

Open Government

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OECD SURVEY ON OPEN GOVERNMENT

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 1 ON OPEN GOVERNMENT COORDINATION ONLY

Guidelines to respond to the survey

Delegates are asked to kindly nominate a single point of contact (SPOC) to coordinate the national responses to both parts of the survey. In particular the SPOC will be in charge of collecting the necessary information to answer the first part of the survey and to identify a respondent in each of the above mentioned ministries to answer the questions of the second part. He/she will liaise with the OECD and the respondents, facilitate contacts, during and immediately after final submission, should any further clarification or verification be needed during the data cleaning process.

The focal point of Open Government Partnership (if applicable), or the institution leading cross-government coordination in open government policymaking and implementation, is suggested as the SPOC of the whole survey.

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 1: OPEN GOVERNMENT COORDINATION

This part of the survey focuses on information and data on open government policies, practices and initiatives implemented by the central government.

1. Does your Government have a single official definition of Open Government?

- a) Yes, a definition created by your own government.
- b) Yes, a definition adopted from an external source (e.g. the OECD or the Open Government Partnership's Definition).
- c) No single official definition is used.



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Please provide the definition and, if not produced by your government, please indicate where it was taken from:



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1.1. Does your country have a single national Open Government Strategy ?

- a) Yes
- b) No, but open government initiatives are integrated in other strategies.
- c) No, there is no single strategic document including open government initiatives nor are they integrated in other strategies



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Please send the strategy via email to: Katharina.ZUEGEL@oecd.org or provide the URL link below:



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1.3. When was the Open Government Strategy approved?

dd/mm/yyyy

1.4. By whom was the Open Government strategy approved?

Name of the institution

1.5. By whom was the Open Government strategy developed?

Name of the Institution:

1.6. Was the Open Government strategy developed through an inclusive and participative process?

- a) Yes
- b) No

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1.7. What actors were involved in the development of your Open Government Strategy?

Click as many as relevant

- a) Concerned central government institutions (please specify below).
- b) Citizens
- c) Organised civil society / NGOs?
- d) Academic Institutions
- e) Media / Journalists
- f) Organised professional groups (trade union, employers'/business associations etc.)
- g) International Organisations
- h) OGP Support Unit
- i) Others, please specify:

Please specify the concerned central government institutions:

1.8. What kind of consultations (i.e. what methodology) did your Government use in the development of your Open Government Strategy?

Click as many as relevant

- a) Town hall meetings open to citizens
- b) Focus Groups
- c) Expert panels
- d) Surveys
- e) Meetings with interest groups, NGOs (i.e. consumers' association, representatives of the private sector, specialised NGOs such as Transparency International, etc.)
- f) On line consultations
- g) Consultation through the creation of an ad hoc coordination, networking and outreach mechanism (more on this from question 3.5)

- h) Others, please specify:

1.9. Did your Government implement specific measures to ensure the participation of any of the below categories?

Click as many as relevant

- a) Women (or NGOs with a specific focus on gender equality)
- b) Elderly (citizens aged 65 and over)
- c) Minorities i.e. ethnic groups, migrants, etc., (please specify below)
- d) People with disabilities
- e) Citizens living abroad
- f) No
- g) Other, please specify:

Please specify the minorities involved:

1.10. Please describe the measures implemented to ensure the participation of one or more of the categories of 1.9:

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1.2. In which of the below official legal frameworks/policies/strategies does your country include open government initiatives?

Click on as many as relevant:

- a) Public Sector Reform
- b) Access to/ Freedom of Information
- c) Digital Government
- d) Integrity and Anti-Corruption
- e) Civil Service / Human Resource Management
- f) Gender equality and mainstreaming
- g) Public Financial Management (i.e. open and/or participatory budgeting)
- h) Constitution
- i) Other. Please, specify:

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1.11. Which of the below initiatives on open government is your country currently implementing or has it already implemented?

