception-based information from statistically representative surveys is gathered, which means that the findings reflect the opinions and perceptions of the citizen group from which input and information is being sought. As such, it is a useful tool for establishing sound baseline information and benchmarking service

coverage and performance, as well as identifying inequities in service delivery. CRCs are most effective when employed at the municipal or local government level, where the "space" between citizens (clients) and service providers is minimal.

Community Score Cards (CSCs) are another type of participatory monitoring and evaluation tool that enable citizens to assess the quality of the services they receive and compare this to how the providers themselves evaluate the service they are delivering. A key feature of the Community Score Card process is that participants are first informed about their entitlement to services and then asked for opinions about the accessibility and quality of the services available to them. Local governments can systematically gather this feedback, periodically publish the responses on their website, and then use this information to benchmark citizen satisfaction with public services over time. This allows citizens to not only comment on the services they receive but also accumulate evidence to demand improvements if they are not receiving the level of service they are entitled to.

Furthermore, social audits can also play a critical role in keeping the community informed about government policies and allow citizens to hold them to account, especially at the subnational level. Civil society organisations (CSOs), non-governmental organisations (NGOs), political representatives, and civil servants can collectively organise social audits as an accountability mechanism and participatory tool to combat secrecy and instances of corruption59. These audits are formal reviews of the objectives, decision-making processes, and codes of conduct in public sector institutions. Another tool to increase accountability in public services at the local level is community-based monitoring and evaluation. Monitoring and evaluation

activities describe the collection and assessment of measurable outputs from projects being planned and implemented in communities in order to gauge their success and analyse their impact. Community-based monitoring and evaluation is key to ensuring that citizens with expertise regarding the needs of their locality as well as experience of the public services in their area are involved in the policy-making process and the outcomes of projects.

Among accountability initiatives employed by local governments in OECD countries, citizen complaints mechanisms – often in the form of the Ombudsman or Supreme Audit Institutions – are one of the most common practices62. Citizen complaints can often be lodged on-site or in public hearings, although most institutions also offer various channels, such as hotlines, mailboxes, and online submission forms to enable a wide range of accessibility63. Registering complaints is the most common way through which any citizen can alert independent oversight bodies about possible fraud, corruption or mismanagement of public funds, or alleged irregularities within state agencies or local governments. Other useful tools for increasing social accountability at the local level include citizen charters and community management, amongst others.

Additional resources:

→ More information on implementing **Citizen Report Cards** can be found here. (http://siteresources.worldbank.org/EXTSOCIALDEVELOPMENT/Resources/244362-1193949504055/Citizen-Report-Cards-Final.pdf)

→ More information on how to establish a **Community Score Card** process can be found here. (https://www.civicus.org/documents/toolkits/PGX_H_Community Score Cards.pdf)

→ More information on public expenditure tracking systems (PETS) can be found. (https://www.u4.no/publications/following-the-money-do-public-expenditure-tracking-surveys-matter) (http://www.iiep.unesco.org/en/public-expenditure-tracking-surveys-lessons-experience)

1535

KEY FUNCTION
Accountability – Public Services

LEVEL
City

The city of Odessa has developed an online citizen's complaint portal that allows the public to lodge complaints about issues they see in the urban environment.

A strength of this particular website however is the visually appealing and easy to understand images it presents (including colour coded progress status indicators and 'before and after' photos). This also allows citizens to monitor how complaints and concerns across the city are being addressed and understand how the situation in their neighbourhood compares to what is being done in other areas.

Source: City of Odessa (2019), Online citizen complaint portal of the City of Odessa, accessed on 19 May 2019, 1535.odessa.ua/

Citizen Report Card on Public Health Services

KEY FUNCTION
Accountability – Public Services

LEVEL
City

With a view to implementing a Comprehensive Program on State Administrative Reform – the Kon Tum Provincial People's Committee (PPC) embarked on an initiative to survey 400 mothers with small children regarding the quality of healthcare provision in the city. They decided to give particular focus to reaching out to poor women (53.75%), ethnic minorities (73.25%) and women with no education (17.75%).
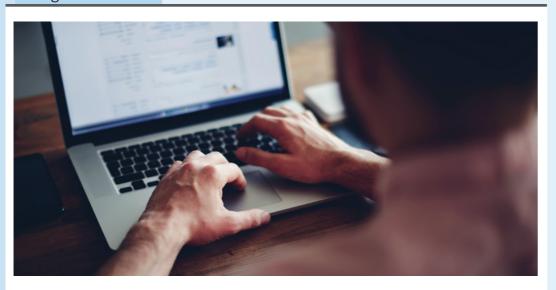
The survey was designed to collect users' feedbacks and evaluate their level of satisfaction on 7 aspects of the service:
1. *Availability of services;*
2. *Access to services;*
3. *Use of services;*
4. *Quality of services;*
5. *Users' satisfaction;*
6. *Problems encountered by service users;*
7. *Recommendations for improvement.*

The objective was to gather feedback and satisfaction levels with the health services provided at commune level in order to improve service delivery and input into the development, implementation and monitoring of the Kon Kum provincial Health Sector and the Local Socio-economic Development Plans, where the voices of this constituency had been previously under-represented.

Source: United Nations, Vietnam (2014), Citizen Report Card on Public Health Service at Commune Level - Kon Tum City, available online at: http://www.un.org.vn/en/publications/doc_details/446-citizen-report-card-on-public-health-service-at-commune-level-kon-tum-city.html%20

Mongolia

Check my Service

KEY FUNCTION
Accountability – Public Services
LEVEL
City

In 2012 the Democracy Education Center launched the Check My Service initiative in Mongolia. It is a community based on-line monitoring and evaluation tool that demands transparency and responsiveness from service providers by asking the public to rate "To what extent are you satisfied with the quality and delivery of services? Can you receive the service you want?"

