OECD Studies on Public Engagement

Focus on Citizens

PUBLIC ENGAGEMENT FOR BETTER POLICY AND SERVICES

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Foreword

At the 2005 OECD Ministerial Meeting on Strengthening Trust in Government, held in Rotterdam, The Netherlands, ministers agreed that governments need to do better at engaging with citizens if they are to build trust while designing and delivering better public policy and services. In the words of the Chair, Mr. Alexander Pechtold (former Minister for Government Reform of the Netherlands): "Strengthening trust of citizens has, quite simply, become a matter of survival for open, democratic government" (OECD, 2005d).

In response to this ministerial call to action, the OECD's Public Governance Committee launched a two-year cross-cutting project on "Open and Inclusive Policy Making" in early 2007 which drew upon a wide range of expertise within the OECD Directorate for Public Governance and Territorial Development – from budgeting and regulatory reform to regional and urban development. The project was led by a Steering Group composed of government representatives from 10 OECD member countries – Austria, Czech Republic, Finland, Korea, The Netherlands, Norway, Slovak Republic, Switzerland, Turkey, UK – as well as Slovenia, as an observer to the OECD Public Governance Committee. Meetings of the Steering Group also drew additional observers, such as representatives from France, New Zealand and the European Commission.

The Steering Group designed a survey for governments of OECD member countries to review their legal and institutional frameworks, goals and progress made to date in ensuring open and inclusive policy making. To complement government self-reporting, an abridged version of the survey questionnaire was also distributed to civil society organisations (CSOs) via national governments and was returned by 54 CSOs from 14 countries. A set of country case studies highlighting concrete experience in 14 OECD member countries provide valuable insights to complement the comparative information collected with the survey. A collection of original essays from 18 leading thinkers and practitioners, drawn from around the world, adds further depth and nuance to what is, in essence, an ongoing debate. Finally, this report offers a set of ten "Guiding Principles for Open and Inclusive Policy Making" to improve future practice.

This report draws heavily upon the insights gained, and guidance received, during regular meetings of the Steering Group on Open and Inclusive Policy Making. The report was prepared by Joanne Caddy of the OECD Directorate for Public Governance and Territorial Development. The report is published on the responsibility of the Secretary-General of the OECD.

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* See Annex C for a full list of Steering Group members.
** See Annex D for a full list of civil society organisations responding to the OECD questionnaire.

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Executive Summary

Public engagement is a condition for effective governance

Governments alone cannot deal with complex global and domestic challenges, such as climate change or soaring obesity levels. They face hard trade-offs, such as responding to rising demands for better quality public services despite tight budgets. They need to work with their own citizens and other stakeholders to find solutions.

At the same time, more educated, well-informed and less deferential citizens are judging their governments on their "democratic performance" (the degree to which government decision-making processes live up to democratic principles) and their "policy performance" (their ability to deliver tangible positive outcomes for society).

Open and inclusive policy making is most often promoted as a means of improving democratic performance. For good reason too, as it enhances transparency and accountability, public participation and builds civic capacity.

Yet open and inclusive policy making can do much more. It offers **a way for governments to improve their policy performance** by working with citizens, civil society organisations (CSOs), businesses and other stakeholders to deliver concrete improvements in policy outcomes and the quality of public services.

This report reviews open and inclusive policy making in OECD countries based on survey responses from 25 national governments and 54 CSOs from 14 countries. Fourteen in-depth country case studies illustrate current practice while short opinion pieces from 18 government and civil society practitioners provide rich insights into current challenges. Finally, the report offers a set of ten "Guiding Principles for Open and Inclusive Policy Making" to improve future practice.

Open and inclusive policy making helps improve public policy and services

Open and inclusive policy making is transparent, accessible and responsive to as wide a range of citizens as possible. **Openness** means providing citizens with information and making the policy process accessible and responsive. **Inclusion** means including as wide a variety of citizens' voices in the policy making process as possible. To be successful, these elements must be applied at all stages of the design and delivery of public policies and services.

OECD member countries' experience indicates that open and inclusive policy making can improve policy performance by helping governments to:

- Better understand people's evolving needs, respond to greater diversity in society and address inequalities of voice and access to both policy making processes and public services.
- Leverage the information, ideas and resources held by businesses, CSOs and citizens as drivers for innovation to tackle complex policy challenges and improve the quality of public services.
- Lower costs and improve policy outcomes by galvanising people to take action in policy areas where success crucially depends upon changes in individuals' behaviour (*e.g.* public health, climate change).
- Reduce administrative burdens, compliance costs and the risk of conflict or delays during policy implementation and service delivery.

Beyond open, towards inclusive policy making

Openness, while necessary, is not sufficient to ensure inclusive public participation. Inclusion is important for reasons of efficacy and equity. **Efficacy**, because the true value of opening up policy making lies in obtaining a wider range of views (beyond the "usual suspects") as input for evidence-based decision-making. **Equity,** because defining the "public interest" in a democracy requires governments to make extra efforts to reach out to those who are least equipped for public participation (*e.g.* new citizens, youth).

Granted, there are many good reasons for people not to participate in policy making and public service design and delivery. Two broad groups may be identified:

- **People who are "willing but unable"** to participate for a variety of reasons such as cultural or language barriers, geographical distance, disability or socio-economic status; and
- **People who are "able but unwilling"** to participate because they are not very interested in politics, do not have the time, or do not trust government to make good use of their input.

To engage the "willing but unable", governments must invest in lowering barriers (*e.g.* by providing multilingual information). For the "able but unwilling", governments must make participation more attractive (*e.g.* by picking relevant issues, providing multiple channels for participation, including face-to-face, online and mobile options). Above all, governments must expect to "go where people are" when seeking to engage with them, rather than expecting people to come to government.

OECD countries report mixed progress

In 2001, the OECD published a set of ten guiding principles for information, consultation and active participation in policy making, which have since been widely cited and used. They cover: **commitment, rights, clarity, time, objectivity, resources, co-ordination, accountability, evaluation** and **active citizenship** (OECD, 2001a). In 2007, the OECD asked governments which of these guiding principles they had found easiest to apply and which they had found most challenging. A total of 23 OECD member countries, plus the European Commission, Chile and Slovenia, responded and the results were revealing.

Rights, active citizenship and commitment are established…

The majority (58%) of respondents reported that, over the past six years, greatest progress had been made in establishing **rights**. Indeed, all 30 OECD countries (except Luxembourg, where drafting is underway) now have legislation to ensure rights of access to information. The second most important area of progress was that of **active citizenship**, cited by over a third (38%) of respondents, followed by **commitment**, cited by a quarter (25%).

… but resources, time and evaluation are lacking

When asked which principles proved hardest to apply, almost half the respondents (45%) pointed to a lack of **resources** while over a third (36%) saw **time** factors as the most challenging. Almost a third (32%) felt that **evaluation** was the hardest. Overall, governments appear to be saying: "we have established rights, we have active citizens and a commitment to engage them in policy making but we face challenges of resources, time and a lack of evaluation."

Maximising benefits and limiting costs…

Measures to ensure openness and inclusion in policy making take time, effort and public funds. The vast majority of respondents reported investing most in **communication** (*e.g.* advertising initiatives). Next was **knowledge** (*e.g.* guidelines, handbooks). Far behind in an equal last place, came investments of more tangible resources: **people** (*e.g.* trainers) and **money** (*e.g.* grants). Clearly, there is a large gap between today's modest investments in "awareness-raising" and what will be required to raise professional standards and ensure mainstreaming.

… while mitigating risks for government

Governments also see the risks inherent in open and inclusive policy making. For example, almost half the respondents (48%) saw it as likely to **delay decision making**. Other risks include that of special interest groups "**hijacking**" **the process** (39%); people becoming **confused about the role of politicians** in the process (35%); higher **administrative burdens** (30%); **conflicts** among participants (22%) and **consultation fatigue** (17%). Very few respondents (4%) felt that there was a risk of **diminishing citizens' trust** in government.

Yet **poor performance engenders its own risks**. While often successful, open and inclusive policy making exercises can also be expensive failures – wasting public funds and goodwill. Concentrating scarce resources on designing meaningful public engagement processes that can make a difference is the best place to start.

Governments now need to invest in improving performance

The value of open and inclusive policy making is now widely accepted among OECD countries. Translating that commitment into practice remains a challenge. Governments now need to:

- **Mainstream public engagement to improve policy performance.** Real investments are needed to embed open and inclusive policy making as part of government's "core business", build skills among civil servants and establish a supportive political and administrative culture.
- **Develop effective evaluation tools.** Evaluating the quality of open and inclusive policy making processes and their impacts is a new frontier for most governments. Countries need to pool their efforts to develop appropriate evaluation frameworks, tools and training.
- **Leverage technology and the participative web.** Blogs, wikis and social media (also known as Web 2.0) do not automatically deliver public engagement. The conceptual models underpinning the participative web (*i.e.* horizontal *vs.* vertical; iterative *vs.* sequential; open *vs.* proprietary; multiple *vs.* binary) may be more powerful, and of wider application, than the tools themselves.
- **Adopt sound principles to support practice.**"One size fits all" is not an option. To be effective, open and inclusive policy making must be appropriately designed and context-specific for a given country, level of government and policy field. Yet a robust set of principles can guide practitioners when designing, implementing and evaluating their initiatives.

Survey responses from both governments and CSOs have confirmed the enduring validity of the original 2001 guiding principles. Based on discussions among OECD member countries, this report adds a new principle on "inclusion", subsumes the principle on "objectivity" under other headings and offers the updated set of ten "**Guiding Principles for Open and Inclusive Policy Making**" as a common basis on which to adapt practice to each country's context (see Box 0.1).

Whatever their starting point, governments in all countries are at a crossroads. To successfully meet the policy challenges they face requires a shift from "government-as-usual" to a broader governance perspective. One which builds on the twin pillars of openness and inclusion to deliver better policy outcomes and high quality public services not only for, but with, their citizens.

Box 0.1. **GUIDING PRINCIPLES FOR OPEN AND INCLUSIVE POLICY MAKING**

OECD countries recognise that open and inclusive policy making increases government accountability, broadens citizens' influence on decisions and builds civic capacity. At the same time, it improves the evidence base for policy making, reduces implementation costs and taps wider networks for innovation in policy making and service delivery.

