

## Open Government

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# OECD SURVEY ON OPEN GOVERNMENT

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### Objective

OECD member and non-member countries are designing and implementing public sector reforms inspired by the open government principles of transparency, accountability and citizen engagement. Openness has also been highlighted as a critical aspect to building trust in government and promoting inclusive growth. Yet, evidence on the development, coordination, implementation and impact of open government policies and initiatives remains insufficient.

The survey is based on more than a decade of work conducted by the OECD on open and inclusive policy making and on the results of the OECD Open Government Reviews. It is a direct response to the request to collect better data on the design and implementation of open government policies of member and non-member countries that participated in the OECD Open Government Forum, held in Paris on 30 September 2014.

Its outcome will contribute to future editions of Government at a Glance, to the OECD global relations strategy (particularly in the MENA, Latin American and Southeast Asian regions), and to the work with Key Partners, within the context of the on-going cooperation with the Open Government Partnership (OGP).

### Scope of the survey

The survey is divided in two parts:

1. Open Government coordination
2. Citizen participation in the Policy Cycle (CPPC)

In the first part of the survey (Open Government Coordination), respondents are asked to provide information and data on open government policies and practices implemented by the central government.

In the second part of the survey (Citizen Participation in the Policy Cycle - CPPC), respondents are asked to provide information and data about policies and practices aimed at involving citizens (including civil society organisations - NGOs - and representatives of the private sector) in the policy cycle. In order to collect comparable data from all countries, the second part of the survey should be answered by a representative of the following ministries: Health and Finance and one ministry of your country's choice.

YOUR INSTITUTION WILL BE RESPONDING TO PART 2 ON CITIZEN PARTICIPATION IN THE POLICY CYCLE (CPPC) ONLY.

**The deadline for responding to the survey is the Friday 30th of October 2015.**

When filling out the survey please constantly refer to the [glossary of key terms](#).



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**Country:**

**Institution:**

**Name:**

**Position:**

**Email address:**

**Telephone number:**

**Contact details of additional respondents:**



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### **PART 2: CITIZEN PARTICIPATION IN THE POLICY CYCLE**

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This part of the survey is focused on collecting information and data about policies and practices aimed at involving citizens in the policy cycle in your Ministry.

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**1. Does your Ministry have an overarching document (e.g. strategy, policy, law, internal directive/circulaire, guide, manual, etc.) on Citizen Participation in the Policy Cycle (CPPC)?**

*Please select one*

- a) Yes
- b) No, but CPPC is included in or regulated by a national document (e.g. strategy, policy, law, internal directive/circulaire, guide, manual, etc.)
- c) No

**If yes, please provide the URL link or send any relevant additional information to [katharina.zuegel@oecd.org](mailto:katharina.zuegel@oecd.org)**

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### 1.1 What kind of document is the overarching CPPC document?

*Please select one*

- a) Strategy
- b) Policy
- c) Law
- d) Internal directive/circulaire
- e) Code/Guide/Manual
- f) Other, please specify:

**Please provide the link:**

### 1.2. When was the CPPC document approved?

*Date: dd/mm/yyyy*

### 1.3. By whom was the CPPC document approved?

*Name the Institution/Office:*

### 1.4 By whom was the CPPC document drafted?

*Please select one*

- a) Cabinet of the Minister
- b) An internal committee or working group
- c) A specific office (please specify its name in the box below)
- d) External consultants
- e) Don't know

**If you answered 1.4c, please specify the name of office:**



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### B. IMPLEMENTATION

#### 2. What are the incentives for public servants in your Ministry to favour the participation of citizens in the policy cycle?

*Please select all that apply*

- a) Prize awarded
- b) Funds awarded
- c) Included in performance management
- d) None.
- e) Other. Please elaborate:

#### 2.1. Your Ministry's CPPC activities consist of: (click on as many as relevant)

- a) Involvement of citizens in the identification of policy priorities
- b) Involvement of citizens in drafting policies
- c) Involvement of citizens in the implementation of policies
- d) Involvement of citizens in providing feedback on how public services work
- e) Involvement of citizens in evaluating the impact of policies
- f) Other. Please specify:

#### 2.2 On how many instances has your Ministry carried out initiatives to involve citizens in the policy cycle in 2014?