At the start of each service assessment, a memorandum of understanding is signed with the government service providers and the Democracy Education Center to ensure that the roles and responsibilities of each are clearly understood. This is followed by an orientation workshop for both service recipients, who will assess public services, and service providers who self-assess their own process using the same set of indicators.

Once both sets of assessments are carried out, the Democracy Education Center facilitates an interface meeting to encourage feedback and dialogue on findings from the exercise. Unsurprisingly, service providers tend to assign themselves higher scores in their self-evaluation, than the score they receive from the service recipients. Reasons for the discrepancies are discussed at these meetings and a joint Action Plan for service improvement, with specific timelines is then agreed upon.

By June 2016, the Democracy Education Center had assessed 84 public services in Mongolia through this initiative including: Check My University, Check My School, Check My Clinic, Check My Hospital, Check My Kindergarten, Check My Land Administration, Check the Waste Disposal, Check the Wastewater Pits, Check the House Addressing, Check My Social Welfare, Check My Bus, Check My Water Kiosks, Check My Electricity Supply, Check My Street Lights, Check My Surveillance Camera.

Source: Open Government Partnership (2017), Open Government for Improving Public Services in Asia, available online at: https://www.opengovpartnership.org/stories/waste-disposal-water-delivery-citizen-empowerment-through-check-my-service-initiative

Turkey

Municipality Governance Scorecard

KEY FUNCTION
Accountability – Public Services
LEVEL
City

The lack of a good governance culture at the local level raises multiple challenges in Turkey, such as non-inclusive policymaking, ineffective and inefficient use of resources and low levels of participation. At the root of these issues is the lack of openness, transparency and accountability, as well as the need for a widespread culture of citizen-centric policies and services.

The Municipality Governance Scorecard (MGS) was thus created as an innovative tool for improving local good governance. Its main objective is furthering embedding good governance principles into practical, measurable processes and actions. The scorecard includes 227 indicators to promote greater accountability for seven principles, notably decision-making, resource allocation, service delivery and institutional capacity stages. The data collection is geared for citizen use, based on digitally available information.

The Scorecard was applied to 37 district municipalities in Istanbul and the results were made publicly available. The data collected allowed for the evaluation of government performance, which resulted in overall grades 30-65%. Based on the findings, recommendations were made to citizens, NGOs, the central government, municipalities, academia and media for the improvement of local governance culture at the local level.

Source: Izci, A. (2019), Municipality Governance Scorecard, published on the OECD Case Navigator for Open Government, https://oecd-opsi.org/innovations/municipality-governance-scorecard/

Colombia

Periodic Competence Report in Public Procurement

KEY FUNCTION
Accountability – Budgeting
LEVEL
City

Promoting competition has been identified as one of the major challenges of the Public Procurement System in Colombia. In 2019, the Colombian Procurement Agency developed and implemented a tool that allowed for effective monitoring of the participation of the interested parties on the bidding processes. Thanks to this tool, participants are able to diagnose flaws, and make suggestions or requests for improvements.

Development of periodic competence reports that ranks public entities is a useful and practical tool to fight bid rigging, promote transparency and assures quality of work, supply and service contracts. It also engages the participants of the purchase processes to establish and maintain competitive markets.

Source: Colombian Procurement Agency (2019), Periodic Competence Report in Public Procurement, published on the OECD Case Navigator for Open Government, https://oecd-opsi.org/innovations/

Consult more cases on accountability
On the Open Government Tool Kit and Case Navigator, developed by the OECD and the OGP.

Supporting Stakeholder Participation

Establishing a culture of participation enables governments to engage with the public to better understand and meet their needs. When carried out effectively, participation around the policies and decisions that affect their lives can help build trust between all relevant stakeholders and government institutions. It can also "build civic capacity, improve the evidence base for policy making, reduce implementation costs, and tap wider networks for innovation in policy-making and service delivery" (OECD, 2009b). Indeed, stakeholder participation allows governments to bridge the divide with citizens, and is at the core of responsive policy-making and service delivery. Representing these diverse functions, the OECD defines stakeholder participation as "all the ways in which stakeholders can be involved in the policy cycle and in service design and delivery (OECD, 2017a)." More specifically, the OECD Recommendation of the Council on Open Government (2017a), furthermore, argues that granting all stakeholders equal and fair opportunities to be engaged are key elements of effective open government reforms.

In order to assist with Jordan's decentralization process, embedding stakeholder participation in the way local policies and services are designed is all the more important against a backdrop of declining trust in public institutions. In fact, levels of trust in government in Jordan are at their lowest, having suffered a steep decline from 73% in 2011 to 38% in 2018 (Arab Barometer,

2019). Similar to most OECD countries, there is a stark difference between trust at the national and local level in Jordan, where citizens have greater confidence in Municipal Governments (52%) and Governorate Councils (44%) than in the Parliament (13%) (International Republican Institute, 2018). Recognizing these challenges, the Jordanian Government is currently prioritizing stakeholder participation at the local level, acknowledging it as an important pillar of its national vision. One of the objectives of the Government Renaissance Plan (2019 – 2020), for example, is to promote the participation of local communities to identify development priorities and ensure their positive reflection on the quality of public services. In addition to the 2015 Decentralization laws, commitments toward promoting the engagement of stakeholders as part of this reform were also undertaken through Jordan's 3rd and 4th OGP NAPs. In efforts to take stock and discuss the country's progress, the Government also conducted a series of consultations – as part of the National Dialogue – on the political reform of decentralization with stakeholders from civil society, academia and unions.

In the section that follows, this document will provide practical examples for how stakeholder participation can support key local government functions in Jordan, including policymaking, subnational revenue and budget management, procurement, and delivery of services.