These Guiding Principles are designed to help governments strengthen open and inclusive policy making as a means to improving their policy performance and service delivery.

1. **Commitment:** Leadership and strong commitment to open and inclusive policy making is needed at all levels – politicians, senior managers and public officials.
2. **Rights:** Citizens' rights to information, consultation and public participation in policy making and service delivery must be firmly grounded in law or policy. Government obligations to respond to citizens must be clearly stated. Independent oversight arrangements are essential to enforcing these rights.
3. **Clarity:** Objectives for, and limits to, information, consultation and public participation should be well defined from the outset. The roles and responsibilities of all parties must be clear. Government information should be complete, objective, reliable, relevant, easy to find and understand.
4. **Time:** Public engagement should be undertaken as early in the policy process as possible to allow a greater range of solutions and to raise the chances of successful implementation. Adequate time must be available for consultation and participation to be effective.
5. **Inclusion:** All citizens should have equal opportunities and multiple channels to access information, be consulted and participate. Every reasonable effort should be made to engage with as wide a variety of people as possible.
6. **Resources:** Adequate financial, human and technical resources are needed for effective public information, consultation and participation. Government officials must have access to appropriate skills, guidance and training as well as an organisational culture that supports both traditional and online tools.
7. **Co–ordination:** Initiatives to inform, consult and engage civil society should be co-ordinated within and across levels of government to ensure policy coherence, avoid duplication and reduce the risk of "consultation fatigue." Co-ordination efforts should not stifle initiative and innovation but should leverage the power of knowledge networks and communities of practice within and beyond government.
8. **Accountability:** Governments have an obligation to inform participants how they use inputs received through public consultation and participation. Measures to ensure that the policy-making process is open, transparent and amenable to external scrutiny can help increase accountability of, and trust in, government.
9. **Evaluation:** Governments need to evaluate their own performance. To do so effectively will require efforts to build the demand, capacity, culture and tools for evaluating public participation.
10. **Active citizenship:** Societies benefit from dynamic civil society, and governments can facilitate access to information, encourage participation, raise awareness, strengthen citizens' civic education and skills, as well as to support capacity-building among civil society organisations. Governments need to explore new roles to effectively support autonomous problem-solving by citizens, CSOs and businesses.

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PART I

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PART I

Chapter 1

Why Invest in Open and Inclusive Policy Making?

Governments everywhere are under pressure to do more with less. Open and inclusive policy making offers one way to improve policy performance and meet citizens' rising expectations. Public engagement in the design and delivery of public policy and services can help governments better understand people's needs, leverage a wider pool of information and resources, improve compliance, contain costs and reduce the risk of conflict and delays downstream. This chapter describes government goals for, and the benefits of, open and inclusive policy making in OECD member countries.

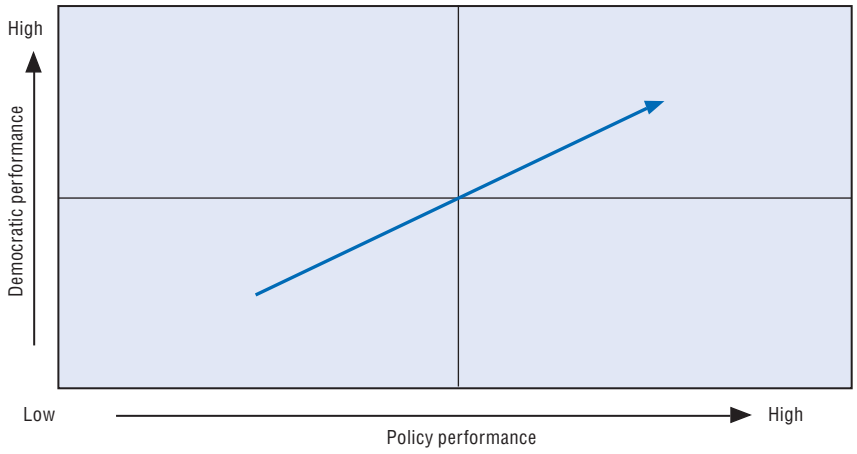
"Public engagement is not just desirable; it is a condition of effective governance."
– Donald G. Lenihan (Advisor on Public Engagement to the Government of New Brunswick, Canada)[1]

The limits of government action are increasingly visible to the naked eye. Complex policy challenges ranging from the international to the personal level – in such diverse areas as climate change, ageing populations and obesity – cannot be "solved" by government action alone. Tackling them effectively will require the concerted efforts of all actors in society and of individual citizens. Governments everywhere are under pressure to do more with less. All are working hard to deliver effective policies and services at least cost to the public purse; many are trying to leverage resources outside the public sector. Last but not least, governments are seeking to ensure and maintain high levels of public trust. Without high levels of public trust, government actions will be at best, ineffective and at worst, counterproductive.

At the same time, more educated, well-informed and less deferential citizens are judging their governments in terms of both their "democratic performance" and their "policy performance" (Klingemann and Fuchs, 1995). Open and inclusive policy making is most often promoted as a means of improving democratic performance. For good reason too, as it enhances transparency and accountability, public participation and builds civic capacity.

Yet open and inclusive policy making can do much more. It offers a way for governments to improve their policy performance by working with citizens, civil society organisations (CSOs), businesses and other stakeholders to deliver concrete improvements in policy outcomes and the quality of public services.

Figure 1.1. **Policy performance and democratic performance**



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Can open and inclusive policy making deliver better policy performance?

Governments can benefit from wider public input when deliberating, deciding and doing. Investing in greater openness and inclusion in policy making and service delivery can help achieve:

- **Greater trust in government.** Citizens generally judge democratic governments on the basis of two main measures: their "policy performance" (*i.e.* their ability to deliver tangible positive outcomes for society) and their "democratic performance" (*i.e.* the degree to which government decision-making processes live up to democratic principles). For policy performance, the focus is mainly on outputs. For democratic performance, the focus is mainly on processes. Successfully delivering on the first front generates credibility, success on the second generates legitimacy. Open and inclusive policy making can contribute to reinforcing both.
- **Better outcomes at less cost.** Making policy in a more open and inclusive way can contribute to raising the quality of policy outcomes and ensure the better use of public funds, by designing policy measures on the basis of better knowledge of citizens' evolving needs. Meanwhile, the nature of public services is changing. Today, a growing proportion is intangible, knowledge-based services which require a higher degree of interaction and involvement of end-users as active collaborators, rather than passive beneficiaries. **Co-design and delivery** of policies, programmes and services with citizens, businesses and civil society offers the potential to tap a broader reservoir of ideas and resources.
- **Higher compliance.** Making people part of the process of prioritising and deliberation, helps them to understand the stakes of reform and can help ensure that the decisions reached are perceived as legitimate, even if they do not agree with them. More open policy making contributes to raising compliance levels with decisions reached.
- **Ensuring equity of access to public policy making and services.** Despite progress in economic development, many social, economic, cultural and political cleavages which permeate modern OECD societies are growing: between poor and rich, rural and urban, ethnic and religious minorities and majorities, young and old. The claim that the government is representative of a majority of the citizens is increasingly tenuous. To date, most OECD countries have devoted their energies to closing these gaps through redistribution or social policies which aim to ensure equitable access to public services for all citizens. A complementary path, one aiming to lower the threshold for access to policy making processes for people facing barriers to participation and hearing the voices of all citizens in policy making processes, has been less well travelled.
- **Leveraging knowledge and resources.** On the opposite end of the scale, many of the citizens who are not facing specific barriers to participation (in terms of their economic and educational levels) are also withdrawing from contact with government and are instead turning to private providers of services and policy advocacy (*e.g.* social enterprises and single issue civil society organisations). As they do so, the skills, ideas and political clout of society's "well-endowed" citizens are being lost to public sector efforts at addressing today's challenges in society. As long as their resources are being "invested" in achieving societal goals through other channels, then this need not be seen as a zero-sum game. Yet governments still need to understand the preferences of their citizens, if they are to successfully solicit their contribution.

- **Innovative solutions.** Public engagement is increasingly recognised as a **driver of innovation and value creation** in both the private and public sectors. There is a growing awareness that government cannot deal with complex problems alone and that citizens will have to play a larger part in achieving shared public policy goals (*e.g.* public health, climate change) (Lenihan *et al.*, 2007). Citizens are also taking the initiative to tackle issues in the public domain themselves. **Active citizenship** initiatives may remain completely autonomous. But they may also solicit governments to join, facilitate or create the necessary legal or regulatory frameworks for such projects to succeed.

Given the complexity and scale of emerging governance challenges, governments cannot hope to design effective policy responses, nor to strengthen legitimacy and trust, without the input, ideas and insights of as wide a variety of citizens' voices as possible. Public engagement will increasingly be recognised as another lever of governance – and become part of the standard government toolkit of budgeting, regulatory, e-government and performance management tools. However, this can only happen on the dual condition that the public engagement lever benefits both from greater resources and more rigorous evaluation than has been the case to date, in order to raise standards and improve practice. This report reviews current efforts by OECD countries along the road to achieving a greater degree of openness and inclusion in policy making and service delivery.

What do we mean by open and inclusive policy making?

Open refers to *transparency, accessibility* and *responsiveness* in the policy making process. As defined in earlier OECD work (OECD, 2005b), an "open" government is one that is:

- transparent, in other words being exposed to public scrutiny;
- accessible to anyone, anytime, anywhere; and
- responsive to new ideas and demands.

Inclusive denotes the effort to include as wide a variety of citizens' voices into the policy-making process as possible. The act of "inclusion" means in practice:

- Lowering the barriers of entry to participation for people who are **willing but unable** to participate. The barriers these people are facing can be socio-economic, cultural, geographical or barriers of another external nature.
- Increasing the appeal of participation for people who are **able but unwilling** to participate. These people face subjective rather than objective barriers. The lack of "appeal" of participation for them may stem from a low interest in politics, a lack of trust in how their input will be used, or limited personal benefits from participation.

Policy making includes all stages of the policy cycle: agenda setting, policy preparation, decision making, implementation and evaluation (OECD, 2001a).

