Building Blocks and New Frontiers for Open Government

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Introduction

The twin goals of the World Bank Group — ending extreme poverty and boosting shared prosperity — makes a strong case for the World Bank’s support for creating an inclusive society, with strong government accountability. “A sustainable path toward ending extreme poverty and promoting shared prosperity would also involve creating an inclusive society, not only in terms of economic welfare but also in terms of the voice and empowerment of all groups. An inclusive society must have the institutions, structures, and processes that empower local communities, so they can hold their governments accountable” (World Bank 2013a, 33).

Aligned with these goals, the World Bank Group’s *Strategic Framework for Mainstreaming Citizen Engagement in World Bank Group Operations* defines citizen engagement as the “two-way interaction between citizens and governments or the private sector within the scope of the Bank Group’s interventions in decision making with the objectives of improving the intermediate and final development outcomes of the interventions” (World Bank Group 2014, 8). These interactions give citizens a stake in decision making with the objective of improving an intervention’s intermediate and final development outcomes. Transparency and openness of government, including access to information, are fundamental enabling conditions for effective citizen engagement — and for achieving an inclusive society where citizens can participate meaningfully in policy making and service delivery to hold governments to account.

Open government has many different definitions that essentially encompass increased transparency, citizen participation, and accountability. The collaboration between government and citizens in the public policy cycle is central to open government. As such, openness is at the core of citizen-centric governance, recognized as key for effective use of public resources, inclusive decision making, and improved trust between governments and citizens.

The global momentum for open government has increased significantly in recent years following changes in the governance landscape with some authoritarian regimes moving toward democracy and political participation. Events such as the Arab Spring has reawakened the demand for openness in all aspects of governance.

The rapid membership growth and recognition of the Open Government Partnership (OGP), which was launched in 2011, is one example of global momentum. With the ultimate goal of improving the quality of governance and public services, OGP brings together both government and civil society reformers to help government become sustainably more transparent, more accountable, and more responsive to citizens’ needs.¹ To date, 79 countries along with

¹ From the OGP website “Mission and Strategy” <https://www.opengovpartnership.org/mission-and-strategy/>.

a growing number of local governments and thousands of civil society organizations (CSOs) are members of the OGP (see appendix A).² Countries participating in OGP have made more than 3,000 commitments to become sustainably more transparent, more accountable, and more responsive to their own citizens, with the ultimate goal of improving the quality of governance as well as the quality of services citizens receive.

The Governance Global Practice (GGP) of the World Bank, in response to external trends and in close collaboration with the OGP, has adopted a collaborative and integrated approach to supporting open government. The final report of the 18th Replenishment of the International Development Association (IDA18) acknowledged “the focus on reforms promoting transparency has the potential to be transformative. Open government reforms such as deliberative transparency, citizen engagement, and freedom of information laws facilitate inclusive decision-making processes, strengthen accountability, and build citizen stakeholders’ capacity to engage in development dialogue” (World Bank 2017a, 27).

The IDA18 Final Report outlined a Governance and Institutions Special Theme with significant policy commitments in support of the open government and citizen engagement agenda, in particular to:

- ▶ Support projects in at least 10 IDA countries in the development and implementation of user feedback and/or enhanced GRMs [grievance redress mechanisms] for service delivery that ensure participation by women in these processes; [and]
- ▶ Support at least one-third of IDA countries to operationalize reform commitments toward the OGP agenda to strengthen transparent, accountable, participatory, and inclusive governments” (World Bank 2017a, 48–49).

The World Bank is supporting 38 projects in 27 IDA countries with various open government approaches embedded in lending operations and technical assistance. For example, the World Bank incorporates openness and transparency as a tool for broader citizen engagement in the health and education sectors. They are embedded in sector or social projects to enhance citizen’s awareness, engagement, and access to information in order to increase accountability at the point of public service delivery. This is a shift from a more centralized approach to more polycentric hubs of interaction between citizens or civil society and the government that are centered around delivery of public services rather than merely policy making. In these IDA countries, there is also an increase in how disclosure of data and technology is leveraged to inform participatory planning and policy actions and improve inter-agency coordination and accountability to beneficiaries.

² From the OGP website “About Open Government Partnership” <https://www.opengovpartnership.org/about/>.

The modernization of government goes beyond strengthening financial management systems or improving the government's administrative or oversight functions. It includes improving efficiency, accountability, and responsiveness in governance of extractives and natural resources and in the delivery of services.

Experience in IDA countries reflects global trends to date and indicate there are essential building blocks of open government for governments and citizens to collectively achieve open, participatory, accountable, and responsive governance. The path and sequencing of open government initiatives and activities in a country could differ by country depending on regional and country contexts. In general, they begin with information disclosure, engagement of citizens in developing policy and monitoring delivery of services, and the establishment of mechanisms and dialogue to enhance accountability. Improving the quality of governance requires a shift in norms and culture to ensure genuine dialogue and collaboration between governments and civil society. Hence, government responsiveness to citizens has, over time, become recognized as a core function of open government.

In view of this, the paper aims to document the essential building blocks of open government based on experience in the area and growing trends. It also tries to identify the new frontiers in open government. Content is based on interviews with open government experts and thought leaders³ in the field as well as a literature review to document experience to date and capture the emerging frontier areas. The findings are geared toward World Bank practitioners, although they may be relevant to a broader range of open government actors.

The paper captures the basics of open government and what has been learned to date. It begins by stating the rationale for this work and the widely accepted components of open government before briefly presenting a new term and definition for it. This work is not intended to operationalize the framework of *World Development Report 2017: Governance and the Law* (WDR 2017) but does use part of its definition of citizens as change agents. Approaches in the open government space are identified where the World Bank has the most comparative advantage and made some advances. This is followed by highlighting areas that need more World Bank traction as well as cutting-edge, or frontier, approaches that could be considered for uptake. The paper does not go into detail on how to operationalize open government or identify specific entry points, which will be part of later work. Finally, it presents a summary of action steps for advancing the open, participatory, and responsive governance agenda within the World Bank.

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³ Interviewees, including external experts and World Bank practitioners, are listed in appendix B. Additional feedback and inputs on the paper's initial findings were collected through a learning event at the World Bank in May 2018.

Rethinking Open Government: Rationale

The world is changing rapidly. There is a firm and growing recognition for open, participatory, accountable, and responsive governance. This recognition is critical for governments to provide more inclusive, effective, and equitable public policies and service delivery. A growing awareness of the economic benefit of open government has led various organizations, including the World Bank, to place this agenda at the forefront (box 21).

The demands for openness have changed and evolved over time, necessitating a renewed understanding of what “open government” is and what tools are more effective. In the early 1990s and early 2000s, the open government agenda was an offshoot of the process toward democratization. The demand in recent years is mostly driven by factors such as anti-corruption, illicit financial flows, and the need to facilitate investment for the private sector particularly in the Latin America and the Caribbean and Europe and Central Asia Regions. The underlying drivers of demand for openness in the Middle East and North Africa Region are also different. Still, transparency, participation, accountability, and responsiveness — which taken together frames openness in contemporary times — have a critical role to play in the fight against corruption, which is a big challenge confronting both private and public governance across the globe.