Click on as many as relevant:

- a) Initiatives based on the implementation of your country's Access to Information law
- b) Digital Government policies and initiatives (including open government data initiatives)
- c) Open Science Initiatives (Open science refers to opening up academic and scientific research from its original idea to finalisation, including open data, open source, open methodology, open peer review, open access, open educational resources)
- d) Integrity and Anti-Corruption policies and initiatives (including whistleblowing, lobbying and asset disclosure provisions)
- e) The production of open government related laws and regulations (i.e. open government directives)
- f) The production and/or implementation of a manual on citizens' participation
- g) Budget transparency, openness and accessibility (e.g. Citizen's Budgets, open budget data, web-based budget accessibility tools)
- h) Inclusive and participatory budgeting (i.e. consultative and inclusive approaches to engaging stakeholders in budget policy-making)
- i) Initiatives implemented in compliance with constitutional provisions
- j) Initiatives on Aid Transparency
- k) Initiatives on Citizens' Consultation
- l) Initiatives on Citizen Participation in Policymaking
- m) Initiatives on Citizen Participation in Service Design
- n) Citizen Participation in Service Delivery
- o) Initiatives on Legislative Openness
- p) Initiatives on the transparency of the use of Natural Resources (including the Extractive Industries Transparency Initiative)
- q) Initiatives on Political Financing
- r) Initiatives on Public Procurement
- s) Initiatives on the openness and transparency of the Civil Service

- t) Initiatives on Gender Equality and Mainstream
- u) Initiatives on Youth
- v) Initiatives on Minority Rights (i.e. rights of migrants, refugees, people with disabilities, LGBTQ, etc.)
- w) Initiatives to be implemented at sub-national levels
- x) Open Government innovation labs
- y) Others. Please specify:

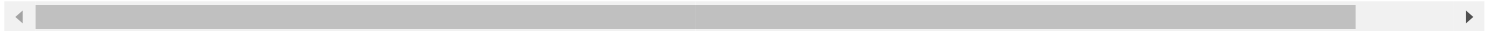
Please specify the initiatives on minority rights:

1.12. What are the national policy objectives that your Government intends to achieve by implementing open government initiatives?

Please rank the 5 most important in priority order (with "first" being the most important priority).

If other, please sp

	a) Improve the transparency of the public sector	b) Improve the transparency of the private sector	c) Improve the accountability of the public sector	d) Improve the effectiveness of the public sector	e) Improve the efficiency of the public sector	f) Improve the responsiveness of the public sector to the needs of citizens and business	g) Improve citizen participation in policymaking	h) Prevent and fight corruption	i) Increase trust in public institutions	j) Generate economic growth	k) Other, please specify	
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B. MONITORING & EVALUATION

2. Does your Government monitor the implementation of open government initiatives?

- a) Yes
- b) No

2.2. Does your Government specifically evaluate the impact of open government initiatives?

- a) Yes
- b) No



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2.1. How does your Government monitor the implementation of open government initiatives?

Click as many as relevant.

- a) Through a single institution/office in charge of monitoring all open government initiatives of the Government (please specify below)
- b) Through an ad hoc monitoring mechanism (please specify below)
- c) Through the normal monitoring activities of each public institution involved in open government initiatives
- d) Through OGP assessments (self-assessment and IRM, if your country is part of OGP)
- e) Other, please specify:

If selected options a or b above, please specify:

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2.3. How does your Government evaluate the impact of its open government activities?

- a) Through an ad hoc evaluation mechanism focusing on impacts. Please, specify:
- b) Through the normal evaluation activities of each public institution involved in the Open Government Strategy
- c) Through surveys among citizens and stakeholders
- d) Through surveys among public officials
- e) Through government conducted studies on the impact of open government initiatives in specific areas (i.e. on trust, economic gains, corruption, quality of public services etc.)
- f) Through independent assessments conducted by NGOs
- g) Through independent assessments conducted by private companies
- h) Through the OGP assessments (self-assessment and IRM)
- i) Other, please specify:

If you use ad hoc evaluation mechanisms, please specify:

2.4. Does your Government communicate the results of your evaluations?

- a) Yes
- b) No



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2.5. Are the results of your Government's evaluations:

- a) Publicly available
- b) Only available to selected government officials
- c) Other. Please, specify:



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2.6. Have the results of these evaluations been used to improve the impact and future design of your Government's open government initiatives?