Open and inclusive policy making is

transparent, accessible and responsive to as wide a range of citizens as possible.

What is the scope of this report?

This report provides a comparative overview of government efforts to promote open and inclusive policy making in 25 countries. The report has benefited from in-depth

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discussions in an OECD Steering Group on Open and Inclusive Policy Making and was approved by the OECD Public Governance Committee (PGC) in October 2008. The PGC gathers government representatives from all 30 OECD member countries. The report:

- Provides comparative data based on questionnaire results – while recognising the importance of country context.
- Offers a series of concrete case studies – covering both policy making and service delivery.
- Includes a range of opinion pieces – to reflect the diverse perspectives of government officials, civil society practitioners and academics on current trends and future scenarios.
- Reflects the results of a broader discussion with civil society practitioners and government officials during an International Workshop held on 26-27 June 2008 in Ljubljana, Slovenia (see Box 1.1).

Who provided the data?

The aggregate results reported here are for 25 countries – referred to throughout the report as the "respondents" – that is, 23 OECD member countries[2] plus 2 observer countries (Chile and Slovenia) who are currently preparing for accession to the OECD. Given its special status and reach, the results of the European Commission's questionnaire response are given separate mention throughout the report and have not been included in the aggregate data.

Who contributed to this report?

- **Steering Group on Open and Inclusive Policy Making** – Government representatives from 10 OECD countries (Austria, Czech Republic, Finland, Korea, The Netherlands, Norway, Slovak Republic, Switzerland, Turkey, UK) and Slovenia served in the Steering Group. They were responsible for providing oversight, guidance and direction and met regularly in the course of this project (February 2007 in Helsinki, Paris in October 2007 and March 2008). These meetings also drew additional observers, such as representatives from France, New Zealand and the European Commission (see Annex C for full list of Steering Group members).
- **Public Governance Committee** – Government representatives from 30 OECD member countries and the European Commission represented on the OECD Public Governance Committee. Public Governance Committee members provided input and suggestions in the early stage of project (*e.g.* PGC Symposium of October 2007), general oversight and approval of this report.
- **Government experts** – by providing data, responding to questionnaires, drafting case studies.
- **Independent experts** – by providing case studies, independent reviews and quality control.
- **Civil society practitioners** – by responding to questionnaires, providing feedback and suggestions (see Annex D for full list).

What are the limits and legitimacy of this report?

This comparative review of progress in building open and inclusive policy making rests on self-reporting by governments – an approach that has both strengths and weaknesses. Clearly there is great value in collecting and presenting reliable information delivered

directly from central government units responsible for promoting openness and inclusion in policy making and service delivery. At the same time, this undoubtedly represents just one view of what is working and what is not. Governments, like all of us, are hardly immune to the biases of self-reporting. Finally, many of the questions in the survey were qualitative in nature and required respondents to exercise their judgement based on their knowledge and perceptions. As a result, the comparative data presented in the report should be taken as a good indication of current trends rather than as representing absolute values.

In order to ensure the legitimacy and credibility of this report, significant efforts have been made from the outset of the project to include data and opinions from a wider range of sources. A variety of channels have been used to this end:

- Collection of 54 questionnaire responses from civil society organisations (CSOs) in 14 countries whose results are highlighted throughout the report (see Annex D for full list).
- Participation of CSO representatives in meetings of the OECD Steering Group on Open and Inclusive Policy Making.
- Inclusion of opinion pieces from leading civil society practitioners in a range of OECD member countries (see Part III).
- Input from civil society practitioners gathered during the International Workshop on "Building Citizen Centred Policies and Services" of 26-27 June 2008 in Ljubljana, Slovenia which discussed the core themes of this report (see Box 1.1).

Box 1.1. **Building citizen centred policies and services**

The challenge of strengthening openness and ensuring inclusion in decision making on public policy and services is one shared by all countries. Over 80 participants from national and local government, civil society and international organisations from 21 OECD countries and 12 OECD non-member countries gathered in Ljubljana, Slovenia on 26-27 June 2008 to engage in policy dialogue and exchange good practice, tools and tips for building citizen centred policy and services based on their concrete experience. This international workshop was co-organised by the OECD and the Government of the Republic of Slovenia with the support of the World Bank's Communication for Governance and Accountability Program (CommGAP), DECIM, the European Citizen Advisory Service (ECAS) and Involve (UK).

This event provided valuable input to this report and benefited from the presence of numerous authors of the opinion pieces in Part III. (For more information on the event see: *www.oecd.org/gov/publicengagement* or watch the custom-made video "Our voices: Building Citizen Centred Policies and Services" on YouTube: *www.youtube.com/watch?v=FI3LSgODq*Ws.)

Rather than seeking an impossible global consensus, this report seeks to provide reliable comparative data, a selection of current practice and a rich diversity of approaches and opinions from a wide range of actors engaged in supporting openness and inclusion in policy making and service delivery. In addition, it offers 10 guiding principles as a guide to improving practice.

What do OECD governments see as the benefits of open and inclusive policy making?

In a democracy, public participation has **intrinsic value** by increasing accountability, broadening the sphere in which citizens can make or influence decisions and building civic capacity (Odugbemi S. and T. Jacobson, 2008). It offers **instrumental value** by strengthening the evidence base for policy making, reducing implementation costs and tapping greater reservoirs of experience and creativity for innovation in the design and delivery of public policy and services (Bourgon, 2007; Bourgon, Part III, this volume). Without a wider commitment to the intrinsic value of public engagement, it is hard for governments to reap the instrumental benefits they seek.

Respondents recognised both intrinsic and instrumental benefits of open and inclusive policy making. Over half of the respondents believed that it was "important" or "very important" in helping to improve government transparency and accountability (61%), responsiveness (48%), and effectiveness (43%). Less than a quarter saw it as a means of improving government accessibility (22%), legitimacy (17%), efficiency (13%) or of preventing corruption (9%). With respect to the benefits of open and inclusive policy making with regard to citizens, close to half of the respondents saw it as "important" or "very important" in increasing citizens' trust (43%) and in raising their awareness and knowledge (43%). Over a third (39%) of the respondents believed that was "important" or "very important" in strengthening citizens' scrutiny while less than a quarter saw it as a means of improving citizens' compliance (22%) and strengthening social cohesion (22%).

What are OECD governments' goals for open and inclusive policy making?

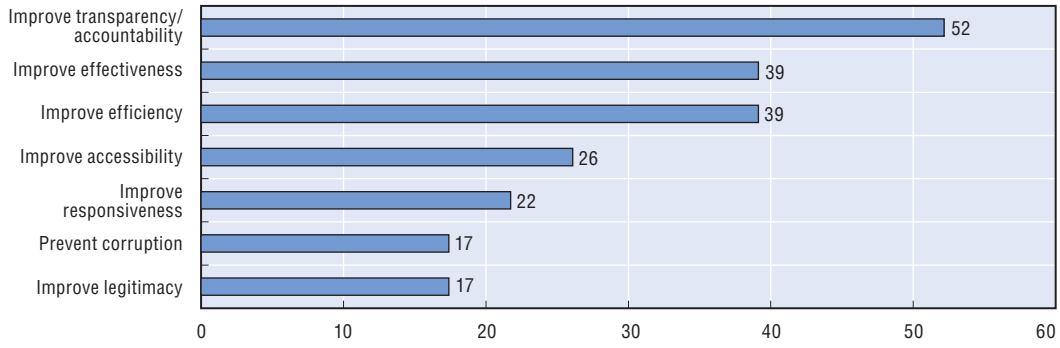
OECD governments are pursuing a range of different goals when they invest in open and inclusive policy making. Not only are the goals diverse, they are subject to change. Around 70% of the respondents indicate they have made changes or additions to their goals in the past 5 years.

Countries were asked to indicate which goals were of highest priority to them when pursuing open and inclusive policy making. These priorities were expressed both with respect to government and with respect to citizens.

Over half the respondents indicated that they sought to improve government transparency and accountability (52%) followed by improved effectiveness and efficiency (39% each). The European Commission also reported that its top priority goal was to improve transparency and accountability. Only 17% of the respondents reported that improving the legitimacy of government was a "very important" or "important" goal (Figure 1.2). These results suggest that most OECD governments pursue open and inclusive policy making for its instrumental, rather than intrinsic benefits. This is an important finding as it runs counter to the widely-held belief that investing in openness and inclusion may be virtuous, and good for democracy, but is not vital to the business of government.

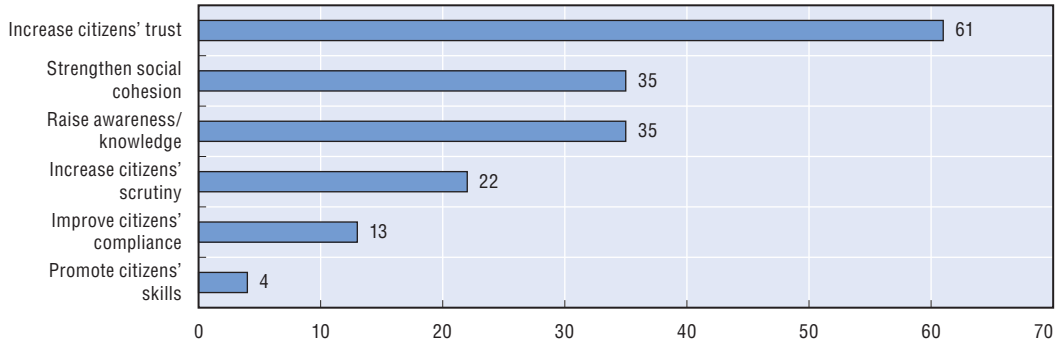
OECD countries are also pursuing open and inclusive policy making with an eye to their citizens. Within this set of options, the majority ranked increasing citizens' trust as a "very important" or "important" goal (61%) (one which is also the top priority for the European Commission), while over a third saw it as a means of raising citizens' awareness and knowledge (35%). Only a few respondents (4%) felt that it was "very important" or "important" in promoting citizens' skills (Figure 1.3).

Figure 1.2. **What are OECD countries' goals with respect to government? (% respondents, n = 25 countries)**



(% respondents ranking the option as "important" or "very important".)