Citizens’ demand for open, participatory, accountable, and responsive governance remains strong. The 2013 Global Opening Government Survey indicates 61 percent of respondents expressed desire for openness from their governments. A striking finding from the survey is the burning hunger among younger generations in countries such as Mexico, Indonesia, and Mongolia. In Mexico, about 83 percent of the respondents aged 18–25 strongly prefer more open government.⁴

Significant challenges remain in ensuring that open, participatory, accountable, and responsive governance leads to development outcomes on the ground. The rise of global populism in many countries and shrinking civic space are slowing the progress of the open government agenda and limiting the scope and quality of engagement to achieve an inclusive society. Yet, new opportunities continue to emerge to counter these setbacks.

World Development Report 2017: Governance and the Law redefines governance as “the process through which state and nonstate actors interact to design and implement policies within a given set of formal and informal rules that shape and are shaped by power” (World Bank 2017b, 3). It shifts away from the more traditional definition as seen in *Governance and De-*

4 For more information, see OGP’s website at <http://www.openinggovernment.com/> (accessed July 9, 2019).

BOX 1

Initiatives to Support Open, Participatory, and Responsive Governance

The World Bank and other multilateral institutions, such as the International Monetary Fund (IMF), have been at the forefront of openness in economic governance as a means to combat corruption and to reduce uncertainty for global investors. The IMF's Code of Good Practices on Fiscal Transparency was introduced in 1998 in the aftermath of the Mexican and Asian crises (Petrie 2003). The code identifies a set of principles and practices to help governments provide a clear picture of the structure and finances of government.

More recently, the **WDR2017: Governance and the Law** highlighted the centrality of the interplay between citizens and the state in the creation of effective governance. The final report of the 18th Replenishment of the International Development Association

also acknowledges the transformative nature of open government reforms toward meeting Sustainable Development Goal 16 (SDG16) to promote peaceful and inclusive societies for sustainable development, provide access to justice for all, and build effective, accountable, and inclusive institutions at all levels.¹

These reforms contribute to the World Bank's twin goals and SDG16 "by promoting the efficient use of public resources, facilitating inclusive decision-making processes, strengthening accountability, improving trust and building citizen stakeholders' capacity to engage in the development dialogue, and allowing for better service delivery" (World Bank 2017a, 47).

¹ For more information, see Sustainable Development Goals, <https://sustainabledevelopment.un.org/?menu=1300>.

development: “the manner in which power or authority is exercised in the management of a country’s economic and social resources for development” (World Bank 1992, 1).

Nonstate actors and citizens are formally recognized as part of the policy arena where the design and implementation of policies take place. This evolution in thinking acknowledges the multiplicity of stakeholders in the governance sphere, the interactions between them, and the importance of underlying enablers of governance. The reframing of governance from one of looking specifically at institutions and their exercise of authority to that of “public policy formulation,” which is open, transparent, and inclusive, provides an opportunity to further integrate the notion of citizen participation and engagement conceptually and in practice.

Literature indicates another trend moving away from one-off, linear interventions to a multipronged, or adaptive approach, to policy making that can be facilitated by the dynamic interchange between citizens, government, and other stakeholders. Such an approach is built around multiple entry points, as opposed to a linear progression beginning with transparency and moving on to participation and then to accountability and enhanced development outcomes (Hudson 2016). A more flexible and locally driven approach implies a multitude of entry points and experimentation based on what might work, and it should be included in discussions of how to achieve better development outcomes.

Some evidence shows that, in the long run, transparency and openness can help drive growth and development. More transparent countries have higher foreign direct investment inflows and lower borrowing costs. A more transparent business environment makes it easier for responsible businesses to operate and manage risk, and public sector transparency promotes competition for government contracts, reduces corruption, and increases government effectiveness (DFID 2018). Literature in the area of fragility indicates that inclusive institutions which adopt principles of openness and citizen engagement in decision making represent the best method of prevention against societies descending into crisis and thus are particularly crucial in fragility contexts (United Nations and World Bank 2018). But more research is needed in this area and on specific linkages between open government approaches and economic growth, improved service delivery, and resilience toward crisis and fragility.

Photo by Grant Ellis / World Bank

Rethinking Open Government: Conceptual Understanding

Evidence suggests that open government over the years has been defined to include three main concepts: (i) transparency, (ii) citizen engagement and participation, and (iii) accountability. The Organisation for Economic Co-Operation and Development (OECD) defines open government as “a culture of governance based on innovative and sustainable public policies and practices inspired by the principles of transparency, accountability, and participation that fosters democracy and inclusive growth” (OECD 2016, 1). The WDR 2017 reviews the components of open government and recommends a new definition based on increasing the importance of accountability as an essential mechanism to rebalance power asymmetries in governance. It is argued that transparency, or information disclosure, to facilitate the informed participation of citizens is not adequate in generating government responsiveness or, moreover, to achieve open governance unless the underlying power asymmetry between the two stakeholders are rebalanced through accountability (World Bank 2017b).

Based on these findings, the term “open government” can be redefined and unpacked into four essential components: transparency, participation, accountability, and responsiveness. Each component is defined in figure 1.

Figure 1. Unpacking Open Government

high maturity		low maturity	
Transparency	Participation	Accountability	Responsiveness
That the public has access to and understands information about the workings of the government. <i>Example: Access to information</i>	That the public participates in the workings of government. <i>Example: Participatory Budgeting</i>	That the public can hold the government accountable for its policy and service delivery performance. <i>Example: Ombudsmen</i>	That the government responds to and reflects citizens' demands <i>Example: Grievance Redress Mechanism</i>

Open government is not only about the disclosure and availability of data to the public (information transparency), but also the active use of such data by citizens or citizen groups (participation) to hold government responsible for effective service delivery and performance (accountability) and to generate an appropriate response from government (responsiveness). None of these components alone constitutes “open government.” These components and actions taken together generate the greatest potential for open government to reshape the policy arena and rebalance the asymmetries of power. But there is still a lack of understanding of this definition within the development community, with many believing that open government only consists of the first component — information transparency.

Perhaps as a result, most advances in implementing the open government agenda both within the World Bank and externally have been in the more mature area of transparency. Fewer advances have been made in participation and responsiveness, which are the less developed components of open government interventions. The OGP reports that roughly two-thirds of government commitments have an access-to-information component, one-third have a public engagement or participation component, and one-quarter have a public accountability component (OGP 2016a, 23). This depiction is also illustrated by the 2017 Open Budget Survey, prepared by the International Budget Partnership (IBP 2017, 3). Not a single country out of the 115 surveyed offered participation opportunities in the budget that are considered adequate.

Only four countries were found to have limited opportunities for public participation. The World Bank's operations portal also reports that fewer efforts (125) have been made in the category of "participation and civic engagement" than in "transparency and governance."⁵

It is no accident that more advances have been made on transparency. The WDR 2017 presents the three key conditions for effective information initiatives: transparency, publicity, and accountability. Making information available and accessible reduces information asymmetries. However, a growing body of empirical evidence and analysis demonstrates that affecting actionable change in accountability and responsiveness involves challenging dynamics, such as realigning institutional incentives to increase the cost of inaction and multiple engagement strategies to address collective action problems (see figure 2). The path toward greater accountability and responsiveness requires a reshaping of the policy arena and creating the enabling environment in ways that transparency alone cannot achieve.