- a) Yes, please give one or more concrete examples below:
- b) No
- c) Don't know

Please provide more concrete examples:

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C. COORDINATION

3. Is there an office responsible for horizontal coordination of open government initiatives?

- a) Yes
- b) No

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Please specify the name of the office and institution responsible for horizontal coordination of open government initiatives:

3.1. Is this office:

- a) Newly created stand alone unit and tasked primarily to focus on Open Government issues.
- b) Newly created unit within an office with a larger portfolio (i.e. e-government office, etc.)
- c) Already existing and tasked primarily to focus on Open Government issues.
- d) Already existing and addresses open government as part of a larger portfolio (i.e. e-government office, etc.)
- e) Other, please specify:

3.2. Where is this office placed?

- a) In the Office of the Head of Government
- b) In the Cabinet Office/Chancellery/Council of Ministers, etc.
- c) In the Ministry of Finance
- d) In the Ministry of Interior
- e) In the Ministry of Public Administration
- f) Other. Please specify:

3.3. What is the level of this office?

- a) Secretary General / Director general level (highest non-elected public official in the institution).
- b) Director level
- c) Technical level
- d) Other. Please specify:

3.4 What are the responsibilities of this office

Please select all that apply

- a) Develop the open government strategy
- b) Assign some financial resources for its implementation
- c) Coordinate the implementation of Open Government initiatives
- d) Monitor implementation
- e) Evaluate impact
- f) Communicate the reforms
- g) Other, please specify:

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3.5. What is the mechanism used by your Government to coordinate open government initiatives?

- a) Coordination happens through the creation of an ad hoc mechanism such as an Open Government Committee (for more information see Glossary). Please describe it in the box below and provide supporting documents (i.e. such as a decree, webpage, etc.)
- b) Coordination happens at the sector level (e.g. the Ministry of Health coordinate its open government initiatives with hospitals and NGOs in the health sector)
- c) Coordination happens at the project level on areas of joint responsibilities between two or more institutions (e.g. Ministry of Finance, Ministry of Social Affairs and selected NGOs collaborate on a project to promote gender budgeting)
- d) Each ministry implements open government initiatives autonomously with no horizontal coordination (e.g. Ministry of Environment launches a public consultation to draft its strategy to improve air quality across the country)

Please provide more details on this mechanism:

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3.6. Which of the below are among its members?

Please select as many as appropriate.

- a) Local governments
- b) Independent institutions
- c) Private sector
- d) Trade unions
- e) NGOs
- f) Parliament / Legislative Branch
- g) Judiciary Branch
- h) Other, Please elaborate:



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Which of the following independent institutions participate in ad hoc mechanisms to coordinate open government initiatives:

- a. Audit Court
- b. Anti-Corruption Agency
- c. Ombudsman Office
- d. Other. Please elaborate

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3.7. How were the private sector organisations selected?

- a) Self-selection
- b) Government invitation
- c) Government nomination
- d) Other. Please specify:

3.7. How were the trade unions selected?

- a) Self-selection
- b) Government invitation
- c) Government nomination
- d) Other. Please specify:

3.7. How were the NGOs selected?

- a) Self-selection
- b) Government invitation
- c) Government nomination
- d) Other. Please specify:



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3.8. What are the responsibilities of this coordination and outreach mechanism?

click on as many as relevant:

- a) Support the development of the open government strategy
- b) Assign financial resources for its implementation
- c) Coordinate the implementation of Open Government initiatives
- d) Monitor implementation
- e) Measure impact
- f) Communicate the reforms
- g) Other. Please, specify

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D.COMMUNICATION

4. In relation to your country's open government initiatives, how do you inform public servants about their existence, scope, etc.