Figure 1.3. **What are OECD countries' goals with respect to citizens? (% respondents, n = 25 countries)**



(% respondents ranking the option as "important" or "very important".)

Finally, it should be noted that the aggregate "scores" for each of these goals can mask important differences between countries. For example, with regard to "strengthening social cohesion" a clear polarisation between countries could be observed. While 35% of the respondents saw open and inclusive policy making as a "very important" or "important" means of strengthening social cohesion (*e.g.* Czech Republic, Hungary, Ireland, The Netherlands), an equal number (35%) ranked it of no importance at all in this regard (*e.g.* Australia, Finland, Slovak Republic, Sweden).

Box 1.2. **Australia: Citizen summits help shape long-term strategy**

The Australian Government hosted the Australia 2020 Summit over the weekend of 18-19 April 2008. The Summit enabled the Australian Government to engage with 1 000 Australians to harness ideas and help shape a long-term strategy for the nation's future and to tackle the long-term challenges confronting Australia by thinking in new ways. The Summit was supplemented by over 500 local summits throughout Australia, a national Youth Summit, and almost 8 800 public submissions. The need to have a greater focus on the citizen in the delivery of government services was considered a priority at the 2020 Summit. The Prime Minister announced the public release of the Final Report on 31 May 2008 and promised a government response to the recommendations by the end of 2008.

(For more information see: *www.australia2020.gov.au*.)

OECD governments are at a crossroads

Several OECD countries have many decades of experience with open and inclusive policy making – to the extent that it has become second nature (*e.g.* Finland, The Netherlands). Other OECD countries, whose successful transition to the market economy and democratic government is more recent, have displayed a marked propensity to innovate and experiment with more open and inclusive approaches to policy making and service delivery in their efforts to improve economic and social outcomes for their citizens (*e.g.* Czech Republic, Korea).

Whatever their starting point, governments in all OECD countries are at a crossroads. To successfully meet the challenges they face will require a significant shift from a "government-as-usual" to a governance perspective. Governments now need to:

- **Mainstream public engagement to improve policy performance.** Real investments are needed to embed open and inclusive policy making as part of government's "core business", build skills among civil servants and establish a supportive political and administrative culture.
- **Develop effective evaluation tools.** Evaluating the quality of open and inclusive policy making processes and their impacts is a new frontier for most governments. Countries need to pool their efforts to develop appropriate evaluation frameworks, tools and training.
- **Leverage technology and the participative web.** Blogs, wikis and social media (also known as Web 2.0) do not automatically deliver public engagement. The conceptual models underpinning the participative web (*i.e.* horizontal *vs.* vertical; iterative *vs.* sequential; open *vs.* proprietary; multiple *vs.* binary) may be more powerful, and of wider application, than the tools themselves.
- **Adopt sound principles to support practice.**"One size fits all" is not an option. To be effective, open and inclusive policy making must be appropriately designed and context-specific for a given country, level of government and policy field. Yet a robust set of principles can guide practitioners when designing, implementing and evaluating their initiatives.

Notes

1. See Part III, this volume.
2. AUS, AUT, CAN, CZE, FIN, FRA, DEU, HUN, IRL, ITA, JPN, KOR, LUX, NLD, NOR, POL, SVK, ESP, SWE, CHE, TUR, GBR, USA.

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PART I

Chapter 2

Open Policy Making: Work in Progress

Over the past 25 years, OECD member countries have made progress in fostering openness in government, notably through the adoption of access to information legislation. Rights, commitment and active citizenship have all progressed in recent years. Yet governments report far less progress in securing the necessary resources, time and evaluation of open and inclusive policy making. This chapter reviews the legal basis, costs and risks of openness in policy making.

"Citizen engagement is hard work; it is neither a panacea nor a romantic vision of the ideal citizen… Giving citizens a voice in the matters that affect them most will be central to future public sector reforms." – The Honourable Jocelyne Bourgon P.C, O. C. (Canada)[1]

OECD countries report mixed progress

The scope, quantity and quality of government information provided to the public has increased significantly in the past 25 years thanks largely to the adoption of legislation on access to information. In 1980, less than a third of the (then 24) OECD member countries had access to information laws, today all but one of the current 30 members have such laws (see Annex A). As ever, adoption does not necessarily mean implementation. Applying legal rights to access information may face numerous obstacles in the form of prohibitive fees, delayed responses, lack of staff, expertise and public awareness. Indeed, given the overwhelming amount of information now available online, citizens now face an information overload that may be equally daunting when seeking pertinent information (Odugbemi and Jacobson, 2008).

Despite these challenges, the foundations for open and inclusive policy making and service delivery have been laid in OECD countries. When asked to provide an overall assessment of their own progress in implementing open and inclusive policy making over the past five years, over half of the responding governments indicated that some progress had been made (58.3%) while the rest (41.7%) reported that a lot of progress had been made. No government reported a lack of progress.

Self-perceptions are notoriously hard to trust and self-reporting clearly has its flaws, but these results do indicate that OECD governments that have invested time, effort and resources in building open and inclusive policy making perceive these investments to have paid off.

Interestingly, the 54 responses to a separate questionnaire sent to civil society organisations (CSOs) appear to mirror the moderately positive responses given by governments with regard to progress made over the past 5 years. There are also some exceptions, where CSOs see less progress than their respective governments. No definite conclusions can be drawn either way, given the low number of CSOs responding per country (no more than six per country) and the limited range of countries (14) which returned responses from CSOs.

CSO respondents cited many different reasons for their country's progress in open and inclusive policy making – or lack thereof. Several cited barriers both on the side of government and that of civil society. Among the drivers for progress cited were: increasing demand by citizens for greater participation, growing political commitment, greater government awareness of the expertise and potential role of civil society in designing and delivering public policy and services, and the impact of supranational law (*e.g.* Aarhus Convention, EU Directives). Among the barriers commonly cited were: limited time provided, lack of recognition of the utility of participation, overriding focus on formally fulfilling

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minimum legal obligations, little or no feedback to participants, poor co-ordination among central government units and levels of government, over-reliance on individual "champions" within the civil service and high levels of turnover, shrinking margins of manoeuvre for governments given fiscal constraints and a lack of awareness among civil society and citizens of the opportunities for participation and their limited capacity to engage effectively.

Box 2.1. **Civil society organisations: Evaluation of progress in open and inclusive policy making**

Many CSO respondents provided insightful responses, clearly based on first-hand experience, when asked to describe the main reasons for progress in open and inclusive policy making in their country, or the lack thereof:

Australia: "One major problem has been the rapid turnover of key staff from senior manager positions, particularly at the Assistant Secretary level" (National Heart Foundation of Australia).

Finland: "Decision making has become more open and participative, but the lack of resources has caused problems…" (Association of Tenants and Home Owners).

France: "The reflex to consult civil society stakeholders is gradually gaining ground, even though too often in the form of large meetings where there is little room for in-depth exchange. In practice, openness, dialogue and transparency are, above all, the practice of individuals, at all levels of the hierarchy, rather than general methods of the public administration. A generational factor can be observed in this respect: the younger civil servants are often much more naturally inclined to exchange with civil society when it can provide expertise" (Amnesty International France).

Poland: "The main cause for this progress is commitment on the part of the government, legal regulations concerning the right to information and consultation are in place. The only problem lies in the fact that unfortunately the implementation of these laws is not satisfactory" (NZSS Solidarnosc).

Slovenia: "Public officials tend to think about public participation as a formality, as not needed nuisance…[We] need a capacity building of public officials on one hand and CSOs on the other…If the CSOs would be more developed, they would be stronger in pressuring the government to be more open and on the other hand they would be able to participate with more expert arguments, so the government would more clearly see the benefits of including the CSOs" (Legal Informational Centre for NGOs Slovenia – PIC).

UK: "Positives: *i)* use of electronic communication; *ii)* clear consultation documents with objectives well described; *iii)* consultation genuinely informing policy – government far better at listening; and *iv)* far greater commitment in principle to consultation. Negatives: *i)* increased time needed so that consultation can cascade from national to local level; *ii)* policies, and consultation processes, sometimes fail to give adequate weight to the needs of minority or marginalised communities; *iii)* concern that sometimes apparent openness and inclusivity is not genuine and can be a tick-box process; *iv)* concern that there is still a reluctance at both national and local levels to delegate decision making to the community" (National Association for Voluntary and Community Action – NAVCA).

One of the key challenges remains that of gaining political support beyond "cosmetic commitment". The evolving profile of elected politicians, and their role in open and inclusive policy-making processes, requires greater attention than has been received to date. They regularly express legitimate concerns regarding their potential loss of influence, vulnerability to opposition party politicians, and raising public expectations that cannot be

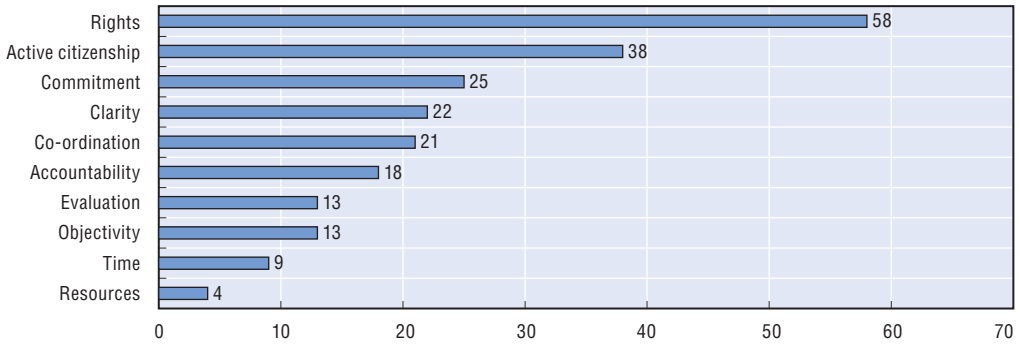
met. What seems clear is that the leadership style, capacities and qualities of elected representatives will need to change in order to adapt to a more collaborative approach to decision making. One that creates:

> A natural space for elected officials to assume a more interactive role, one we might call the facilitator. By placing a major emphasis on deliberation, discussion, learning, negotiation and compromise, it suggests that the elected representative is not there to make decisions for citizens. Nor is he or she there simply to carry their message back to government. Their real role is to help citizens work through the process of discussion, learning, negotiation and trade-offs, and then forming an action plan and assigning roles to implement it (Lenihan *et al.*, 2007).