Introduction to the concept of stakeholder participation

In this context, the OECD Recommendation of the Council on Open Government (2017) and the OECD's Global context and way forward (2016) report identify three levels through which all relevant stakeholders can be involved in the operations of government:

1 **Information:** As discussed in depth in the Transparency Chapter, information is the foundation of participation. This level covers both the reactive provision of data and information to the public and proactive measures by the government to disseminate accessible data and information. Access to information and open data make participation possible in the policy formulation and decision-making processes of government.

2 **Consultation:** this establishes a two-way relationship in which the public, civil society organisations and other stakeholders (e.g. the media, academics, and businesses) can provide feedback to the government and vice-versa. It will usually entail the government defining the issue on which views are being sought, providing information to support the formation of opinions or preferences and establishing a route for these to be fed back to decision makers for consideration.

3 Engagement: In terms of engagement—the deepest level of participation—when the public and civil society organisations are given the opportunity, and the necessary resources, to work collaboratively with decision makers in the development and implementation of policies and the design and delivery of services. Governments have the opportunity to create spaces for engagement across many of their functions; however, many tend to rely on consultative approaches when inviting public participation. Moving towards more open and more participatory forms of engagement will often require a culture change within government—a change that re-defines the role of officials from 'experts' to 'partners' interested in working with their constituencies in cooperative, solution-focused ways (OECD, 2016a).

Information
▸ Make information and data available to other parties.
▸ Make targeted audience more knowledgeable and sensitive to specific issues.
▸ Encourage stakeholders to relate to the issue and take action.

Consultation
▸ Gather comments, perception, information and experience of stakeholders
▸ No obligation to take stakeholders' view into consideration in final outcome.

Engagement
▸ Provide opportunities to take part in the policy processes.
▸ May entail that participants have an influence over decision making.
▸ Can include elements of co-decision/co-production; balanced share of power among stakeholders involved.

In line with these provisions, the OECD Recommendation on Digital Government Strategies also has a dedicated provision to encourage engagement and participation of public, private and civil society stakeholders in policymaking and public service design and delivery (OECD, 2014). With this purpose, the OECD Digital Government Policy Framework establishes "User-driven" and "Open by Default" as two fundamental and complementary dimensions for enabling an agile and responsive public sector, including the processes and tools that are open to feedback and collaboration with stakeholders and services driven by user needs rather than simple assumptions about their preferences, expectations and necessities (OECD, forthcoming).

Providing opportunities for citizens to participate in, and contribute to, the workings of their governments is particularly important at a local level, as this is where most people tend to have direct contact with public services. Further, as local governments often have more flexibility in how they provide services and implement national policy objectives, it is also the level of government where the participation of individuals, and civil society groups representing the interests of communities, is likely to have the most tangible and direct impacts for those that get involved (OECD, 2016a).

For the effective promotion of stakeholder participation, however, it is important to consider several elements that can help ensure an open, representative and impartial process. First, policy makers have a duty to the public to remain impartial and avoid policy capture when weighing interests from different stakeholder groups. Second, whenever the agenda for consultations is not co-developed with citizens, policymakers should remain open to discuss non-agreed issues. Third, establishing a clear communication is an important means to not only promote the participation of a higher number of stakeholders, but also to provide them with the necessary inputs to contribute in meaningful ways to policy reform. Lastly, keeping record of and communicating about results is an important factor to show the impact of participation initiatives, inform the public and ensure stakeholders can serve in their role as watch-dogs.

Building on the tools and approaches discussed above, the following section illustrates how the principle of stakeholder participation can be translated into open government practices across a range of functions at the local level, including policymaking, subnational revenue and budget management, procurement, and delivery of services.

Participation in Policy Making: ensuring the public can contribute to the policy cycle at the local level
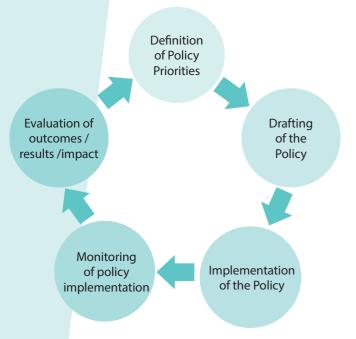
Mainstreaming participation at all levels of the policymaking process can help shape outcomes and support the design and implementation of services that are responsive to citizens' needs. This is particularly relevant at the local level, where stakeholder participation can be a more representative process than those at the national level, as it seeks to engage the public as individuals in contrast to broader interest groups (i.e. businesses, chambers of trade unions, etc.). As stated in the OECD Global Context and Way Forward report, engaging stakeholders in the definition of

policy priorities to their implementation and evaluation, engaging stakeholders is a core element ensuring policy success (OECD, 2014) (OECD, 2016a). Indeed, the participation of citizens in decision-making processes is a key element of a sound local democracy, as it increases transparency and makes local public servants more accountable (OSCE, 2013).

As noted in the figure below, the definition of policy priorities is the first stage of any given policy cycle. Jointly designing policy priorities allows governments to benefit from citizens' knowledge and experience and to reflect their preferences and priorities (OECD, 2016a). Therefore, local governments may decide to open up the policy agenda to public participation for a variety of different purposes, including public input on where policy should

Stages of the Policy Making Cycle

Source: OECD (2016), Open Government: The Global Context and the Way Forward, OECD Publishing, Paris.

focus in response to particular issues or circumstances; public participation in identifying priorities and solving problems; as well as opportunities for stakeholders to directly raise their own issues with authorities or demand specific actions. Once policy priorities have been defined, local stakeholders can provide useful contributions in their delivery and implementation, as well. Some common forms of local level stakeholder participation, at both the national and subnational levels, include:

▶ **Citizens' Advisory Groups:** These deliberative committees formed by citizens are often used for providing on-going advice to Municipal Councils and administrations on a variety of issues of common interest for the local citizens.