Please select all that apply

- a) Publication in official gazette
- b) Internal circular
- c) Training seminars
- d) None of the above
- e) Other. Please specify

4.1. How do you inform the general public?

Click on as many as relevant

- a) Publication in official gazette
- b) Traditional media (print, radio, TV)
- c) Online and social media
- d) National conferences
- e) None of the above
- f) Other. Please specify:

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E.FUNDING

5. How are the funds allocated to the implementation of open government initiatives?

Click on as many as relevant:

- a) Funds are allocated by a single central institution in charge of funding all or most of open government projects
- b) Funds are allocated by the institutions responsible for implementing each project
- c) Funds are provided by the private sector
- d) Funds are provided by the EU
- e) Funds are provided by donors or multilateral organisations (i.e. UN agencies, World Bank, IADB, ADB, etc.)
- f) No specific funds are provided
- g) Other, please specify:

5.1.The funds allocated to open government projects are managed and spent by:

Select as many as necessary:

- a) A central body.
- b) The institutions responsible for implementing each project
- c) Selected NGOs
- d) Selected private companies
- e) European Commission
- f) Multilateral organisations (UN, World Bank, etc.)
- g) Other. Please, specify :

If selected a central body, please specify:

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F. HUMAN RESOURCES

6. How does your Government develop the capacities of public officials to endorse open government principles (i.e. transparency, accountability, etc.) and successfully implement open government initiatives (i.e. consultations, e-participation, etc.)?

Please select all that apply

- a) By adding courses on open government principles and practices in the curriculum of national schools of public administration
- b) By including open government principles in a common public sector values framework
- c) By developing ad hoc manuals / codes of conduct
- d) No specific actions have been taken so far
- e) Other, please specify:

6.1. How do you promote the implementation of your country's open government initiatives through HRM policies?

Please select all that apply

- a) By including open government principles and practices in the HR competency framework
- b) By including the implementation of open government principles and practices in public officials' performance agreements and/or evaluations, and accountability frameworks
- c) By requiring officials to regularly report publicly on progress made in implementing open government principles and practices
- d) By requiring officials to regularly report internally on progress made in implementing open government principles and practices
- e) No specific actions have been taken so far
- f) By giving other types of incentives. Please specify



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G. CHALLENGES

7. What are the 3 main challenges in coordinating Open Government policies and initiatives?

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

	a) Lack of or insufficient mandate for the coordinating institution	b) Lack of or inadequate strategy for the coordinating institution	c) Lack of or insufficient incentives (career, financial, etc.) among government institutions to coordinate	d) Lack of or insufficient financial resources for the coordinating institution	e) Lack of or insufficient human resources for the coordinating institution	f) Lack of or insufficient capacities in the coordinating institution	g) Lack of or insufficient political will / leadership	h) Lack of or inadequate institutional mechanisms to collaborate with NGOs and private sector (e.g. the legal, financial, or management frameworks)	i) No particular challenges in coordinating open government policies and initiatives	j) Other, please elaborate below
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If you selected other, please specify:

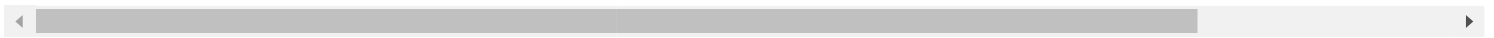
7.1. What are the 5 main challenges in implementing Open Government initiatives?

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

	a) Absence of a national open government strategy	b) Lack of or insufficient coordination among main public stakeholders	c) Lack of or insufficient communication/awareness of the benefits of open government reforms among public officials	d) Lack of or inappropriate implementation mechanisms (e.g. lack of appropriate management tools)	e) Lack of or insufficient financial resources	f) Lack of or insufficient human resources	g) Lack of or insufficient capacities in the civil service	h) Lack of or insufficient capacities of non-governmental stakeholders (NGOs and private sector)	i) Insufficient number of non-governmental stakeholders (NGOs and private sector)	j) Lack of trust (between government and citizens / NGOs)	k) General resistance to change/reform in the public sector
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If you selected other, please specify:





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H. CITIZEN PARTICIPATION IN THE POLICY CYCLE (CPPC)

8. Does your Government have an overarching document (e.g. a strategy, policy, directive/circulaire, code, guide, manual, etc.) focusing on Citizen Participation in the Policy Cycle (CPPC)?

- Yes
- No

Please provide the URL link in this box or send any relevant information to katharina.zuegel@oecd.org:



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Thank you for taking the survey.