Figure 2. From Transparency to Accountability Through Citizen Engagement: The WDR 2017 Perspective

Source: World Bank 2017b, 247–251.

Common Entry Points for World Bank Interventions

Coincidentally, common entry points for the World Bank interventions are areas that countries generally take on as they begin their reforms — and are considered the building blocks of open government (see box 2). In pursuing these actions, countries indicate their early commitment to openness, transparency, and citizen engagement. They reflect mature areas of the transparency component of open government, which the WDR 2017 also presents as the initial conditions for addressing information asymmetry.

The World Bank, through its *Strategic Framework for Mainstreaming Citizen Engagement in World Bank Group Operations*, advances the public participation agenda (World Bank Group 2014). The framework enhances citizen⁶ engagement in lending operations and mandates that 100 percent of investment projects include some form of beneficiary⁷ feedback. As a result, by fiscal year 2016, 95 percent of investment projects include at least one beneficiary feedback indicator in their results frameworks (IEG 2018, xii). In particular, the emphasis on beneficiary feedback led to development of approaches that ensure two-way interactions between public sector providers and receivers of services in investment projects.

Nonetheless, reviews of citizen engagement activities show insufficient advances in institutionalizing the concept of citizen engagement and in bringing about policy changes that ensure government is responsive to and inclusive of the needs of all its citizens (the enabling environment).⁸

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6 Citizens in this context are not defined in a legal sense. The Strategic Framework defines citizen as “the ultimate client of government, development institutions’, and private sector interventions in a country. Citizens can act as individuals or organize themselves in associations and groups such as community-based groups, women’s groups, or indigenous peoples’ groups. Civil society organizations (CSOs) can represent citizens and can include organizations outside of the public or for-profit sector, such as nongovernmental organizations (NGOs), charitable organizations, faith-based organizations, foundations, academia, associations, policy development and research institutions, trade unions, and social movements” (World Bank Group 2014, 7–8).

7 Beneficiaries are defined as “a subset of citizens directly targeted by and expected to benefit from a development project” (World Bank Group 2014, 8).

8 A report from the Independent Evaluation Group acknowledges that institutional change is important to sustain citizen engagement. When engagement mechanisms were sustained over multiple project cycles, they were more likely to become institutionalized and bring about durable change (IEG 2018, 46). This includes enhanced institutional capacity, improved oversight mechanisms, and protection of essential freedoms of association, expression, and media.

BOX 2

Building Blocks and Prevalent Entry Points for Open Government Within the World Bank

Although no systematic data are available on implementing open, participatory, and responsive governance initiatives across the World Bank, common entry points most prevalent in its lending activities can be identified. These areas are (i) fiscal transparency or open public financial management (PFM); (ii) procurement, including e-procurement and open contracting; and (iii) access to information. All are core government functions that the Governance Global Practice supports.

Fiscal transparency and open PFM consists of not only making budget and expenditure data available, but also ensuring public scrutiny on budget performance and the government's responsiveness to citizens' feedback on

public investments. There are numerous entry points for fiscal transparency in World Bank lending, and disclosure of budgets is mandated in legal agreements for Development Policy Financing (DPF) operations. Building blocks for open fiscal transparency throughout the budgeting cycle include open budgets, citizen's budgets, participatory budgeting, and participatory public expenditure tracking. More recently the concept of openness and transparency in the tracking of administrative expenses, such as staff salary levels, is seen as an important area of work. Fiscal transparency helps combat corruption by creating the legal framework and oversight institutions, markets, and the information required for accountable government (Petrie 2003, Gelos and Wei 2005).

Procurement is a pillar of all the World Bank's lending operations.

E-procurement is the electronic purchase and sale of goods and services, usually through an internet-based platform. The tool, now commonly used across the World Bank's financed operations, is designed to improve transparency and efficiency in the purchasing process and help government and companies capture savings.

Open contracting refers to norms and practices for increased disclosure and participation in public contracting. It complements e-procurement systems with an emphasis on publishing data in open formats and promoting data use and engagement for better procurement outcomes. It usually builds on data and information generated or collected by e-procurement and other information systems, and covers the entire contracting process, including formation, award, execution, performance, and completion of public contracts.

Other approaches or building blocks that appear throughout the portfolio include anti-corruption measures such as participatory audits and the strengthening of supreme audit institutions, conflict

of interest safeguards, service delivery feedback loops, and e-government. See appendix C for a typology of common approaches.

Access to information, as defined by the World Bank, is the freedom or ability to identify and make use of data or information effectively. It forms the policy umbrella under which fiscal transparency and openness in procurement can take place. The World Bank is involved in numerous efforts to make data available to citizens, including support for implementing freedom of information laws. Its operations portal indicates that 149 projects are focused at least in part on "transparency and governance."

Examples include, the First Transparency and Accountability Development Policy Loan (Hakama I) in Morocco, which helped lead to the passage of a national access to information law (World Bank 2013b, 2018a). In Tunisia, the Governance, Opportunities, and Jobs Development Policy Loan helped establish the legal framework to allow public access to information held by public bodies (World Bank 2012).

A New Term and Definition

There are limitations to using the term “open government” as it lends itself for a bias toward information disclosure. The research outlined in WDR 2017, combined with the findings and trends presented in this paper, leads to proposing an updated definition and title for open government, which emphasizes its participatory and responsive nature, i.e., “open, participatory, and responsive governance.” This term can be defined as government that is open, participatory, and responsive to the needs of nonstate actors.⁹ It results from the interaction between nonstate actors and the state in an effort to strengthen the performance of public institutions and public service delivery and policy processes. The dimensions of the new term entails addressing the power asymmetries, enabling environment, and improving incentives through the maturity of collaborative and participatory engagement, accountability, and responsiveness components in open government interventions.

This new definition and title do not address the collective action challenges that arise from standalone transparency initiatives. Rather, it provides practitioners with a more comprehensive tool to broaden the agenda and achieve more meaningful development outcomes.

The “open, participatory, and responsive governance” term draws on and complements other budding definitions in the governance field. The concept of “collaborative governance,” for example, has been promoted strongly by the GovLab¹⁰ at New York University. Collaborative governance is a process and form of governance in which participants (e.g., parties, agencies, and stakeholders) representing different interests are collectively empowered to make policy decisions. The Global Partnership for Social Accountability¹¹ also defines its mission as one of open, participatory, and responsive governance. Its efforts are “based on constructive engagement between governments and civil society to create an enabling environment in which citizen feedback is used to solve fundamental problems in service delivery and to strengthen the performance of public institutions” (World Bank 2018, 18).

This term will evolve as capabilities, expectation, and aspirations for participation, collaboration, and interaction in the policy arena increase.

The next two sections highlight the areas within open, participatory, and responsive governance where innovation and a growing demand are seen from the World Bank’s clients and partners.