*Please select all that apply*

	None	Please select	Don't know	
For the identification of policy priorities	<input type="checkbox"/>		<input type="checkbox"/>	<input type="text"/>
For the drafting of policies	<input type="checkbox"/>		<input type="checkbox"/>	<input type="text"/>
For the implementation of policies	<input type="checkbox"/>		<input type="checkbox"/>	<input type="text"/>
For the evaluation of policies	<input type="checkbox"/>		<input type="checkbox"/>	<input type="text"/>



### 2.3. How often have citizens participated in the policy cycle in 2014 through each of the below methods?

Please use: *Never, Sometimes (less than 50% of the cases), Often (more than 50% of the cases), and Always.*

	Always	Often	Sometimes	Never	Don't know
a) Through public meetings (i.e. ad hoc conferences or workshops requiring physical presence)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b) Through on line consultations, hosted by the website of your Ministry	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c) Through on line consultations, hosted by a dedicated central government website	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
d) Through initiatives that used social media (i.e. Facebook, Twitter, etc.) to promote CPPC	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
e) Through formal consultations (e.g. with trade unions, business associations, NGOs and consumer's associations)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
f) Through informal consultations (focus groups, telephone interviews, surveys, opinion polls, etc.)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
g) Through meetings in embassies/consulates (including survey sent to citizens living abroad)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
h) Other, please specify below	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

If selected other, please specify:

### 2.4. Are citizens systematically informed about the outcome of the CPPC initiatives in which they take part?

- a) Yes, always
- b) Yes, often (more than 50% of the cases)
- c) Yes, sometimes (less than 50% of the times)
- d) No





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### 2.5. What kind of information is publically shared?

*Click on as many as relevant*

- a) Number of participants
- b) Aggregated information about the nature of the comments/suggestions received (i.e. summary report on the most significant inputs)
- c) Aggregated information about the nature of the comments/suggestions received, including related answers
- d) Disaggregated information about the nature of the comments/suggestions received (i.e. reports with all the inputs received)
- e) Disaggregated information about the nature of the comments/suggestions received, including individual answers to each author of the comments/suggestions. Impact of the consultation on the original question (e.g. in the case of citizens' involvement in the drafting of a new policy, the changes made in the final text as result of the inputs received are publically shared)
- f) Other. Please, specify:



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**2.6. How often does your Ministry engage specifically with the below groups throughout the policy cycle? For each of the below methods, please use: Never, Sometimes (less than 50%), Often (more than 50% of the cases), and Always.**

*Please use: Never, Sometimes (less than 50% of the cases), Often (more than 50% of the cases), and Always.*

	Always	Often	Sometimes	Never	Don't know
a) General public	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b) Academic experts	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c) NGOs (including charities, consumers' associations, etc.)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
d) Youth (citizens below the age of 25 or associations representing them)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
e) Elderly (citizens aged 65 and over or associations representing them)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
f) Minorities (i.e. ethnic groups, migrants, etc. or associations representing them)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
g) People with disabilities (or associations representing them)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
h) Women (or NGOs with a specific focus on gender equality)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
i) Trade unions and business associations	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
j) Private companies	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
k) Targeted service users	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
l) Citizens abroad	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
m) Other (please specify in the box below)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

**2.7. If you answered that you engaged with the groups labeled in d/e/f/g/h or k, please briefly describe a relevant initiative implemented to favour participation of youth, elderly, minorities, people with disabilities, women or targeted service users. If possible, include links to websites, publications or other documents explaining the practice. Please also use this box to specify your answer to m) other.**





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### C. COMMUNICATION

#### 3. How does your Ministry provide information regarding CPPC initiatives (including information about opportunities to engage in CPPC and/or about their results)?

*Click on as many as relevant:*

- a) Official government/ministry publication or “gazette”
- b) Website of the ministry
- c) Central government website
- d) Social media (government accounts)
- e) Traditional media (newspapers, TV, radio, etc.)
- f) Individual communications to selected participants
- g) Other. Please specify:



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### D. MONITORING AND EVALUATION (M&E)

#### 4. Does your Ministry evaluate CPPC initiatives?

*Please select one*

- a) Yes, all
- b) Yes, some (at least 50%)
- c) Yes, few (at least 25%)
- d) No



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### 4.1. What does your Ministry evaluate?

Please specify

- |   |                          |                      |
|---|--------------------------|----------------------|
| a) Inputs (e.g. selection of the participants, communication strategy, incentives, etc.).   | <input type="checkbox"/> | <input type="text"/> |
| b) Outputs (e.g. number of participants, number of comments received, gender balance, diversity of participants, etc.)              | <input type="checkbox"/> | <input type="text"/> |
| c) Outcomes (e.g. quality of the comments, impact on the quality of the final draft of the policy submitted to consultation, etc.). | <input type="checkbox"/> | <input type="text"/> |
| d) Methodology (clarity of the questions, user-friendliness of the webpage, quality of the survey, etc.).                           | <input type="checkbox"/> | <input type="text"/> |
| e) Economic viability (e.g. costs, value for money, pertinence of the methodology chosen).  | <input type="checkbox"/> | <input type="text"/> |
| f) Other aspects  | <input type="checkbox"/> | <input type="text"/> |
| g) i don't know   | <input type="checkbox"/> | <input type="text"/> |