Applying principles in practice

In 2001, OECD member countries identified a set of ten "Guiding principles for successful information, consultation and active participation of citizens in policy making". They cover: **commitment, rights, clarity, time, objectivity, resources, co-ordination, accountability, evaluation** and **active citizenship** (OECD, 2001a). These guiding principles have since been widely cited and incorporated into national and subnational policy guidelines on open policy making.[2] In 2007, the OECD asked governments which of these guiding principles they had found easiest to apply and which they had found most challenging. A total of 23 OECD member countries, plus the European Commission, Chile and Slovenia, responded and the results were revealing.

Figure 2.1. **Principles for which greatest progress has been achieved (% respondents, n = 25 countries)**



(% respondents ranking the option as "important" or "very important".)

Countries were asked to rank the principles in terms of most and least progress made in their implementation. The majority (58%) of the respondents to the questionnaire reported that, over the past 5 years, the most progress had been made in establishing **rights** to access to information, consultation and public participation. This is corroborated by the fact that all 30 OECD member countries (except Luxembourg where drafting is now underway) now have legislation in place to ensure rights of access to information.

With regard to **active citizenship**, the results were highly polarized – while a significant proportion (38%) of the countries felt that most progress had been made this sphere even more (46%) felt that this was one of the hardest principles to apply. A quarter (25%) felt that most progress had been made in terms of establishing **commitment** to access to information, consultation and public participation.

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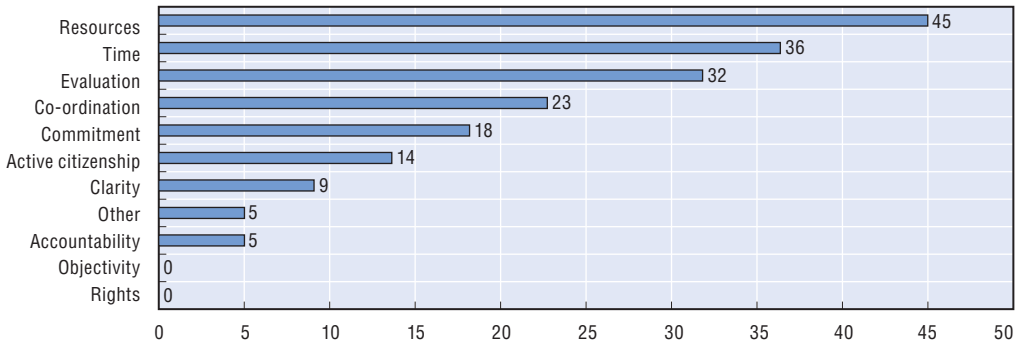
Figure 2.2. **Principles which are the most difficult to meet (% respondents, n = 25 countries)**



(% respondents ranking the option as "important" or "very important".)

In terms of the principles which proved hardest to apply, the practical constraints of securing sufficient **resources** (45%) and **time** (36%) were regarded as most challenging. Close to a third of the countries felt that the principle on **evaluation** was the hardest to meet (32%).

Based on the responses above, OECD governments appear to be saying: "we have established rights, we have active citizens and a commitment to engage them in policy making but we face challenges of resources, time and a lack of evaluation."

Box 2.2. **Civil society organisations: Views on principles**

The questionnaire sent to CSOs provided the set of 10 guiding principles on information, consultation and active participation of citizens in policy making published by the OECD in 2001. When asked whether they thought there were any additional guiding principles to be added to the list, close to three-quarters of the CSOs replied "no" or left the question blank. If silence can be taken as an indication of assent, then the majority appeared to recognise that these principles were fit for purpose. As one CSO observed, "before we make a list of additional guiding principles the Government should recognise the principles in the above list" (Legal Informational Centre for NGOs Slovenia – PIC).

At the same time, 15 CSO respondents took this opportunity to suggest additional principles needed to support practice in their country. A number of these were particularly insightful, including:

Czech Republic: "Openness, fair play, will to co-operate, dialogue, teamwork, flexibility" (Union of Towns and Municipalities of the Czech Republic).

Italy: "The Subsidiarity Principle" (Cittadinanzattiva).

Turkey: "Creating demand. There are localities and topics where there is not any demand coming from the citizen's side to engage in policy making mostly because of the weak civil society development, low awareness on citizenship and lack of a culture asking for government's accountability. In such cases, the role of the government should also encompass creating incentives to facilitate civil society development and raising awareness on the rights and roles of being a citizen" (Economic Policy Research Foundation of Turkey – TEPAV).

UK: "1. Reach – the ongoing commitment to extend the reach of consultaton and active participation to those who have been previously overlooked, ignored, avoided or deemed inaccessible. This will entail a continous review to discover those who were not previously known. 2. Clarity of language – plain language and clear definitions of new terms which are not used jargonistically but when unavoidable and helpful to consultation/discussion" (National Association for Voluntary and Community Action – NAVCA).

Box 2.3. **The Netherlands: Code of conduct for professional consultation**

A 2006 cabinet policy on "Inspraak Nieuwe Stijl" established a code of conduct for professional consultation containing 10 principles:

1. Indicate who is finally responsible and commit this official to the process.
2. Make a procedural plan beforehand and publish it.
3. Get to know and mobilise all stakeholders in the policy.
4. Organise relevant knowledge together and make this transparent.
5. Be a trustworthy discussion partner.
6. Communicate clearly, at the right time and with modern means.
7. Be clear about roles and results on advice to be expected.
8. Obligations for the consultants may be demanded concerning quality and energy devoted to their advice.
9. Be accountable about the follow-up.
10. Consultation is not to be done just for the sake of it, additional value must be expected – however, if government refrains from consultation, this must be motivated.

Box 2.4. **Czech Republic: Setting new standards for public consultation**

In 2007, a new element of transparency in law-making was introduced with amendments to the Legislative Rules of the Government (LRG) and the Government Rules of Procedure (Government resolution No. 816/2007) which now requires publication of all legislative documents prior to their discussion by the government. This will be done by launching a central government website where all draft policy documents scheduled for the submission to the government are to be published in advance and to which the public comments can be sent. Based on a set of Principles of Public Engagement approved in 2006, a Methodology for Public Consultation was adopted (Government resolution No. 879/2007) to enlarge the scope and possible approaches to public consultation during policy making.

This methodology defines a minimal standard for public participation in policy making. It describes forms of public participation (formal/informal consultation, round tables, public meetings, working groups etc), provides approaches for the identification of target groups, minimum time schedules and *ex post* evaluation. Its implementation is planned in two phases – an initial pilot period (until end 2008) followed by general application (from 2009). During the pilot period, three public authorities have committed themselves to follow the methodology during the preparation of drafts.

The Ministry of Interior will review the results of the pilot period at the end of 2008. The Ministry will then report to the Government and submit an updated version together with the proposal to make application of the methodology and public consultations during the regulatory process obligatory.

What resources are available for open and inclusive policy making?

Despite these challenges, OECD countries report that they are actively taking steps to promote open and inclusive policy making. When given four possible options, they ranked most highly **communication** (91%), including advertising open and inclusive policy

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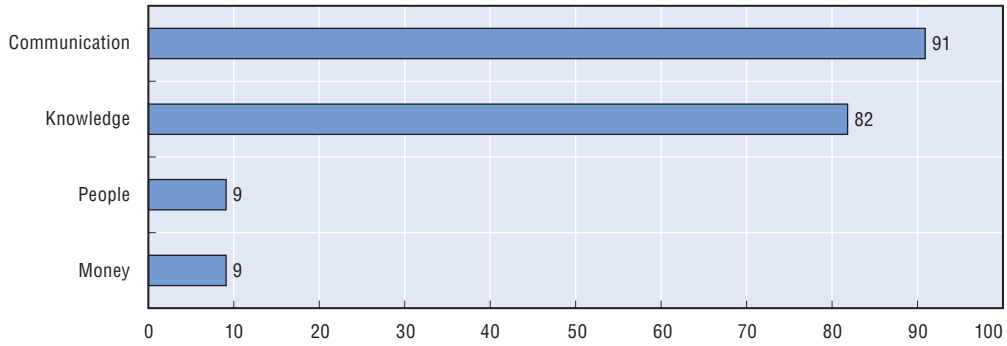
making, providing a platform for exchange or supporting a network. Next was **knowledge** (82%) in terms of providing guidelines or handbooks on tools for open and inclusive policy making. Far behind in an equal last place, came the more tangible resources of **people** and **money** (ranked top by only 9% of respondents in each case). The former in terms of providing trainers or (temporary) staff for open and inclusive policy making, the latter in terms of providing (extra) funding or grants for open and inclusive policy making.

Figure 2.3. **Resources devoted to promoting open and inclusive policy making (% respondents, n = 25 countries)**



(% respondents ranking the option as "important" or "very important".)

In this context, it is worth contrasting the development of public engagement as a tool of good governance with another equally recent one – namely, e-government. During the 1990s, governments in OECD countries all recognised the power of new information and communication technologies (ICT) to speed up work flows within the public administration as well as information flows with citizens and businesses. They invested heavily in dedicated e-government programmes, specialised personnel and "front office" functions before recognising that the real challenges – and benefits – lay in restructuring the "back office" functions, ensuring interoperability and providing seamless services (OECD, 2003). Nowadays the emphasis is on proving return on investment and demonstrating user take-up while leveraging e-government tools as a means of transforming government (OECD, 2005c).

Clearly, when it comes to open and inclusive policy making, governments are not taking the same approach. They report investing far less in terms of human or budget resources (or indeed, political capital) and limiting their spending to more intangible awareness raising and capacity building measures. This corroborates the finding that the principle on "resources" is one of the most difficult to apply in practice.

Box 2.5. **Finland: Building the capacity and culture for public participation among civil servants**

The Ministry of Interior has chosen as an innovative method for getting their personnel to be more committed to openness and inclusion. In each calendar year, a civil servant in the ministry can devote one day of work to working within a civil society organisation (CSO). This procedure aims to encourage civil servants to develop a better knowledge of, and dialogue with, CSOs.