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9 In this definition, the term “government” encompasses the actors in the public sector, including local government, state-owned enterprises, and line ministries that carry out the bulk of public investments and services in many countries. “Nonstate actors” are civil society organizations, academia, the private sector, as well as citizens.

10 GovLab website: <https://www.thegovlab.org/>.

11 Global Partnership for Social Accountability (GPSA) website: <https://www.thegpsa.org/>.

Photo by Nugroho Nurdikiawan Sunjoyo / World Bank

Areas Where Significant Work Is Underway but More Action Is Needed

Through external and internal interviews and research, the authors identified approaches that are not necessarily new, but require further traction or support moving ahead. These areas are relatively mature in their aim to expand the building blocks beyond addressing openness and transparency. However, additional traction is needed to strengthen participation, responsiveness, and accountability components within these areas.

A number of these areas are already growing business areas for the World Bank, and, even now, there is a noticeable shift in incorporating interventions that address the enabling environment and collective action problems to generate more change within these areas.

Advancing the Open Contracting Agenda

Through open contracting, information on government contracts is published in an open and timely manner, enabling citizens to become more engaged in identifying and fixing issues they care about. While some advances have been made, more work is needed to bring about openness and transparency throughout the contracting cycle as well as to encourage active oversight of such information.

An example of ongoing work is the Open Contracting Partnership¹², launched in 2012, which collaborates with a network of partners — including the World Bank — to support the implementation of open contracting projects at the country level. In 2014, it led to the establishment of the Open Contracting Data Standard (OCDS)¹³, which is a global nonproprietary standard structured to reflect the complete contracting cycle. Several countries have adopted it. Others, such as Romania, are in the process of implementing the OCDS through making contract data throughout the procurement cycle accessible on a user-friendly platform, eLicitatie.¹⁴ Other examples include work in Costa Rica where the government committed to increasing transparency of government contracts throughout their lifecycle by providing to the public detailed information on each step, thus enabling citizen oversight of public institutions' performance. And with the support of the World Bank, the State Procurement Agency in Georgia structured their data following the OCDS and launched a beta version of an OCDS portal that generates tender information for all public procurement contracts.

The World Bank also supports the implementation of open contracting approaches at the country level as part of broader public procurement, public financial management, or governance reform projects. But while the World Bank's recently updated procurement guidelines mandate some aspects of open contracting and include a complaints resolution mechanism, they still fall short of the norms and principles advocated through a more comprehensive open contracting policy.

Enhancing Support to Subnational Reform

Most of the world's population lives in cities. In addition, many crucial services, such as health care and education, are administered locally, increasing the need for effective and robust institutions at all levels of government.

Numerous innovative programs in open government are being developed at local and municipal levels. Many of these focus on using technology to make data available to citizens in a wide range of areas and formats as well as facilitating citizen and government interaction. According to the Omidyar Network, for example, \$493 million was spent on “civic technology” in the United States in 2015 alone (Omidyar Network 2016, 13).

One example is the Palestinian Authority where the World Bank is supporting the financing and capacity building of municipalities through its Municipal Development Project. The program has launched an online portal where municipalities can publish their budgets and strategic development and action plans. In addition to the portal, the program is conducting

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12 Open Contracting Partnership website: <https://www.open-contracting.org/>.

13 For more information, see <https://standard.open-contracting.org/latest/en/>.

14 For more information, see <https://www.e-licitatie.ro/Public/Common/Content.aspx?f=PublicHomePage>.

e-governance pilots in four municipalities, which go beyond publishing information online and include portals that enable a two-way interaction between citizens and multiple departments. One-stop shops or citizen service centers are another model through which citizens can access information and services provided by different departments in one central location. More than 20 Palestinian municipalities have a citizen service center, and the Municipal Development Project aims to extend the model to all municipalities (Schott 2017).

Another interesting example is CONSUL, Open Participation — an open source software platform that has become a comprehensive digital tool for citizen participation in more than 50 municipalities across Latin America and Europe. The platform, which can be accessed by any one person or entity, enables online public debates; the creation and submission of proposals by citizens for improving their city; online participatory budgeting processes; and the sharing of legislative texts for review and feedback by the public.¹⁵

Institutionalizing Forms of Feedback Mechanisms into National and Country Systems

A GRM is a system by which queries, suggestions, positive feedback, concerns, and complaints about the project are responded to, problems with implementation are resolved, and complaints are addressed efficiently and effectively (Post and Agarwal 2011). Effective GRMs are widely accessible with multiple uptake channels and provide beneficiaries with a fair and predictable process and timeline for receiving a response and a remedy to their complaints, suggestions, and other types of feedback, including compliments. They provide implementing agencies with valuable information about what is working and not working in service delivery, and, when implemented well, over the long-term can lead to increased trust from citizens toward public bodies. It also functions as a performance management tool for the decision makers of implementing agencies. Other forms of more proactive beneficiary feedback mechanisms include community scorecards, social audits, and other consultative mechanisms for obtaining feedback from citizens.

GRMs have become the prevalent means of incorporating beneficiary feedback into investment operations in the World Bank, and lessons as to good practice are beginning to emerge. These include use of a country system where applicable, access points located as close to the end-user as possible, cultural sensitivity in the design of uptake channels, and the use of strategic communications to inform beneficiaries of opportunities for feedback and resolution.

The challenge moving ahead is how to build and strengthen country systems for feedback mechanisms to move beyond project implementation of GRMs. This will require cultural

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¹⁵ For more information, see www.consultproject.org/.

and behavioral change that is client centric, clear articulation of the system's benefits and cost-effectiveness, adoption of policies that mandate systems with two-way forms of citizen feedback, and sufficient use of these systems by citizens.

Improving Access to Justice and the Rule of Law

When people think of open government, they frequently think of open data, transparency, and anti-corruption, not necessarily a fair and responsible justice system. But to achieve open, participatory, and responsive government, people must be empowered with the ability to respond to injustices that affect their daily lives. This means they must be guaranteed access to information about laws and regulations. But it also means they must be able to obtain effective assistance whenever discrimination, corruption, violence, or lack of resources prevents them from addressing grievances or obtaining remedies. People must have the chance to take part in processes for setting institutional agendas and for holding institutions accountable for systemic failures.

Frontier work in this area is supported by SDG 16, which commits countries "to promote peaceful, inclusive societies for sustainable development, to provide access to justice for all, and to build effective, accountable, and inclusive institutions at all levels." As a result, efforts to ensure that legal frameworks and systems work for all are becoming a key area of focus.

The World Bank has been involved in access to justice and rule of law issues related to open, inclusive, and accountable governance for more than 20 years. According to interviews with World Bank staff, demand by clients for assistance in this area outpaces the World Bank's capacity to respond. Areas for further support include ensuring that justice systems themselves are open and transparent. This means information on the functioning of courts is available to the public, and data on complaints and their resolutions are recorded and published. An emerging area deals with enforcement of laws related to open, participatory, and responsive governance, much falling under the category of administrative law, which ensures the right of citizens to operate freely within a regulatory system. The World Bank should consider this as an important area for further support moving ahead.