### 4.2. How does your Ministry evaluate CPPC initiatives

*Click on as many as relevant.*

- a) Internal assessment (i.e. evaluation conducted by your Ministry of the elements in question 4.1)
- b) Survey among citizens that took part in the consultation
- c) Survey for the general public on the quality of the policy on which a consultation was organised.
- d) Independent assessments conducted by NGOs
- e) Independent assessments conducted by private companies
- f) Other. Please specify:

### 4.3. Does your Ministry communicate the results of your evaluations?

- a) Yes, they are publicly available
- b) Yes, only to those that took part in the consultation
- c) Yes, only within the Ministry/Government
- d) No
- e) Other. Please, specify:

**4.4. Has your Ministry used the results of the evaluations conducted in order to improve future CPPC?**

- a) Yes.
- b) No
- c) Don't know.



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**If your government used the results of the evaluation to improve future CPPC, please describe one concrete example that took place in 2014.**

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### E. COORDINATION

**5. Is there an office/committee (or other types of horizontal coordination and outreach mechanisms) responsible for the overall coordination of the CPPC initiatives that took place in your Ministry?**

- a) Yes, it is an office within the ministry.
- b) Yes, it is an ad hoc horizontal coordination and outreach mechanism (e.g. a committee).
- c) No, each CPPC initiatives are planned and implemented autonomously.

#### 5.1 Is this office:

Please select one

a) Primarily focused on CPCC initiatives. Please specify name and functions:

Please, specify name, function and the other activities:

b) Coordinates CPCC initiatives as part of larger portfolio activities. Please, specify name, function and other activities:



#### 5.2 Is this horizontal coordination and outreach mechanism formed of:

Please select one

a) Representatives of various departments/offices within your Ministry **only**, which are concerned with planning and implementing CPCC activities. Please describe its composition and functions:

Please, specify name, function and the other activities:

b) Representatives of various departments/offices within your Ministry **and** representatives of citizens (i.e. NGOs, business associations, trade unions, etc.). Please describe its composition and functions:



c) Other, please specify:



#### 5.3. If you answered 5.2b, how are the citizens' representatives selected?

- a) Self-selection, following an open call for interest
- b) Self-selection among those invited by the Ministry
- c) Nomination by the ministry

#### 5.4 In your Ministry, the members of the committee responsible for horizontal coordination and outreach are at

... in your ministry, the members of the committee responsible for international coordination and outreach are at  
**the level of:**

*Please select all that apply*

- a) Cabinet
- b) Director
- c) Technical level

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### F. FUNDING

#### 6. How are the funds for the implementation of CPPC initiatives provided?

*Please select as many as appropriate*

- a) Funds are provided by a central government institution
- b) Funds are existing funds provided by the Ministry
- c) Funds are provided (entirely or in part) by the European Commission
- d) Funds are provided (entirely or in part) by donors or multilateral organisations (e.g. UN, World Bank)



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### G. HUMAN RESOURCES

**7. In your Ministry are there initiatives to increase awareness of CPPC activities among its employees?**

- Yes
- No

**7.1. In your Ministry are there initiatives to increase the capacity to implement CPPC activities among the Ministry's employees in charge of them?**

- a) Yes
- b) No

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### 7.2. How does your Ministry promote the successful implementation of CPPC initiatives among the Ministry's employees?

- a) By providing ad hoc training
- b) In facilitating the enrolment of the Ministry's employees in training courses on CPPC
- c) By developing ad hoc manuals / codes of conduct
- d) By including the capacity to organise CPPC initiatives in the HR competency framework
- e) By including the implementation of CPPC activities in public officials' performance agreements and/or evaluations, and accountability frameworks
- f) By requiring officials to regularly report publicly on progress made in implementing CPPC initiatives
- g) By requiring officials to regularly report internally on progress made in implementing CPPC initiatives
- h) By giving other types of incentives. Please specify:





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### H. CHALLENGES

#### 8. In your Ministry, what are the 5 main challenges in successfully implementing CPPC initiatives?

Please rank them in priority order (with "first" being the most important challenge

	a) Citizens are not informed about CPPC opportunities (i.e. the current communication strategy of the Ministry does not reach a sufficient number of stakeholders).	b) Lack of or insufficient citizens' interest	c) Lack of or insufficient capacity of non-governmental (NGOs and private sector) stakeholders involved	d) Lack of or insufficient requirements for public officials to implement CPPC initiatives	e) Lack of or insufficient incentives for public officials to implement CPPC initiatives	f) Lack of or insufficient awareness among public officials of the value added of CPPC practices	g) Lack of or insufficient financial resources	h) Lack of or insufficient human resources	i) Lack of or insufficient capacities in the Ministry	j) Other. please, specify below
1	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
2	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
3	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
4	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
5	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

If selected other, please specify:

#### 8.1. In the CPPC activities organised by your Ministry, which groups participate the least and why? Click on as many as relevant.