▶ **Public hearings and consultations:** Informal meetings between citizens and local authorities to collect feedback and exchange information on policy issues.

▶ **Municipal Strategic Planning:** A complex process that involves citizens, businesses and CSOs in the development of a common vision, mission and goals for the work of the local government. This process also supports the identification of an action plan, with concreate actions and objectives.

▶ **Participatory budgeting:** Citizens' participation method in the financial

planning process. The following section on participation in budgeting will provide more detailed information regarding these types of practices.

▶ **Social monitoring:** A process where the public monitors and evaluates the implementation of policy decisions and outcomes at the local level and measures both their efficiency and effectiveness.

▶ **Public-private partnerships:** An arrangement where local governments co-produce services with business sector and civil society. As mentioned by the OSCE, "the joint activities normally refer to municipal service funded and operated by the business sector, where the factor of involvement of citizens in the partnership creates an opportunity for participation in decision making at local level (OSCE, 2013)."

▶ **Public service innovation labs:** Public spaces to design policies and services with citizens through processes of immersions, experimentation, iterative prototyping and testing (OSCE, 2013; OECD, 2019).

The opportunity for the public to participate in policymaking processes can also extend to putting systems in place to enable stakeholders to put their own needs, priorities and suggestions for action forward. Processes for receiving petitions and mechanisms that enable the public to propose new laws (or by-laws) are ways that local governments can support this type of participation. Other forms of citizen engagement are also particularly useful in local contexts, for example citizens' assemblies, citizens' juries, reference panels, consensus conferences and deliberative polls. These are methods that have been used on a local level to enable citizens have an informed debate on a specific policy issue.

In addition to the participatory mechanisms noted above, subnational government may choose to engage in deliberative processes, which are designed to bring together a representative sample of randomly selected citizens, who then have an opportunity to learn about a policy issue and hear a variety of views related to the policy question. The deliberative component of these initiatives allow participants to share their experiences and propose solutions, often in a moderated setting that provides ample time and opportunity for participants to engage in complex discussions, ultimately producing recommendations on how to address policy issue. These methods of engagement are especially relevant for local contexts, as the issues concerned are closer to the citizen, such as infrastructure projects, health services, transportation or environment. Deliberative processes provide citizens with an opportunity to give valuable feedback, shape policies to better respond to the needs of the local community and ensure smoother policy implementation.

A third opportunity to increase engagement at the local level is through is the promotion of participation in the co-production and implementation of public services. Co-production is an overarching term to describe how public authorities can harness the skills, capabilities and energy of the public, civil society stakeholders to design and deliver services that best meet the needs of service users. Co-production is an approach to participation that can work very well at a local level – either to shape the delivery of a particular local service or inform the implementation of wider policies. It is also particularly useful for reaching out to the most vulnerable, under-represented, or marginalised groups in society. Users can also be involved in

the design of public spaces and facilities, for example, health centres, community centres, parks, or renovations to existing facilities within a city.

As part of the last stages of the policy cycle, engaging citizens in the monitoring and evaluation of outcomes is also a critical step. Participation in the monitoring and evaluation of a policy's outcomes can provide valuable information for governments to adjust policies and make sure they correspond to citizens' needs. Moreover, highlighting the impact of policies and services helps secure buy-in for reforms and promote greater transparency, which in turn may help build trust at the local level (OECD, 2016).

Importantly, it should be noted that not all aspects of participation in service delivery need to be driven by governments, particularly when open data is available to enable civil society stakeholders, the media

and interested individuals at the local level to take the lead on developing services that support government priorities and initiatives. Involving stakeholders in helping direct what information to share is important given that the information different sectors of the community might want from the published data may be very different from the available information relevant to a public servant or potential suppliers.

Participation in Subnational Revenue and Budget Management: Ensuring stakeholder participation and taxpayer involvement in the local revenue administration and budgeting processes

As with transparency and accountability mechanisms, stakeholder participation and involvement in the collection and administration of subnational revenues (e.g. taxes, transfers, tariffs, user fees, property income, and social contributions) can help to increase voluntary compliance, and hence, increase the amount of resources collected at the subnational level. These additional resources can in turn be used for improving the quality of public services and infrastructure at the local and municipal levels. To support a more participative environment at the local level, subnational governments can engage citizens to solicit feedback on the payment processes through stakeholder consultations and client surveys. Doing so can likewise help them monitor trends in satisfaction and public confidence in the larger administration and use of subnational resources.

Participation in revenue administration the local level is particularly important because it is the closest level of government to citizens. As such, citizens are able to have the highest level of oversight as well as the greatest chances to voice their satisfaction, or lack thereof, to their local members of government. This is especially important in revenue management decisions when local governments are considering a new school levy, or a new user fee to access a public

park, or even a new tax on plastic bags to reduce litter. While ostensibly small, each of these revenue decisions has a direct fiscal impact on citizens, and each presents an opportunity for citizens to express their preferences. By engaging in participatory planning and budgetary processes, subnational governments can better engage with citizens on spending priorities, which can be useful when debating potential sources of funding, including new taxes, fees, or charges.

In order for stakeholder participation to support local revenue administration, particularly at the local level, a number of tools and good practices could be considered. First, stakeholder consultations and client surveys can be a useful tool in monitoring taxpayer perceptions of service and seeking taxpayer feedback on ease of access to informational products, ease of filing taxes, and satisfaction with taxpayer support services. Second, regular surveys can help monitor trends in public confidence and allow for the "identification of any particular clusters of disaffection by issue, region, industry or size of entity" (TADAT, 2019). By disaggregating these issues at the local level, subnational governments would thus have a better idea of how to reach out to certain groups to education them of their obligations and enhance their compliance.