Photo by Simone D. McCourtie / World Bank

Frontier Areas

New or frontier areas are those in which relatively little experience exists but are worth mentioning as potential areas for World Bank uptake moving ahead. These areas, while still nascent, provide a look into what clients and partners observe as entry points for new approaches or innovation. The areas are listed in order of their focus on two dimensions: (i) growing business area where open, participatory, and responsive governance can make a substantive contribution to our clients; and (ii) the comparative advantage of the Governance Global Practice in assembling together innovative products in these areas, in collaboration with other Global Practices. Note that most of these frontier areas emphasize participation and responsiveness, reflecting the trajectory toward open, participatory, and responsive governance (Fung, Graham, and Weil 2007, 16).

Beneficial Ownership: Advance Anti-corruption Interventions in the Private Sector

The ONE Campaign has estimated that \$1 trillion is siphoned out of developing countries each year through corrupt or illegal activities involving clandestine companies (Hunter 2014). Many countries are taking steps to make beneficial ownership information more transparent, thus making it more difficult for individuals to benefit from crime and corruption (OGP 2016b).

Beneficial owners are the individuals who ultimately possess, control, or benefit from a company and its income. Beneficial ownership is when the actual owners and beneficiaries behind companies are disclosed. Complex corporate structures often make beneficial ownership unclear, giving way to the formation of anonymous shell companies. Beneficial ownership transparency has emerged in countries as an important policy tool for combating corruption, stemming illicit financial flows, and fighting tax evasion.

Several examples of actions in this area exist, although they are still at the design stage. In Kenya, suspects of illicit gains, money laundering, and manipulation of public contracts have circumvented the country's checks and balances systems. An estimated \$13.5 billion flowed illegally into or out of Kenya from 2002 to 2010 through improper invoicing of trade transactions. To address this challenge, Kenya is committed to preparing and submitting legislation to the National Assembly for the creation of an open, usable, and publicly assessable beneficial ownership register (Kenya OGP Steering Committee 2016). South Africa is also committed to implementing a publicly available register of legal persons and arrangements in an open data format as follow-up to its commitment to adopt the G20 High-Level Principles on Beneficial Ownership Transparency.

And in Norway, the government is committed to investigating, sending for consultation, and promoting proposals for a publicly accessible ultimate beneficial ownership registry. The government appointed a commission to consider the legislative changes necessary to adhere to the Financial Action Task Force's 2012 recommendations and the European Union's fourth Anti-Money Laundering Directive regarding beneficial ownership. An assessment of how to make beneficial ownership information public will be presented and subject to general consultation and input from civil society.

Transparency and Consultation to Support Trade and Private Sector Investment

The All Enterprise¹⁶ and Doing Business¹⁷ surveys show the importance of transparency and regulatory consultation on competition, trade, and investment. The consultation on draft laws and regulations impacting trade and investment is at the core of the World Trade Organization agreement on Technical Barriers to Trade, trade agreements, and related trade facilitation efforts. Likewise the work on regulatory governance or on environmental governance or environmental and social safeguards places an emphasis on access to information and public consultations.

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¹⁶ For more information, see Enterprise Surveys, <https://www.enterprisesurveys.org/>.

¹⁷ For more information, see Doing Business, <https://www.doingbusiness.org/en/doingbusiness>.

Demonstrating how open, participatory, and responsive governance can foster access to critical data for businesses and the private sector, support for startups and innovation, and trade openness reforms are ways in which the World Bank has comparative advantage. Developing this area also supports efforts to move away from a normative approach to open government and create a results-based narrative that can build the case for open, participatory, and responsive governance as a contribution to growth and private sector development.

Innovation and Trust in Tax Compliance

Traditional approaches to tax reform focus primarily on strengthening enforcement and facilitating tax payments but give significantly less attention to building trust among taxpayers (World Bank 2017c, 3). This is due, in part, to the fact that the link from expanded taxation to public benefits has simply been assumed. Little attention has been paid to increasing the likelihood that taxation will contribute to strengthening the fiscal contract; that is, to enhanced service delivery, expanded accountability, and improvements in state capacity more broadly (World Bank 2017c, 2).

More research in this area is needed, but initial findings support the role of open government in leading to enhanced tax compliance. For example, in South Kivu Province in the Democratic Republic of Congo, citizens were asked to vote on budget allocations proposed by the district council using mobile phones. When citizens saw that roads and schools were being repaired in response to their votes, tax collection jumped sixteenfold (DFID 2018).

Openness in Public Policy Formulation and Analysis — Deliberative Transparency

This approach refers to the participation of actors other than government policy makers in the various stages of developing policies, regulations, and laws. Such actors may be those directly targeted by an intervention (such as business firms) and those who have a role to play with respect to implementing overall policies (for example, citizens).

Some countries have longstanding traditions of multistakeholder consultation and deliberation in the policy cycle; in others, such practices are much less developed. Benefits of this approach may include a correction in information asymmetries (e.g., as a means of collecting information that may not be readily available); better understanding of stakeholder goals and the effects of proposed policies; and the building of trust with stakeholders. The objective is to open up the processes of decision making and to bring in the participation of stakeholders to ensure equity and effectiveness. With the low costs now involved in streaming information, there is no technical reason why more deliberative processes could not be opened and streamed live to ensure such participation.

An example is the opening up of the U.S. Federal Reserve Board meetings, which allows stakeholders to have an idea of what is likely to happen to monetary policy in general and to interest rates specifically. Other examples include opening up the process of developing discriminatory tax incentives or creating negative investment lists, which occurs when foreign interests are kept out of certain industries, chosen by government, to protect domestic interests but rarely consumers (Brumby 2016).

Support Policies that Protect Shrinking Civic Space

A resilient and unrestricted civil society is necessary to foster more responsive and accountable government. WDR 2017 highlights the role civil society can play in “influencing the policy arena by changing incentives, preferences, and contestability to generate more equitable development” (World Bank 2017b, 225). Yet across many countries, trends of shrinking space and more limited ability of CSOs to operate freely are growing. WDR 2017 acknowledges this shrinking of civic space. Many governments are changing the institutional environment in which citizens engage, establishing legal barriers to restrict the functioning of media and CSOs, and reducing their autonomy from the state (World Bank 2017b, 24). While OGP reports more than 600 country commitments focused on improving and creating spaces for participation, fewer have focused on improving the enabling environment for CSOs. Since 2012, 70 governments have enacted more than 120 legal initiatives restricting civil society and targeting the freedoms of association and assembly. Forty-two countries are considering new laws to restrict civil society (Gutbrod 2017).

This area includes a wide range of possible interventions as well as those that are among the most challenging. It includes looking at regulations that control the nonprofit sector, including registration and tax laws; national frameworks ensuring freedom of assembly and association; and information laws governing the media. Another suggestion is the development of a global norm for lobbying reform. Beyond regulation, other actions include conducting outside audits of organizations’ vulnerabilities, encouraging CSOs to reach beyond political divides, introducing flexible funding mechanisms, and doing research to better understand how CSOs can mobilize public support for their causes.