Click on as many as relevant.

- a) General public (i.e. citizens).
- b) NGOs.
- c) Private sector
- d) Other. Please, specify:





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**According to you, what are the main reasons for the low participation of the general public (citizens)?**

- (1) Lack of capacity
- (2) Lack of information
- (3) Lack of interest to engage
- (4) Negative factors associated with citizens' engagement (i.e. social stigma, potential retaliation for negative feedbacks, loss of time, etc.)
- (5) I don't know
- (6) Other. Please, specify:



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**According to you, what are the main reasons for the low participation of NGOs?**

- (1) Lack of capacity
- (2) Lack of information
- (3) Lack of interest to engage
- (4) Lack of funds
- (5) Negative factors associated with citizens' engagement (i.e. social stigma, potential retaliation for negative feedbacks, loss of time, etc.)
- (6) I don't know
- (6) Other. Please, specify:



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**According to you, what are the main reasons for low participation of the private sector?**

- (1) Lack of capacity
- (2) Lack of information
- (3) Lack of interest to engage
- (4) Negative factors associated with citizens' engagement (i.e. social stigma, potential retaliation for negative feedbacks, loss of time, etc.)
- (5) I don't know
- (6) Other. Please, specify:



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### ANNEX: INNOVATIVE PARTICIPATION CASE

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The objective of this part of the survey is to collect innovative practices of citizen participation in the policy cycle (CPPC).

**Innovative CPPC case:** Describe one case that your government has implemented where you used an innovative practice to enable citizen participation in the policy cycle (CPPC). The case could involve the development/drafting/implementation and/or evaluation of a strategy, policy, law/regulation or public service (referred to in the survey as the output).

Please refer to the help notes when responding to the questions: [Help notes.pdf](#).

### A. CASE DESCRIPTION

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### A.1 Name of the case:

### A.2. If available, please provide a link that gives further information about the case:

### A.3. What year was this case launched?

Select:

### A.4. What does your case refer to (policy cycle of a...):

*Please select all that apply*

- Strategy
- Policy
- Law/Regulation
- Public service
- Other, please specify:

### A.5. Please describe the approach used to engage citizens in this case:

*Please refer to the accompanying "Help notes"*

### A.6 Please indicate the main participants who participated in this case:

*Please provide an estimated number of participants where possible*

### A.7 Please describe any efforts undertaken to reach out to particular groups and tick all relevant issues:

Please select all that apply

Please describe the efforts undertaken in more details:

Women (or associations with a specific focus on gender equality)	<input type="checkbox"/>	
Minority rights (i.e. ethnic groups, migrants, LGBTIQ, other)	<input type="checkbox"/>	
People with disabilities	<input type="checkbox"/>	
Youth (citizens below the age of 25 or associations representing them)	<input type="checkbox"/>	
Elderly (citizens aged 65 and above or associations representing them)	<input type="checkbox"/>	
Citizens abroad	<input type="checkbox"/>	
Other, please specify:	<input type="checkbox"/>	

### A.8 Please tick all stages of the policy cycle your participation exercise referred to:

Please select all that apply

- Involvement of citizens in the identification of policy priorities
- Involvement of citizens in drafting policies
- Involvement of citizens in the implementation of policies
- Involvement of citizens in providing feedback on how public services work
- Involvement of citizens in evaluating the impact of policies
- Other, please specify:

### A.9 Why did your institution decide to engage with citizens?

Please refer to accompanying "Help notes"





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### B. RESOURCES

**B.1 Please describe the human resources involved in implementing the participation exercise in this case (i.e. size of team, full time or part-time, duration):**

**B.2 Please provide an estimate of the financial costs for conducting the participation exercise (include information if it was co-funded, by whom and to what extent):**



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### C. PARTNERSHIPS

#### C.1 Did you partner with any actors?

*If yes, please include partner's name, sector, and the nature of the partnership. Answers may include multiple partnerships.*

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### D. RESULTS

#### D.1 What results had this participation approach have in this case?

*Please refer to the accompanying "Help notes"*

#### D.2 Has the participation approach for this case been evaluated?

*Please select one*

- Yes
- No

#### Please describe in more details the evaluation process used and the results.

*Performance measurement or indicators may be included here.*

**If possible, please provide a link to further information on the evaluation:**



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### E. LESSONS LEARNED

#### E.1 What lessons from your experience would you like to share with other countries?

*Please include what worked well and less well*

#### E.2 Is there any other information that you would like to share about your case?



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Thank you for taking the survey.