In addition to participatory revenue management, subnational governments can use a variety of engagement methods to increase residents' influence over aspects of local expenditure and budget setting. These methods range from holding public meetings to announcing budget proposals and receiving feedback to more systematic mechanisms that seek to identify priorities before budgets are set. Creating opportunities for participation in the budgeting process can be taken further through initiatives that enable ordinary people

to decide how to allocate part of a public budget. In participatory budgeting processes, the decision on aspects of a government's' budget are devolved to the public, which can be enacted through mechanisms of majority voting or group deliberation, depending on the process adopted.

There are a number of high profile examples of participatory budgeting processes being used in cities across the world to decide on very large amounts of public funding, for example in Paris, Madrid, Porto Alegre and Edinburgh. Participatory budgeting processes, however, are most usually introduced for the disbursement of "discretionary funds", or money that is not set aside for fixed or essential expenses, and that is instead usually allocated at the discretion of elected officials or staff. While this is typically a small part of the overall budget, it may still constitute a substantial part of the funds available to local governments that are up for debate each year.

A common approach to introducing participatory budgeting at a local level is for governments to identify particular aspects of their service delivery that they will devolve to stakeholder decision making, for example aspects of education, community services or infrastructure funding. Participatory budgeting at a local level may specifically involve those most affected by the allocation of funds in the decision, though governments may also open the process to the whole community. In Scotland, for example, a commitment in the 2017 Open Government Partnership Sub-national Action Plan set aside 1% of local government budgets for participatory budgeting processes by 2020, though left the individual local governments the scope to decide how to this would be implemented and what aspects of their budget would be subject to public intervention.

Participation in Local Procurement: so that the public are able to be involved in the subnational procurement decisions

The value of involving citizens in the commissioning of public services rests on the assumption that participation, in addition to transparent disclosure, will help make contracting more competitive and more responsive to end-user needs. Research has also shown that participation can help define better contracting terms, manage expectations, provide oversight to minimise risks of corruption or collusion, and deliver feedback to ensure ongoing improvements in processes and the overall delivery of good and services.

The Open Government Partnership (2019) guidance on developing initiatives to involve citizens in the commissioning of public service notes that governments may need to make legislative or policy changes to facilitate participation, for example addressing commercial confidentiality clauses in contracting procedures that may preclude public access to tenders. There are also more proactive ways that legislation or policy can enhance opportunities for citizen participation, for example by granting citizens the right to demand an oversight function during a commissioning process. The same OGP guidance also identified a number of other recommendations for creating an enabling context for actively involving citizens in commissioning processes, including: (i) collaborating with civil society and citizens in defining the problem that needs to be addressed; (ii) encouraging dialogue and consultations between contracting parties and civil society organisations to improve the quality of contracting outcomes; and (iii) ensuring that public service commissioning rules and regulations enable user driven and innovative service approaches to be funded.

Participation in Local Service Delivery: so that public services are driven by user needs at the local level
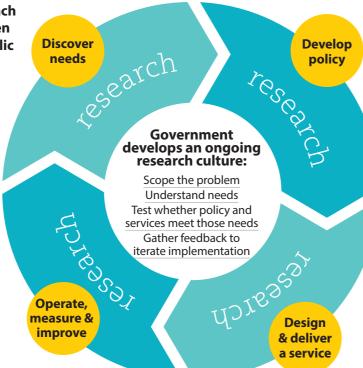
Along with the participation of citizens and stakeholders in shaping policymaking, users have a fundamental role in defining how public services are design and delivered. As defined in the OECD Digital Government Policy Framework (OECD, forthcoming) public sectors are user-driven when they allow citizens and businesses to indicate and communicate their own needs in helping drive the design of government policies and public services. As indicated in the OECD Recommendation on Digital Government Strategies, this

implies establishing the mechanisms and frameworks of collaboration so public sector organisations can effectively interact with external actors and better understand their problems, needs and expectations (OECD, 2014).

In order to understand users' problems and needs, teams working on designing and delivering services need to work with the people who need to use the service and should engage them as early as possible in the design process. This creates opportunities for citizen-driven activity and civic participation in terms of sharing views, collaborating with peers and expressing dissatisfaction. To operationalise this process, the OECD has recommended to establish agile and interactive processes of user research and understanding so

problems can be identified, needs can be established, and testing and feedback mechanisms can be implemented. This approach poses a cultural change in governments to establish horizontal, participatory and collaborative ways to engage with citizens, as described in Figure 5. As an example, in many OECD countries open data portals are still primarily perceived as data supply websites or data catalogues, rather than platforms for co-creation and participation (OECD, 2020 http://www.oecd.org/governance/digital-government/ourdata-index-policy-paper-2020.pdf). Undertaking a user-driven approach at the local level becomes more relevant in the context of more direct connection and understanding of user needs.

Additional resources:

→ The OECD and Governance International have produced a useful guide to co-production in practice called **CitizenPoweredCities (2016)** (https://www.oecd.org/governance/observatory-public-sector-innovation/blog/page/citizenpoweredcitiesco-producingbetterpublicserviceswithcitizens.htm).

→**The OECD Handbook on Information, Consultation and Public Participation in Policy-Making (2001)** (https://www.oecd-ilibrary.org/governance/citizens-as-partners_9789264195578-en) offers government officials practical assistance in strengthening relations between government and citizens. It combines a brief review of basic concepts, principles, concrete examples of good practice, tools as well as tips from practice at both national and local levels of government.

→**The OGP's participation and co-creation standards (2017)** (http://www.opengovpartnership.org/wp-content/uploads/2019/07/OGP_Participation-Cocreation-Standards20170207.pdf) outline a series of principles to support participation and co-creation at all stages of the OGP cycle. They are intended for use by governments, civil society and any other stakeholders seeking to increase stakeholder engagement, including local level actors.