The Role of the Media

Another area which needs more traction in yielding greater transparency and accountability is the role of media. Media, supported by civil society, can act as the bridge between the governing and the governed, holding public services to account (to improve standards) and engaging citizens (to strengthen democracy). Currently, however, the gap between govern-

ments, media, and citizens is often wide, there is an absence of trust, and much of the media is ill-equipped to bridge it.

The electronic media can be leveraged effectively to promote transparency and accountability, notwithstanding impediments posed by governments and attempts to restrict access and flow of information particularly in Asia (Akhtar, Malla, and Gregson 2016). The traditional media, newspapers, radio, and television, despite the growing popularity of online media, can make significant contributions as watchdogs between citizens and government to ensure accountability. As the individual citizens or groups of citizens have neither time, capacity, and opportunity to access, digest, analyze, and use public information, nor interaction directly with government representatives, media has a critical role to play in bridging the gaps under these circumstances.

The challenges for governments are to support free media and freedom of expression as a core principle of openness, to ensure freedom of information and other access so that legislation and policies are fully understood by their implementing agencies, and to include media in the public policy process as a means of releasing information relevant to citizens' lives in a timely and usable fashion. On the other hand, media organizations face their own challenges in developing the skills and resources to explore open, participatory, and responsive governance on behalf of the public and adopt more open methods of reporting and greater accountability on their own.

Photo by Photo: Jonathan Ernst / World Bank

Support Collective Action and Social Mobilization Efforts as Avenues of Change

WDR 2017 makes an explicit plea for citizen engagement efforts to focus more on collective action in addition to individual citizen efforts to engage with government. “Individual citizens may not have the power to influence the policy arena to generate more equitable development on their own. However, all citizens have access to multiple mechanisms of engagement that can help them overcome collective action problems — to coordinate and cooperate — by changing contestability, incentives, and preferences and beliefs” (World Bank 2017b, 23). The report goes on to identify elections, political organizations, and social organizations as mechanisms for articulating the collective interests of citizens and for channeling their demands into the policy-making process.

National frameworks in support of political organization, such as laws of assembly and regulations governing the nonprofit sector, were discussed earlier. The paper now focuses on how to use collective action principles to mobilize multistakeholder interaction in support of policy change. Such action goes beyond relying on beneficiary feedback as an approach for mobilization toward one that is a true and collaborative constructive engagement that can feed into more effective policy formulation. What forums, resources, and common frameworks exist for bringing stakeholders together around solving development problems? How can such efforts be further supported and multiplied? The World Bank could benefit from recognizing that a purely technocratic approach may not work. A deeper, more holistic, and long-term approach may be needed.

Finally, the World Bank needs to acknowledge that collective action has taken on a whole new dimension today as it draws on the connective power of social media and online platforms to initiate and facilitate the people’s need to highlight and find solutions to shared problems.

Photo by Sarah Farhat / World Bank

Considerations for Further Action

It is beyond the mandate of this paper to propose action on the open, participatory, and responsive governance agenda for the World Bank. Nonetheless, based on the research undertaken to date for this paper, measures for further action can be summarized in a few areas.

Designing and Implementing Supply-Side Targeted Information Systems

An ongoing area of study is the use of “targeted information” or “proactive transparency” as a means of achieving open, participatory, and responsive government policy objectives. Targeted information is designed and delivered with the end users’ needs in mind. It has the power to create a chain reaction of new incentives prompting citizens to act or respond — often based on research in the behavioral or social sciences. The literature suggests that providing such information can have powerful policy effects and lead to better provision of basic services.

An example given in the literature is in the U.S. automobile industry, where the implementation of a simple five-star rating on the likelihood of cars rolling over gave consumers the ability to compare risks and make decisions on which car to buy. The information was needed by buyers and fit their ability to understand it. As Fung, Graham, and Weil described it, targeted information efforts “focus on the needs, interests, and capacities of disclosing organizations. They seek to embed new facts in the decision-making routines of information users and to embed user response into the decision making of disclosers” (Fung, Graham, and Weil 2007, 2).

The role of targeted information is particularly important in the context of eliciting user feedback. By getting the supply side of the equation right, or the targeted provision of information, response from users is better assured. Insufficient attention, it is suggested, has been given to this side of the equation.

In the Philippines, for example, reviews conducted on five digital accountability platforms found that while transparency should reduce corruption by realigning incentives away from patronage and toward performance, it was of limited use without specifics that enable the public to systematically track resource flows and monitor programs “in their own backyards” (Custer et al. 2016, xii). The report went on to find that the true value of digital platforms was their ability to “inform and provoke critical conversations about how the government translates limited resources into public goods” (Custer et al. 2016, xiii). The process of disclosing large information was a critical first step, but not sufficient. Since information disclosers and

users have limited time and energy, they are likely to act on new information only if it has value to them and is compatible with the way they make their choices.

Research and Partnerships

Many respondents, both within and outside the World Bank, point to the need for research on the links between open, participatory, and responsive governance and explicit development outcomes. Such evidence of impact can be used as tools for task team leaders (TTLs) to “sell” such approaches to clients, or even, in limited borrowing capacity to “sprinkle” them into lending. Evidence is needed both on the fiscal side and on the service delivery side of operations.

A second step would be to work more closely with external partners, such as the Global Initiative for Fiscal Transparency, International Budget Partnership, and OGP, to form hubs of expertise around specific issues. These hubs can work to identify frontier areas for research and to fill gaps in expertise within institutions. They can also work to develop a more holistic approach to open government — or “intervention bundles” to go beyond the implementation of one particular instrument — and provide the continuum needed to sustain efforts.

Finally, a portfolio review of open government related efforts in World Bank operations would help articulate knowledge, research, and implementation gaps. The open government team in the GGP is undertaking this activity with an aim of setting a baseline and targets for further mainstreaming of the open, participatory, and responsive governance approaches into World Bank lending operations. Such a review should include efforts to identify activities that are classified as “citizen engagement” to advance social accountability.

Operations

The World Bank could support efforts to further integrate open, participatory, and responsive governance into core lending (i.e., public financial management and procurement). TTLs need to see such approaches as core components of their work. Or as one client remarked, they should “add a second paragraph into their project documentation that emphasizes that openness and participation is an integral part of everything they do.” This step will require awareness raising throughout the World Bank, development of how-to materials, and identification of specific entry points within the range of World Bank instruments, especially Program-for-Results (PforR) financing and Development Policy Financing (DPF). The Open Government Partnership Multi-Donor Trust Fund also provides a mechanism for linking OGP efforts with World Bank operations. Since citizen engagement activities are being implemented in all sectors and Regions, there is strong ongoing demand from World Bank staff for systemic guidance and technical support for further mainstreaming across the Global Practices.

Similarly, the World Bank could support efforts to expand interventions to include frontier mechanisms. Particularly relevant are efforts to push the envelope in open contracting; to design more targeted supply-side data portals that facilitate participation; to support laws and regulations that protect the right to assembly and freedom of information; and to learn from and implement innovative approaches being undertaken within municipalities to advance collaborative governance as well as innovative efforts involving the private sector, such as beneficiary ownership. Positive benefits of such interventions also need to be demonstrated.