Box 2.6. **Austria: Building capacity for public participation**

In 2002, the Austrian Federal Ministry for Agriculture and Forestry, Environment and Water Management established the "Austrian Strategy Group on Public Participation". This interdisciplinary task force has about 20 members drawn from the public administration, NGOs, consultants and academics. They publish practical worksheets on various topics such as the preconditions and quality criteria for public participation, the benefits for different stakeholders and the limits and obstacles to public participation processes. In their efforts to raise professional standards and build capacity among public participation practitioners, the group organises regular conferences and workshops, as well as meetings with key target groups (*e.g.* political decision makers, business representatives). In 2005, the group published a "Public Participation Manual" to support practitioners which was translated into English in 2007. These resources are all freely available on the group's website (*www.partizipation.at*) which also contains useful links and a selection of materials in English.

What actions have been taken to apply the principles?

Despite the challenges, respondents reported taking a number of specific actions to promote adherence to the values expressed in the 2001 OECD "Guiding principles for successful information, consultation and active participation of citizens in policy making." By way of illustration, some examples are given in Table 2.1 and Box 2.7 below.

Table 2.1. **Actions taken to apply principles in practice: some examples from OECD countries**

Guiding principle	Example of action taken	Country
Commitment	State Secretaries in each ministry have signed a copy of the Principles for Public Consultation and each year they receive a questionnaire from the Ministry of Finance about progress in their application.	Finland
Rights	The 2005 Federal Freedom of Information Act establishes rights of access to information and stipulates that information must be provided to applicants within one month.	Germany
Clarity	Both the Federal Advisory Committee Act and the Federal Advisory Committee Act Brochure (published by the General Services Administration – GSA) outline the objectives and limitations of consultation and participation during the policymaking process. The GSA promulgates guidelines, in consultation with the Government Accountability Office and the Office of Government Ethics, on the proper use and composition of citizen advisory committees.	United States
Time	The Instructions for Official Studies and reports provides a timeframe and guidance for consultation.	Norway
Objectivity	Article 47 of the 2005 Law on accessibility of public services for the disabled requires that all online communication from public bodies be accessible to disabled persons.	France
Resources	All ministries have their own budget allocations for public information. However there is no data on the total amount of money spent on information, consultation and participation. Such activities are often subsumed under broader project budgets.	Norway
Co-ordination	The Ombudsman of Korea offers a unified online receipt and resolution service for citizens' petitions and proposals which aims to reduce inconvenience for citizens and duplication for public officials. Citizens can see how similar cases have been resolved and avoid the need to lodge a petition altogether. The online service also helps internal efficiency by redistributing multiple petitions and responding more rapidly to those which may apply to several public organisations (see: *www.epeople.go.kr*)	Korea
Accountability	The 2004 Code of Practice on Consultation (criterion 4) states "Give feedback regarding the responses received and how the consultation process influenced the policy". A government response should be published within three months of the closing date of the consultation.	United Kingdom
Evaluation	The government's Communications Policy includes a Planning and Evaluation component which sets out expectations for periodic review, evaluation and updating of communications plans in conjunction with business planning and budgetary cycles.	Canada
Active citizenship	In 2006, a Taskforce on Active Citizenship was appointed by the Taoiseach (Prime Minister). In response to its report, the Government established an Active Citizenship Office to implement the Taskforce's recommendations.	Ireland

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Box 2.7. **European Commission: Putting principles into practice**

Guiding principle	Example of action taken
Commitment	• European Transparency Initiative
Rights	• Access to Documents Regulation 1049/2001
Clarity	• Minimum Standards for Consultation (COM(2002)704)
Time	• Minimum Standards for Consultation (COM(2002)704)
Objectivity	
Resources	
Co-ordination	• "Your Voice in Europe" – single online access point for all consultations
Accountability	• Voluntary Register of Interest representatives
Evaluation	
Active citizenship	• The Active Citizenship Programme • Action Plan to Improve Communicating Europe by the Commission (SEC(2005)985) • Plan D for Democracy, Dialogue and Debate (COM(2005)494) • White Paper on a European Communication Policy (COM(2006)35)

Is there a legal basis for promoting open and inclusive policy making?

The majority of the respondents (88%) indicated that they have an overarching policy, law or regulation at the central government level to promote open and inclusive policy making. In addition to supranational sources of legislation (*e.g.* EU Directives) in some countries, the principle of open policy making is enshrined in the constitution or other basic legislation. Subnational governments have, in some cases, also enacted regional laws or decrees to support open and inclusive policy making.

Box 2.8. **European Commission: Accountability and participation in supranational decision-making**

The European Commission has numerous sources of legal and policy guidance for promoting open, accountable and participatory decision making at the European level. Examples include:

- Amsterdam Treaty: Protocol No. 7 on the application of the principles of subsidiarity and proportionality
- Access to Documents Regulation (1049/2001)
- General Principles and Minimum Standards for consultation of interested parties by the Commission (COM(2002)704)

It has also undertaken a number of significant initiatives and programmes to this end:

- White Paper on European Governance
- Better Lawmaking Action Plan
- European Transparency Initiative
- The Active Citizenship Initiative
- Plan D for Democracy, Dialogue and Debate (COM(2005)494)
- White Paper on a European Communication Policy (COM(2006)35)

Box 2.9. **Relevant OECD principles**

The OECD has issued guiding principles and recommendations in a number of areas which are directly relevant to open and inclusive policy making, including the:

- **Recommendation of the OECD Council for enhanced access and more effective use of public sector information (2008)** that calls upon OECD member countries to develop their own national frameworks "assuming openness in public sector information as a default rule wherever possible."
- **OECD Guiding Principles for Regulatory Quality and Performance (2005)** recognise that the quality of regulation can be enhanced by "making effective use of consultation, including advisory bodies of stakeholders" (Principle 1).
- **OECD Best Practices for Budget Transparency (2001)** calls for all fiscal reports to be " made publicly available. This includes the availability of all reports free of charge on the Internet" and states that the Finance Ministry should "actively promote an understanding of the budget process by individual citizens and non-governmental organisations" (3.4 Public and parliamentary scrutiny).

Source: Recommendation of the OECD Council for enhanced access and more effective use of public sector information [C(2008)36] (2008); OECD Guiding Principles for Regulatory Quality and Performance (2005), p. 3 (see: *www.oecd.org/gov/regref*) and OECD Best Practices for Budget Transparency (2001), *OECD Journal on Budgeting*, Volume 1, Number 3 (2001) p. 14.

Box 2.10. **Constitutional provisions for openness**

The basic principles underpinning open policy making have been embedded into the constitutions of several OECD member countries. In several cases, the constitution clarifies that national sovereignty and the powers of the State are vested in the people (*e.g.* Austria, Czech Republic, Finland, France, Greece, Hungary, Ireland, Italy, Korea, Norway, Poland, Portugal, Slovak Republic, Spain, Switzerland, USA). Several others also provide for the right to petition public authorities (*e.g.* Belgium, Germany, Greece, Japan, Korea, Luxembourg, The Netherlands, Mexico, Slovak Republic, USA), A few constitutions provide for varying degrees of direct participation (*e.g.* Czech Republic, Hungary, Spain, Switzerland) for example through consultative referenda, binding referenda and popular legislative initiatives. Examples include:

Finland: "Democracy entails the right of the individual to participate in and influence the development of society and his or her living conditions" (Constitution, Section 2.2).

France: "National sovereignty resides in the people who exercise it via their representatives and referendum" (1958 Constitution, Article 3) and "The community has the right to hold accountable every public official in its administration" (Article 15, *Declaration of the Rights of Man and of the Citizen,* 1789).

Italy: "The State, regions, metropolitan cities, provinces and municipalities promote the autonomous initiative of citizens, either individually or in association, in activities of general interest according to the principle of subsidiarity" (Constitution, Article 118 [4]).

Korea: "The Republic of Korea shall be a democratic republic. The sovereignty of the Republic of Korea shall reside in the people, and all state authority shall emanate from the people" (Constitution, Chapter I: General Provisions, Article 1[1], [2]).

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Box 2.10. **Constitutional provisions for openness** *(cont.)*

Portugal: "The Portuguese Republic is a democratic State that is based upon the rule of law, the sovereignty of the people…and that has as its aims the achievement of economic, social and cultural democracy and the deepening of participatory democracy" (Constitution, Article 2: Democratic State based on the Rule of Law).

Slovak Republic: "The power of the state is vested in the citizens who shall exercise it directly or through their elected representatives" (Constitution, Chapter I: General Provisions, Article 2[1]).

United States of America: "The powers not delegated to the United States by the Constitution, nor prohibited by it to the States, are reserved to the State respectively, or to the people" (Bill of Rights, Amendment X).

Box 2.11. **Italy: Tuscany region guarantees rights to participation**

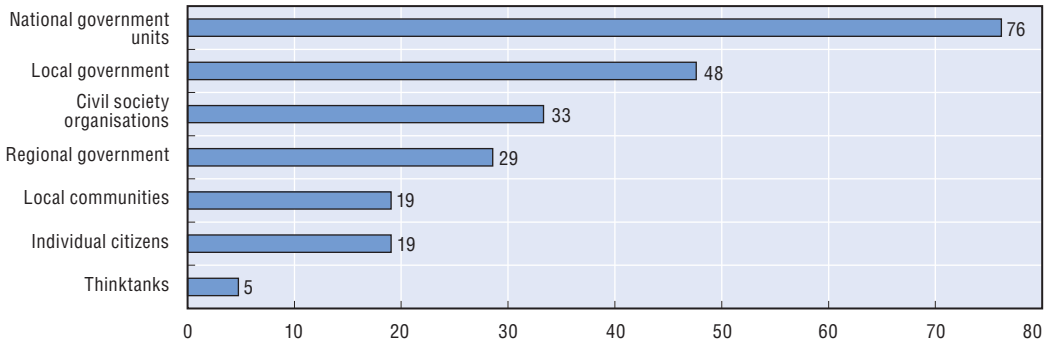
The Tuscany Region is the first in Italy to enact legislation (regional law No. 69, adopted on 19 December 2007) ensuring the right of all citizens, associations and regional institutions to participate in regional decision making processes. These rights of participation are granted to all residents, including foreign citizens and those who live in Tuscany temporarily for reasons of work or study. The responsibility for organizing public debates, ensuring the law's implementation and oversight was given to a newly created independent Regional Authority established in September 2008.