→**The Communicating Open Government, a How to guide developed by the OECD and the OGP (2019)** (https://www.oecd.org/gov/Open-Government-Guide.pdf) is a resource for public officials tasked with explaining, encouraging, and building support for open government. The aim of the guide is to support planning and implementation of communications strategies on open government policies and initiatives, as well as pointers on how to use public communication as a strategic tool in support of greater participation and transparency.

→**UNEP's Stakeholder Engagement Manual (2005)** (http://www.unep.fr/shared/publications/pdf/WEBx0115xPA-SEhandbookEN.pdf) provides practical guidance, advice and signposts for further information to those interested making stakeholder engagement more effective and beneficial, including practices at the local level.

→**The Organization for security and co-operation in Europe published a guide on Implementing citizens participation in decision making at the local level (2013)** (https://www.osce.org/mission-to-skopje/231356?download=true). The aim of this guide is to provide an overview of the legal background, theoretical models and practical examples of citizen participation in decision making at the local level.

→**The Participatory Budgeting Project (N.D.)** (https://www.participatorybudgeting.org/what-is-pb/) has useful information and examples of how participatory budgeting has been implemented in cities and local areas across the world.

Figure 5. An Agile approach to the interaction between government and the public during policy making, service delivery and ongoing operations
Source (OECD, 2020)

Discover needs

Develop policy

Design & deliver a service

Operate, measure & improve

research

Government develops an ongoing research culture:
Scope the problem
Understand needs
Test whether policy and services meet those needs
Gather feedback to iterate implementation

Paraguay

Creating Local Development Plans with the Community

KEY FUNCTION
Stakeholder participation – Policy making
LEVEL
City

In 2014, the Ministry of Planning for Economic and Social Development (STP) in Paraguay, as one of the commitments made in their national Open Government Plan, introduced a requirement for all municipalities to draft and present participatory Local Development Plans (LDPs) as a condition for receiving funds. The commitment mandated that municipalities adopted an open and participatory process to develop the LDPs: i.e. one that is transparent regarding the resources the municipality has and responsive to how the community believes they should be used.

This led to the development of 232 Municipal Development Councils (MDCs) across the country, designed to bring together local authority elected representatives, neighbourhood groups, local businesses, representative civil society organisations, and municipal civil servants to develop LDPs that will improve public services, reduce corruption, ensure efficient management of public resources, and increase corporate responsibility. (It is worth noting that prior to the creation of the MDCs the main actors taking the decisions at the local level were Mayors and Governors and decisions were traditionally likely to be made unilaterally.)

To support the implementation of this new way of working the STP held regional meetings to inform the public about the establishment of MDCs. Secondly, municipality leaders, governors and staff were trained on how to use a participatory process to draft LDPs and align them with the objectives of the National Development Plan–Paraguay 2030.

The city of Itauguá, home to more than 89,000 inhabitants and in one of Paraguay's most populated provinces with a dynamic coexistence of rural and urban areas, is one example of where the local authority, elected officials and civil society chose to embrace the opportunities offered by this program to do policy making differently.

For both the creation of the MDC, and for the subsequent development of the LDP for the city, a large scale participatory process was undertaken which included substantial involvement from the general public.

The local authority started with an institutional diagnosis, which identified the strengths and weaknesses of the municipality.

Sub-committees were then organised to develop proposals by issue area: Production; Health; Education; Childhood and Adolescence; Environment; Security; Infrastructure; Culture, Manufacturing and Sport; and Youth.

Following this, the MDC needed to consolidate the proposals in a way that both recognised the city's challenges and prioritised solutions. This led to a participatory budgeting process, carried out through a citizens' assembly. At this event, the municipality openly shared information about the resources at the municipality's disposal, the proposals developed by the MDC sub-groups, its budget constraints, and the capacity of various departments and civil servants. Based on this information, residents of the city defined and prioritised which problems needed attention most urgently.

Although the recommendations of the MDCs are not binding, the recommendation of the citizens assembly in Itauguá were approved as part of the municipality budget for the year 2018.

Levels of engagement in the LDP process varied across the country, though officials note that their main challenge is keeping the MDCs running now that LDPs are in place. To help achieve this they have prepared support materials for developing monitoring plans for the process of implementation. These resources have been provided to all MDCs and include a "Matrix for Monitoring the Municipal Development Plan" to serve as a reporting tool to measure progress on commitments.

Source: Open Government Partnership (2018), Early Results of Open Government Partnership Initiatives, available online at: https://www.opengovpartnership.org/sites/default/files/OGP_Early-Results_Oct2018.pdf#

Ukraine

Kyiv City Council E-petitions

KEY FUNCTION
Stakeholder participation – Policy making – Policy making
LEVEL
City

The e-petition site in Kyiv is a service for citizens, which enables them to present their ideas and initiatives to the City Council. Any Kyiv citizen can post their request on the site www.petition.kievcity.gov.ua and seek wider public support.

If petition will receive 10,000 signatures within 90 days, the mayor must appoint an official responsible for its implementation. Together with the petition's author, they must assess its feasibility, prepare a roadmap for the implementation of the petition, and publish monthly reports about the process.

A review of the e-petitions submitted to Kyiv City Council undertaken in October 2017 showed that
▸ since 2015 4,519 e-petitions have been received;
▸ the most topical are those raising issues relating to infrastructure, roads, transport and utilities;
▸ 479,000 users have accessed the e-petition site;
▸ 46 petitions have reached the required number of signatories to be considered by the City Council.