The World Bank could also better leverage OGP commitments (see appendix D), external measurements, and global standards as entry points for World Bank lending. The OGP, launched in 2011, now has 79 participating countries and boasts more than 2,500 commitments to making government more transparent, inclusive, and accountable. A recent analysis by the authors found that 162 OGP commitments are linked to priority areas in the Systematic Country Diagnostic (SCD) and in the strategic objectives of Country Partnership Frameworks (CPFs) in 26 countries. To date, 161 active and pipeline World Bank projects have potential linkages to OGP commitments, with a further 265 OGP commitments tackling issues in sectors where the World Bank is actively engaged through non-GGP practices. The World Bank needs to further explore these linkages to leverage openings for lending. Similarly, the OCDS, Open Budget Index, and other globally recognized standards and rankings can be leveraged to encourage clients to adapt open governance approaches into policy and project lending.

One practical follow-up to support the operational entry points and instruments for more effective World Bank engagement in open, participatory, and responsive governance is to prepare a Policy Note to highlight the core messages and expand on them across the different levels of engagement with clients (i.e., through SCD, CPF, or DPF; a multistakeholder platform; or Investment Project Financing and PforRs). Sharing clear examples of how innovative operations are adopting open, participatory, and responsive governance approaches will help organize the entry points for clients and build the narrative on the instrumental value of these interventions.

Finally, the World Bank could strengthen links with sectoral projects in which advances have been made in incorporating citizen engagement. While the World Bank has committed to building country systems for citizen engagement, this work has primarily been done through indirect, bottom up approaches through investment projects. The literature is clear on the importance of institutional change to sustain citizen engagement, which includes creating the appropriate policy environment for transparency, participation, responsiveness, inclusion, and accountability to take place. There is an acknowledgment that the supply-side performance (enabling environment) has been weak and greater emphasis should be placed on moving ahead as well as to linking advances in sectoral investment projects to broader policy reforms (World Bank 2018).

Photo by Dominic Chavez/World Bank

Conclusion

In this paper, the authors have attempted to present a new definition of open government, which draws on the analytical work of WDR 2017 and reflects preliminary findings that the areas of participation and responsiveness — as crucial components of open, participatory, and responsive governance — need to be strengthened moving ahead. Through interviews with experts and thought leaders, the authors have attempted to identify, define, and give selective examples of the essential building blocks of open, participatory, and responsive governance; ongoing mechanisms or approaches that could benefit from further support; and new frontier areas for consideration for future uptake by the World Bank. Finally, the paper offers general action steps for advancing the open, participatory, and responsive governance agenda within the World Bank.

Based on interviews and the literature review, this paper suggests the development of how-to knowledge and supporting tools to further operationalize this agenda. In particular, the World Bank could identify entry points for integrating the essential building blocks of open, participatory, and responsive governance into its lending instruments, such as DPFs and PforRs, which seek to affect policy making and country systems. The environment in support of this agenda is rich and varied. The World Bank could benefit from renewing its commitment, leveraging expertise, and strengthening its internal skills base to undertake this effort.

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Appendix A

Member Countries of the Open Government Partnership

Seventy-nine countries are members of OGP as national members,¹ and they partner with the World Bank in different ways. OGP also welcomes 20 municipalities as local members.

Fifty-three OGP countries are borrowing members of the World Bank:

1. Afghanistan*	18. El Salvador	36. Nigeria
2. Albania	19. Georgia	37. Pakistan
3. Argentina	20. Ghana	38. Panama
4. Armenia	21. Guatemala	39. Papua New Guinea**
5. Azerbaijan	22. Honduras	40. Paraguay
6. Bosnia and Herzegovina	23. Indonesia	41. Peru
7. Brazil	24. Jamaica	42. Philippines
8. Bulgaria	25. Jordan	43. Romania
9. Burkina Faso	26. Kenya	44. Senegal
10. Cabo Verde	27. Kyrgyz Republic	45. Serbia
11. Chile	28. Liberia	46. Seychelles
12. Colombia	29. Macedonia, FYR	47. Sierra Leone
13. Costa Rica	30. Malawi	48. South Africa
14. Côte d'Ivoire*	31. Mexico	49. Sri Lanka
15. Croatia	32. Moldova	50. Trinidad and Tobago
16. Dominican Republic	33. Mongolia	51. Tunisia
17. Ecuador	34. Montenegro (inactive)	52. Ukraine
	35. Morocco	53. Uruguay

* FY19 fragile states.

** FY19 blend states.

Twenty-six OGP countries are nonborrowers:

1. Australia	10. Ireland	19. New Zealand
2. Canada	11. Israel	20. Norway
3. Czech Republic	12. Italy	21. Portugal
4. Denmark	13. Korea, Republic of	22. Slovak Republic
5. Estonia	14. Latvia	23. Spain
6. Finland	15. Lithuania	24. Sweden
7. France	16. Luxembourg	25. United Kingdom
8. Germany	17. Malta	26. United States
9. Greece	18. Netherlands	

¹ For more information, see www.consultproject.org/.

Seventeen IDA countries are OGP members:

1. Afghanistan	7. Kenya	13. Nigeria
2. Burkina Faso	8. Kyrgyz Republic	14. Pakistan
3. Cabo Verde	9. Liberia	15. Papua New Guinea
4. Côte d'Ivoire	10. Malawi	16. Senegal
5. Ghana	11. Moldova	17. Sierra Leone
6. Honduras	12. Mongolia	

Twenty local members of the OGP are:

1. Austin, United States	8. Kaduna State, Nigeria	15. São Paulo, Brazil
2. Basque Country, Spain	9. Kigoma-Ujiji, Tanzania	16. Scotland, United Kingdom
3. Bojonegoro, Indonesia	10. La Libertad, Peru	17. Sekondi-Takiradi, Ghana
4. Buenos Aires, Argentina	11. Madrid, Spain	18. Seoul, Republic of Korea
5. Elgeyo Marakwet, Kenya	12. Nariño, Colombia	19. South Cotabato, Philippines
6. Iași, Romania	13. Ontario, Canada	20. Tbilisi, Georgia
7. Jalisco, Mexico	14. Paris, France	

Appendix B

List of Persons Interviewed

Interviewees external to the World Bank:

Alan Hudson, Executive Director, Global Integrity

Blair Glencourse, Director, Accountability Lab

Courtney Tolmie, Senior Program Director, Results for Development

Dave Algozo, Consultant

Dennis Whittle, Director, Feedback Labs

Dinorah Canu-Pedraza, GovLab Academy Coordinator, NYU GovLab

Joe Foti, Director, Independent Reporting Mechanism, Open Government Partnership

Jonathan Fox, Professor, School of International Service, American University

Kathrin Frauscher, Deputy Executive Director, Open Contracting Partnership

Michael Jarvis, Executive Director, Accountability and Transparency Initiative

Michael Moses, Director of Learning and Programs, Global Integrity

Mohammed Sani Abdullahi, Commissioner, Budget and Planning, Ministry of Budget and Planning, Kaduna State, Nigeria

Munyema Hasan, Manager, Knowledge, Learning, Innovation, and Capacity Building, Open Government Partnership (OGP)