(For more information, see: *www.regione.toscana.it*.)

Who is responsible for open and inclusive policy making?

Close to two thirds of the respondents (64%) indicated that there was a central organisation responsible for promoting open and inclusive policy making. Respondents' efforts to promote open and inclusive policy making through communication, knowledge sharing, money and people have a number of targets.

Figure 2.4. **Main targets of support for open and inclusive policy making (% respondents, n = 25 countries)**



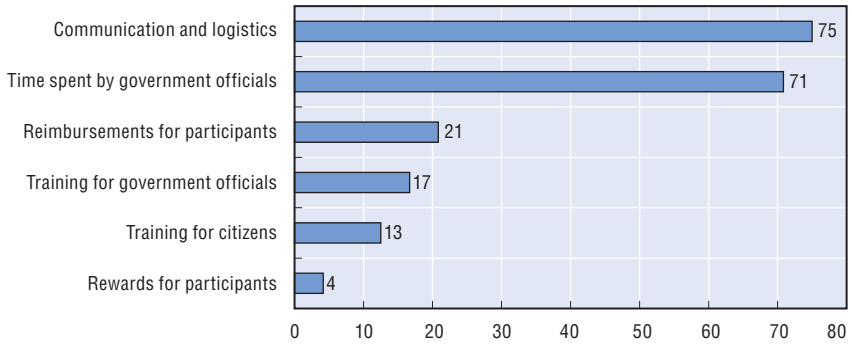
(% respondents ranking the option as "important" or "very important".)

Over three-quarters of the respondents (76%) indicated that national government units were their main targets of attention, with just under half (48%) indicating local government as "important" or "very important." Interestingly, a third (33%) indicated civil society organisations as being more important a target for their efforts than regional government (29%), local communities (19%) or individual citizens (19%). This is perhaps in recognition of the important multiplier effect of liaising with organised civil society who may, in turn, mobilise their own networks.

What are the costs of open and inclusive policy making?

Measures to ensure openness and inclusion in policy making cost time, effort and money. Collecting hard data on these costs is itself a challenge, given that few governments have dedicated budgets or teams assigned to public engagement and the costs are generally subsumed under a wider policy- or service-development programme.

Figure 2.5. **Identifying the costs for government (% respondents, n = 25 countries)**



(% respondents ranking the option as "important" or "very important".)

The majority of the respondents clearly identified communication and logistics (75%) and time (71%) to be the main costs to government. Far fewer cited the costs of training government officials (17%) or citizens (13%) as "important" or "very important." Direct financial transfers to citizens as reimbursement (*e.g.* child care, transport) or rewards (*e.g.* prizes, payments) for participation were only rarely cited as being significant.

Clearly, there is a large gap between today's modest investments in "awareness raising" and what will be required to raise professional standards and ensure mainstreaming.

What are the risks of open and inclusive policy making?

Governments also see the risks inherent in open and inclusive policy making. As with any action undertaken by government, open and inclusive policy making requires careful risk management and mitigation. Possible sources of risk may include: failed projects, insufficient feedback on how public input is being used, limited capacity, lengthy and/or inconclusive processes, and lack of trust in the capacities of participating citizens.

When asked to rank what they considered to be typical "risks" of open and inclusive policy making, almost half of the respondents cited delays in decision making or implementation (48%) as "important" or "very important." Over a third (39%) perceived the

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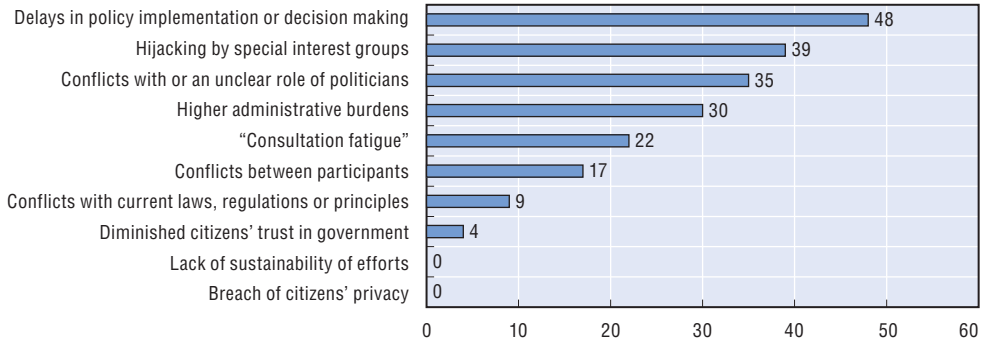
Figure 2.6. **Identifying the risks for government (% respondents, n = 25 countries)**



(% respondents ranking the option as "important" or "very important".)

risk of special interest groups "hijacking" the process or as generating confusion with regard to the role of (or indeed conflicts with) politicians (35%). The risk of placing additional burdens on participants was also cited – in terms of higher administrative burdens (30%), conflicts among participants (22%) and "consultation fatigue" (17%).

Equally instructive is the fact that very few respondents felt that open and inclusive policy making ran the risk of diminishing citizens' trust (only 4%) while none of them saw the lack of sustained efforts or privacy breaches as posing significant risk.

Poor performance engenders its own risks. While many initiatives have been successful, it must be recognised that some consultation and participation exercises have been expensive failures. This is wasteful in two ways: it wastes public funds and it wastes goodwill among the public, civil servants and politicians. One way of reducing this risk of expensive failure would simply be to stop conducting consultations or promising participation on issues that cannot actually be changed – solely in order to "tick the box". Policy makers need better support when deciding whether public engagement is useful and if so, when and how and with what resources it will be conducted (*e.g.* a decision tree or an *ex ante* strategic public participation assessment). Concentrating efforts and resources on designing meaningful public participation that is delivered to high professional standards would be a good start.

Equally important is **the risk of "capture"** of these more open policy making processes by highly motivated and self-selected individuals and groups. A risk that can only be countered by including a wider ranges of people and organisations in policy making. The quest for a greater degree of inclusion in policy making is, under this perspective, not only fuelled by equity concerns but also as a measure of risk mitigation.

Notes

1. See Part III, this volume.
2. For example, in Finland (as a basis for the government's *Principles for Citizen Consultation*) and in Australia (see *Working Together: Involving Community and Stakeholders in Decision-making*, p. 47 (2006) Office of Citizens and Civics, Department of the Premier and Cabinet, State Government of Western Australia *www.citizenscape.wa.gov.au/documents/BlackWhite.pdf*.

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PART I

Chapter 3

Inclusive Policy Making: The Next Step

Openness, while necessary, is not sufficient. Achieving broader public engagement and more inclusive policy making processes is important for reasons both of efficacy and of equity. This chapter examines government experience in breaking down the barriers to, and increasing the appeal of, participation in policy making for both the "willing but unable" and the "able but unwilling".

"The way the public's business is done needs to become more inclusive and participatory as standard practice, especially at the national level."
– Carolyn Lukensmeyer, President and Founder, AmericaSpeaks*

Open but not inclusive: Is this a problem?

Governments today are more open than ever before (OECD 2005b). But experience has shown that openness, while necessary, is not sufficient to ensure inclusive public participation. Creating a "level playing field" in terms of passive access to public information, consultation or participation is not enough – for two main reasons:

- **Efficacy:** The true value of measures to open up policy making and service delivery lies in obtaining a wider range of views and voices as input for evidence-based public decision-making. Not simply in opening the door wider to well-endowed special interest groups or professionalised civil society organisations that already have access to decision makers. Without additional efforts to ensure inclusion, the full promise of open policy making as a means for designing and delivering better quality services and policies remains unfulfilled.
- **Equity:** Defining the "public interest" in a democracy founded on "one person, one vote" requires government authorities to ensure that all relevant voices have had a real chance to be heard. This may mean making particular efforts to hear the "silent majority" or reach out to, or building capacity among, those members of society who are least-equipped for public participation in terms of their education, capacity, culture and status (*e.g.* children, immigrants).

Furthermore, current trends in demography and migration mean that most OECD countries will be more linguistically and culturally diverse in the future. Efforts to ensure inclusion of the "willing but unable" in government decision making can either be seen as an additional cost, or as an investment in leveraging diversity as a source of innovation. Adapting to the needs of new immigrants and citizens will require multilingual options and culturally appropriate forms of engagement to ensure that services and policy are designed and delivered effectively.

Equally important are the swelling ranks of citizens who choose not to participate in some of the lynchpin events of public life – from national elections to public hearings and town hall meetings. Making government relevant to youth and finding appropriate channels for their participation in public life is another important challenge for many OECD countries.

Why don't people participate?

If governments are to improve their capacity to effectively interact with the people they need to hear from, they will need far better information about the profiles and preferences of those they are trying to reach. Such research has been undertaken in some

* See Part III, this volume.

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OECD countries and the results, while clearly not applicable across the board, offer some useful insights.

The Institute for Insight in the Public Services (IIPS) in the UK has examined the value people place on such things as time, energy, money, information and space. When asked which one is of most value in their everyday lives – time emerged as the most precious resource (38%), followed by (personal) energy (30%), money (17%), information (9%) and space (2%) (Harrison and Singer, 2007). On the basis of its research the IIPS has developed five "engagement profiles" for the UK (see Box 3.1) that resonate with the results of a similar, although more localised, investigation in The Netherlands (see Box 3.2).

Box 3.1. **UK: Developing engagement profiles**

Research undertaken by the UK's Institute for Insight in the Public Services (IIPS) has revealed the following segments of the general public:

- **Community bystanders** (36%) are the least engaged in any activities in their communities.
- **Passive participators** (33%) engage in "easy" activities (*e.g.* socialising with neighbours, attending school events).
- **Community conscious** (16%) organise local community activities, volunteer and attend a place of worship.
- **Politically engaged** (8%) engage in local politics, attend community planning or consultation meetings.
- **Active protestors** (7%) write to newspapers and their MPs, canvas for political parties.

Source: Harrison and Singer (2007).