Source: Kiev City (2019), Electronic Petitions Portal of the Kiev City Council, accessed online on 24 July 2019, https://petition.kyivcity.gov.ua//

Decide Madrid

KEY FUNCTION

Stakeholder participation – Policy making

LEVEL

City

Decide Madrid is Madrid City Council's web-based platform for public participation. One of the four main functions of the platform is to provide a forum for any resident to propose a new local law that other residents can vote to support.

Proposals which gain support from 1% of the census population are advanced to the decision phase, beginning a 45-day period of deliberation and discussion. This affords time and opportunity for citizens to get educated about the issues and make informed decisions. when the proposals are put to a public vote.

It is important to note that proposals that receive majority support are not automatically implemented. Instead, the Madrid City Council commits to a 30-day study of any such proposal, during which the proposal is evaluated based on its legality, feasibility, competence, and economic cost, the report on which is openly published. If the report is positive, then a plan of action will be published to carry out the proposal. If the report is negative, the City Council may either propose an alternative action or publish the reasons that prevent the proposal's execution.

Local laws that have been enacted through this process include:
▶ a single ticket for all means of public transportation
▶ the development of an extensive sustainability plan for the city.
Further Madrid has made the software that powers this platform free to use and governments from more than 90 cities and regions, in places such as Barcelona, Buenos Aires, Paris, Turin, Jalisco, Valencia, Oviedo and A Coruña, are working at present to replicate this model.

Source: Dejohn, S. (2017), Beyond Protest: Examining the Decide Madrid Platform for Public Engagement, published online in the GovLab blog, http://thegovlab.org/beyond-protest-examining-the-decide-madrid-platform-for-public-engagement/

Citizens' forums and attitudes to agriculture, environment and rural priorities

KEY FUNCTION

Stakeholder participation – Policy Making

LEVEL

City

The Scottish Government commissioned a study into Scottish public attitudes to the environment, agriculture and rural development. In 2017, the Scottish Government appointed four Agricultural Champions to develop an agriculture strategy to guide the long-term sustainable future for Scottish agriculture. The aims of the study were threefold:
▶ To explore public priorities, values, and attitudes of food consumption, diets, agriculture, environment and rural development priorities.
▶ To explore knowledge and awareness of the Common Agricultural Policy and views on the three areas of CAP (agriculture, environment, and rural development).
▶ To deliberate on priorities for future agri-policy, considering the extent to which the three areas of CAP should feature and be weighted within future policy.

Given the deliberative methods used within the research, the study also explored the extent to which attitudes change due to exposure to new information.

Overall, 49 participants took part in the Forums, at Motherwell and Montrose. The participants were recruited to match the Scottish population profile; thus, they constituted a representative "mini-public". Each Citizens' Forum was a 2-day intensive, residential process dedicating 14.5 hours on discussing and deliberating on the issues. The Citizens' Forums were designed to take participants through a process of learning, developing dialogue and deliberation. To this end:
▶ Participants spent most of the time working in small, facilitated groups.
▶ There was a balance of hearing from and questioning 'experts' and group discussions.
▶ Work in plenary throughout the day was used to build the sense of a 'whole room' task and highlight differences and commonalities in the discussions at each table.
▶ Each exercise built on the other (both in terms of the learning and the depth of deliberation asked of the participants).

The research identified 7 principles that should guide the development of future policy. Importantly, the research identified support for the reallocation of financial assistance to the agricultural sector, both in terms of the allocation of funding to farmers but also in terms of the funding split among the three key priority areas of the Common Agricultural Policy.

Source: Zubairi, S. (2019), Citizens' forums, and attitudes to agriculture, environment and rural priorities, published on the OECD Open Government Case Navigator, https://oecd-opsi.org/innovations/citizens-forums-and-attitudes-to-agriculture-environment-and-rural-priorities/

User Participation in School Design

KEY FUNCTION
Stakeholder participation – Policy Making
LEVEL
City

The Korean Educational Development Institute involved future users in the design of new schools in Chungbuk City.

In one example of the process being used to design a new primary school, teachers, parents and students were all involved through a series of three workshops (2 workshops with 11 teachers and 1 workshop with 24 parents and students).

The process began with a briefing on recent ideas on educational facilities, design trends and the concept of user participation in school design. Following this all participants made collective 'wish lists' of what they would like to see the new school like, and 'keywords' were sifted out to identify a goal. Among the keywords selected to shape the design of the Primary School were: Green (ecology/energy); Safety/security; Social/communication; Well-being; Universal; Efficient; and Fun.

The architect then involved participants in a 'design game' which enabled participants of all ages to contribute by selecting images from the architect's workbook that they felt reflected the keywords, and suggesting ways that space should be used. From that, the architect designed a conceptual scheme for the school based on the agreed end goal and the most popular images.

At the next stage, a provisional scheme was presented to parents and children who were very enthusiastic about the initial designs drawn up by the architect for the main building and the layout of outside space. The whole group also had the chance to post comments and further refine the conceptual design. The architect then integrated the ideas from the parent-student group into her plans, which were presented at the teachers' workshop. The teachers then gave their feedback on the design, and these comments were integrated into the final plans.

Working together in this way created designs for a modern teaching and learning space that responded to the needs of all future users – teachers, parents and children.

Source: Rieh, S., J. Kim and W. Yu (2011), User Participation: A New Approach to School Design in Korea, CELE Exchange, Centre for Effective Learning Environments, No. 2011/04, OECD Publishing, Paris, https://doi.org/10.1787/5kgdzvm687r6-en.

City of Melbourne's People's Panel

KEY FUNCTION
Stakeholder Participation – Policy Making
LEVEL
City

In 2014, the City of Melbourne Council faced the challenge of balancing its budget, within a context of a growing need for infrastructure investment, a changing population, and an $800-900m (AUD) budget gap between what council had promised to deliver and its capacity to fund it on current budget settings.