Nathaniel Heller, Executive Vice President, Integrated Strategies, Results for Development

Nilda Bullain, Vice President for Operations, International Center for Non-Profit Law

Norm Eisen, Senior Fellow in Governance Studies, Brookings Institution

Rakesh Rajani, Visiting Fellow, Center for Global Development

Sanjay Pradhan, Chief Executive Officer, OGP

Victoria Alsina, Senior Fellow, GovLab, New York University

People within the World Bank who brainstormed or were interviewed:

Asmeen Kahn, Practice Manager, EPSPA

Carolina Vaira, Senior Governance Specialist, EEAG1

Craig Hammer, Program Manager, DECDG

Fabian Seiderer, Lead Public Sector Specialist, ESAG2

Jeff Thindwa, Program Manager, Global Partnership for Social Accountability, EPSPA

Kai Kaiser, Senior Economist, EEAG1

Kimberly Johns, Senior Public Sector Specialist, EMNGU

Kristina Aquino, Research Analyst, EPRPS

Marcela Roza, Senior Public Sector Specialist, ELCG2

Nicola Smithers, Practice Manager, EA1G1

Nicholas Menzies, Senior Governance Specialist, ELCG2

Stephen Davenport, Senior Public Sector Specialist, EPSPA

Appendix C

Selected Typology for Open, Participatory, and Responsive Government

Mechanism	Definition
Access to information	The creation and implementation of access-to-information laws.
Asset disclosure	The public release of information about the financial stakes of government officials is often accompanied by conflict of interest rules to ensure public officials' decisions are not improperly affected by self-interest. Other related mechanisms include revolving door regulations and gift and hospitality rules.
Beneficiary feedback	A tool designed to solicit and respond to the views of recipients of public services with the aim of improving or evaluating the delivery of such services.
Beneficial ownership	The disclosure of individuals who ultimately possess, control, or benefit from a company and its income.
Big data	An evolving term that describes any voluminous amount of structured, semi-structured, or unstructured data having the potential to be mined for information.
Civic technology	Technologies and platforms meant to facilitate citizen feedback, foster government accountability, and create an iterative relationship between the two.
Consultations	A process by which the public's input on matters affecting them is sought.
Deliberative transparency	The participation of actors other than government policy makers in various stages of developing policies, regulations, and laws.
E-government services and information and communications technology platforms	The use of electronic communication devices, computers, or the internet to provide public services to citizens and other persons in a country or region.
Fiscal transparency	Makes available to the public high-quality information on how governments raise, spend, and manage public resources.
Grievance redress mechanism	A locally based system established by service delivery ministries, departments, and agencies to receive, assess, and address feedback and complaints submitted by citizens on programs or services.
Open and participatory public financial management	Makes data on all stages of the budget cycle (formation and expenditures) available to the public; citizens participate in stages of the budget cycle (participatory budgeting and public expenditures).

Mechanism	Definition
Open contracting	Publishing and using open, accessible, and timely information on government contracting to engage citizens and businesses in identifying and fixing problems.
Open Contracting Data Standard	A global nonproprietary standard structured to reflect the complete contracting cycle. The standard enables users and partners around the world to publish shareable, reusable, and machine-readable data, to join that data with their own information, and to build tools to analyze them.
Open data	The concept that some data should be freely available to everyone to use and republish as they wish, without restrictions from copyright, patents, or other mechanisms of control.
Open procurement	The transparent and competitive process of obtaining or buying goods and services.
Participatory audits	When citizens (civil society, academic groups, community members, the private sector, or others) and the formal audit institutions of a country work together to audit the process of delivering public services and government programs.
Targeted information (proactive transparency)	Information designed and delivered with the end users' needs in mind; aimed at soliciting responses from information receivers.

Appendix D

Examples of Commitments under the Open Government Partnership

To participate in the Open Government Partnership (OGP), eligible countries must endorse a high-level open government declaration, deliver a national action plan developed with public consultation, and commit to independent reporting on their progress going forward. In national action plans, countries include their commitments determined jointly, or co-created, by government and civil society around transparency, accountability, and citizen engagement. They co-create plans in a way that amplifies the voice of ordinary citizens and the poor. The OGP Explorer database suggests 3,855 commitments are being assessed by the Independent Reporting Mechanism.

Example summaries of successful OGP commitments from 2018 include:

PARAGUAY: HAVING A SAY IN THEIR FUTURE

Government creates 232 local councils — four times more than originally planned.

In Paraguay, a country still grappling with its authoritarian past, citizens are having a say in how projects designed to improve their local communities are being run. Representatives from government, business, and civil society work together in Municipal Development Councils to find solutions to the most important issues that impact their quality of life, from supporting traditional artisans to improving access to clean water. At least 232 councils have become active across the country's 254 municipalities since 2015.

MONGOLIA: BETTER HEALTH AND EDUCATION SERVICES FOR HERDERS

Satisfaction in healthcare increases by 28 percent.

Mongolia is the least densely populated country on Earth, presenting unique challenges for the delivery of public services. Many citizens are unaware of how to access services, let alone influence how they work. Despite the fast pace of economic growth, poverty reduction has been slow, a result of poor health and education services. Recent efforts to open government, however, are beginning to bear fruit. Newly-trained social accountability activists are helping improve services in their communities and to push the government to be more responsive to their unique needs.

KENYA: ENDING ANONYMOUS COMPANY OWNERSHIP

Kenya is one of the first in Africa, and one of about two dozen countries worldwide, to develop a public register of companies.

Kenya ranks among the most secretive places in the world for financial flows in and out of the country. According to the Global Finance Integrity Report, these illicit activities cost the Kenyan government a staggering \$3.9 billion between 2002 and 2010. In a bid to fight money laundering, tax evasion, and illicit transactions, the country committed to championing legislation that requires all companies to publish the names and addresses of their real, or “beneficial” owners. The Companies (Amendment) Act No. 28, which came into force in August 2017, is paving the way for an open beneficial ownership register that will make it easier to uncover who really profits from company earnings and harder to set up anonymous shell companies to hide dirty money. Regulations to operationalize this law were published in August 2018. All businesses incorporated in Kenya must file a document with the government disclosing the identity of individuals who ultimately own or control the company.

COLOMBIA: REBUILDING TRUST IN THE JUDICIARY

Bringing the courts closer to citizens through openness.

Until recently, Colombians had little faith in the Colombian judiciary, including the Council of State — the country’s highest administrative court — despite prior attempts at judicial reform. In 2015, when the Prosecutor’s Office arrested 11 members of the judiciary for allowing a controversial businessman accused of murder to go free, corruption in the courts became too egregious to ignore. As included in the OGP Action Plan, the government undertook reforms to improve transparency and accountability in the Council of State. For the first time, the court began publishing its agendas and past decisions online, allowing citizens and civil society to scrutinize the court’s actions for potential corruption. The reform marks a new era of openness and brings the court closer to the citizens it serves in an unprecedented way. The court also published information about procedures to improve citizens’ understanding of complex court functions.

Building Blocks and
New Frontiers for
Open Government