In preparing for its 10 Year Financial Plan, the Council took an open policy making approach and sought advice from the public to help determine how projects should be funded, and which ones should be prioritised, while retaining an overall goal to "remain one of the world's most liveable cities, [and maintain a] strong financial position."

After a wide-ranging process of open consultation with the public, the government established the People's Panel (45 residents randomly selected to be representative of the city' population). Meeting for daylong sessions on alternate Saturdays over 2-3 months the panel engaged in a process of learning about the issues (including the open and transparent assessment of the Council's budget, revenue streams and investment plans), weighting up priorities and options and developing recommendations.

These recommendations, which were assessed as being realistic and "highly implementable", included:
▶ Supporting the sales of non-core assets to reduce the council's property portfolio
▶ Increasing funding to address climate change
▶ A 5 year plan for introducing more bicycle lanes in the city
▶ Decreasing expenditure on new capital works by 10% over the next 10 years
▶ Raising local taxes paid to the council by up to 2.5% per annum for 10 years.

The final 10 Year Financial Plan produced by the City of Melbourne Council was heavily influenced by the People's Panel, with 10 of the 11 recommendations made broadly accepted. This plan not only solved the budget deficit but also increased panel members' sense of satisfaction with the city's direction: evaluations showed that 96% of them highly rated their experience as part of the People's Panel and had "higher levels of confidence in the City of Melbourne".

Source: City of Melbourne (2019), Participate Melbourne, accessed on 5 May 2019, https://participate. melbourne.vic.gov. au/10yearplan

Edinburgh, Scotland

Consultation on budget priorities

KEY FUNCTION

Stakeholder participation – Budgeting

LEVEL

City

Since 2014 the City of Edinburgh Council has used an on-line Budget Simulator tool to consult with residents on priorities for the city budget.

They use a 'spending target' version of the tool in which participants engage with the challenge of balancing the budget to reflect their preferences. Participants must achieve a certain overall level of saving before they can submit their proposed budget. This resulted in higher-quality, considered responses: rather than submitting wish-lists of areas where they wanted more spending, respondents had to confront the reality that more spending in one area would mean less in another, and make informed choices accordingly.

The use of the on-line budget simulator has also encouraged greater participation in budget consultations, including participation from more younger people across the city.

Source: Delib (N.D), Customer Story: The City of Edinburgh Council, UK, accessed on 7 May 2019, https://www.delib.net/ budget_simulator/customer_stories/edinburgh_city_council

Tunisia

Participatory Budgeting

KEY FUNCTION

Stakeholder participation – Budgeting

LEVEL

City

Article 137 of the new Tunisian constitution stipulates that local communities, within the framework of the approved budget, have the freedom of allocating their resources according to the rules of good governance. La Marsa, a coastal community of 110,000 residents, was the first municipality in Tunisia to institute such a program, with a focus on public lighting.

A series of public meetings were held in each of the 5 districts within the municipality. Run over a single weekend, the first day was used to explain participatory budgeting and to provide an overview of the city budget. Participants were also given technical information about how lighting services could be delivered and the different types of cost involved.

Participants then divided into small groups to discuss possible projects before a spokesperson from the group presented their priorities to the rest of the participants. All participants were invited to vote by secret ballot on all of the proposed projects to prioritise - and collectively they prioritised to increase lighting in high crime areas and near schools, as well as in places frequented by women and children.

Participants also voted for 3 delegates to represent their district in the Municipal Assemblies. These brought together delegates from the 5 districts to decide between projects proposed across the whole area through a process of local advocacy and then anonymous voting.

Once projects had been decided at the Municipal Assemblies the district delegates continued to liaise with officials through the implementation stage and maintained communication with their local communities on progress.

Source: IREX (http://www.tadamun.co/2016/03/29/ participatory-budgeting-tunisia-seizing-opportunities- municipal-civic-engagement/?lang=en#.W_2KQjj7TlV

Scotland

'Canny wi' Cash', Reshaping Care for Older People

KEY FUNCTION

Stakeholder participation – Budgeting

LEVEL

City

As part of Edinburgh's 'Reshaping Care for Older People – Change Fund' the Edinburgh Voluntary Organisations Council ran a Participatory Budgeting process where older people themselves made decisions on small grants for work with, by and for older people.

The call for ideas resulted in 101 project bids being submitted, valued altogether at £106,000. This was twice the available pot of money. Rather than open it out to a wider public vote the team decided to use a distributed model, creating a 'voting fortnight' where the team would go out to where older people were and present the project ideas in an anonymised and uniform way for voting. Over the voting fortnight, facilitators visited a range of places across the city where older people gathered: day centers, lunch clubs and drop-in centers for example. 312 Older People across Edinburgh took part in the voting events and through that process agreed to fund 56 projects to the tune of £56,000.

Canny wi' Cash delivered a number of important project outcomes which included:

▶ Older People felt properly included in a democratic process "Our Voice is Being Heard at Last"

▶ Older people learned about activities they may want to get involved with.

▶ Groups across the city learned about funding available and contributed to an innovative way of distributing money.

▶ Groups were able to plan to improve what they do, or to do something new.

▶ Older people in local groups made community links/connections in their neighbourhood

▶ Staff developed a greater awareness of the priorities of older people within the community.

Source: Scottish Co-Production Network (N.D),Canny wi' Cash', accessed on 19 May 2019, http://www. coproductionscotland.org.uk/ files/4914/2780/0061/5.1_ Case_Study_-_Canny_ wi_cash_-_Older_ people_deciding_on_ grants_for_older_ peoples_groups.pdf

Consult more cases on stakeholder participation

On the Open Government Tool Kit and Case Navigator, developed by the OECD and the OGP.

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