Box 3.2. **The Netherlands: Piecing together the profiles of non-participants**

Research into the motives of those who decide to abstain from participation shows that distrust, lack of time and low sense of political efficacy are most common reasons not to participate. Research commissioned by the Inspraakpunt V&W showed that among the people who were invited to be consulted in two major railway-projects but did not show up (*i.e.* non-participating but relevant persons, living in the area) five main profiles could be discerned:

- **Enquirers:** people who like to get better information before they think they can be consulted properly (nevertheless these people often obtain valuable local knowledge): 18%.
- **Distrusters:** people with cynical feelings or distrust towards politics in general or consultation: 35%.
- **Time-stretched:** people who do not have the time, will not make lengthy meetings a priority (and who are not often involved in the environment in which they live): 27%.
- **Indifferent:** people who do not care very much about their physical environment: 10%.
- **Uncertain:** people with little political efficacy, doubting about their possibilities to add value: 10%.

For the purposes of this report, two groups can be discerned:

- **People who are "willing but unable"** to participate for a variety of reasons such as cultural or language barriers, geographical distance, disability or socio-economic status; and
- **People who are "able but unwilling"** to participate because they are not very interested in politics, do not have the time, or do not trust government to make good use of their input.

Including everyone all of the time is neither feasible nor desirable. So the question is, how much time, energy and money should governments invest in making their policy making and service delivery processes more inclusive? Including the right people at the right time may be a useful instrumental goal – but even this is much easier said than done. What is of most importance is that decision makers gain a clear picture of the diversity and range of groups affected by a given decision making process – and abandon all illusions of identifying an "average citizen".

Box 3.3. **Austria: "Children to the Centre"**

In July 2004, the provincial government resolved that Vorarlberg (the westernmost of the nine provinces in Austria) should become a region specially oriented to the needs of children, young people and families. To that end Vorarlberg launched a comprehensive public participation process called "Children to the Centre" which included a number of concrete actions:

- Children, young people, adults and senior citizens developed ideas, visions and suggestions.
- Future workshops included children and young people.
- Adults took part in citizen juries and drew up a jury report with recommendations to the provincial government.
- An open space conference on the issue involving a range of specialists with a wealth of experience.

Based on these diverse inputs, a set of guidelines and specific measures to be taken by the provincial government of Vorarlberg were drawn up – several of which have since been implemented.

(For more information, see: *www.partizipation.at*.)

Breaking down barriers, increasing appeal

Ensuring a greater degree of inclusion in policy making faces two main challenges. Each poses significant, albeit distinct, challenges to the current *modus operandi*:

- **Barriers:** removing barriers to participation in terms of physical, cultural or socio-economic constraints; and
- **Motivation:** ensuring that participation in policy making has greater appeal and offers greater benefits to all participants.

Governments were asked to rank a number of barriers and possible reasons for non-participation. Whether their answers to the questionnaire were based upon in-depth research or simply their own perceptions of the issues at stake is not clear. With this in mind, the following results should be read more as offering some indications of where governments consider the main challenges to lie.

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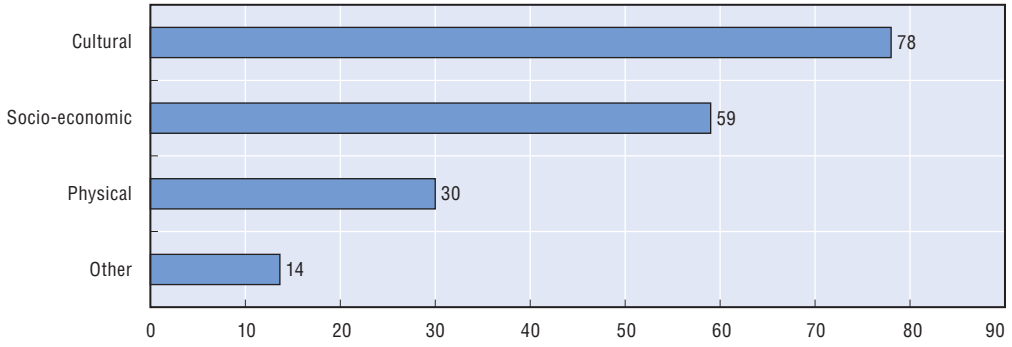
What are the barriers to participation?

Barriers of language, time and public awareness are all examples of objective barriers to participation. Subjective barriers include people's lack of faith that government will listen and low confidence in their own ability to express themselves. The challenge is to create an enabling environment which ensures that people could participate if they wanted to. This entails *a)* lowering the barriers (*e.g.* distance, time, language, access) for those who wish to participate and *b)* building capacity, skills and knowledge to participate effectively.

Figure 3.1. **What barriers are people facing? (% respondents, n = 25 countries)**



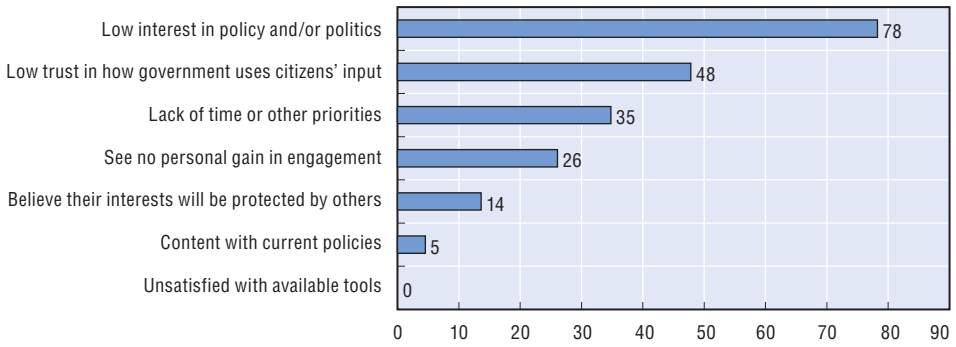
(% respondents ranking the option as "important" or "very important".)

Over three-quarters of the respondents (78%) identified cultural barriers (*e.g.* lack of command of the official language) as being "important" or "most important" while over half (59%) saw socio-economic barriers (*e.g.* education, access to ICT) as playing a large role. Physical barriers (*e.g.* for those with physical disabilities or living in remote rural communities) came a distant third place and were cited by 30% of the respondents. Among the other barriers mentioned were the fact that many participation excercises take place during working hours or that people simply lack the time and energy to get involved.

What motivates people to take part?

If the opportunities for public participation are greater today than ever before, why don't more people get involved? Governments report a number of reasons for people not wanting to participate in policy making even when they do not face any particular external barriers. These results can help in formulating a "diagnosis" of the causes of non-participation and hence options for action.

Figure 3.2. **Why don't people participate? (% respondents, n = 25 countries)**



(% respondents ranking the option as "important" or "very important".)

Over three-quarters of the respondents (78%) attributed a lack of interest in policy issues or politics as being an "important" or "very important" factor affecting people's decision to *not* participate in policy making. Just under half (48%) indicated citizens' low levels of trust in how governments would use their input as a motivating factor. Taken together, these figures are a sobering wake-up call for governments to take action to reverse citizens' perceptions of their declining relevance and trustworthiness.

> Many people continue to perceive public authorities as distant from their concerns and do not dare imagine that their opinion, even if it is very personal or non-institutional, could legitimately be heard in a public decisionmaking process.
>
> (France questionnaire response, 2007)

People are busy. They are also rational actors who need to allocate their limited time and attention. Just over a third (35%) of the respondents recognise that many of their citizens are "time poor", a quarter believe citizens see no immediate gain in participating (26%) or act as "free riders" content in the knowledge that someone will promote their interests on their behalf (14%).

Apparently none of the respondents thinks that people are unsatisfied with the tools currently available. Certainly, governments have never had so many options (online and off) for informing people of, and engaging them in, policy making or service delivery. This finding is itself significant as it demonstrates that there are no "quick fixes" when engaging the "able but unwilling" (*e.g.* by simply rolling out another new tool or channel).

Only a very few (5%) of the respondents believed that the lack of participation was because people are content with current policies and therefore do not feel the need to get involved. This is an important result, as it draws attention to the "silent majority" whose silence cannot, according to these survey results, be blithely attributed to people's satisfaction with government policy making and service delivery.

How can barriers be lowered?

When it comes to informing the "willing but unable", respondents ranked a series of measures which can be grouped into three main types. These are factors which determine the successful dissemination and uptake of government information, namely its:

- **Content** – providing concise and/or simplified information, or in additional languages.
- **Format** – providing large-letter or spoken information.
- **Channel** – using intermediaries to reach target groups.

Close to three-quarters (72%) indicated that they provided information in other languages and that they provided concise or simplified information (72%). Over half (60%) turned to intermediaries, such as CSOs or community groups, to esure that government information reached a wider group of people. Just under half (48%) provided large-letter or spoken information, while 44% mentioned a range of other measures including: communication campaigns, online information, multimedia tools.

In terms of lowering barriers to consultation and participation, countries' aggregate priorities fell rather neatly into three main categories of measures. First and foremost, respondents cited measures to overcome physical barriers as "important" or "very important", followed by cultural barriers then socio-economic barriers.

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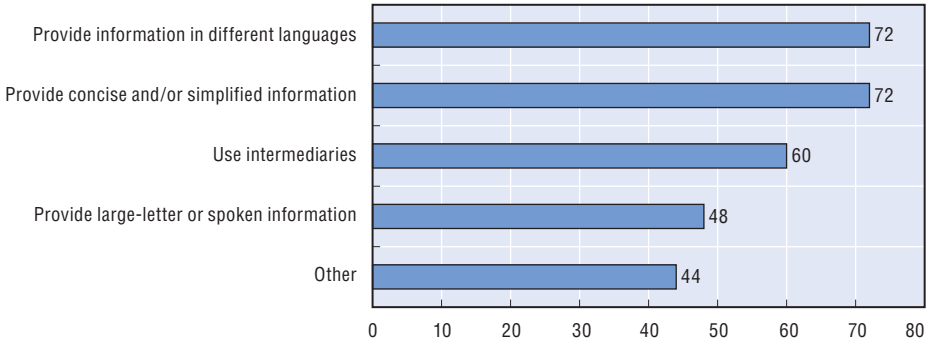
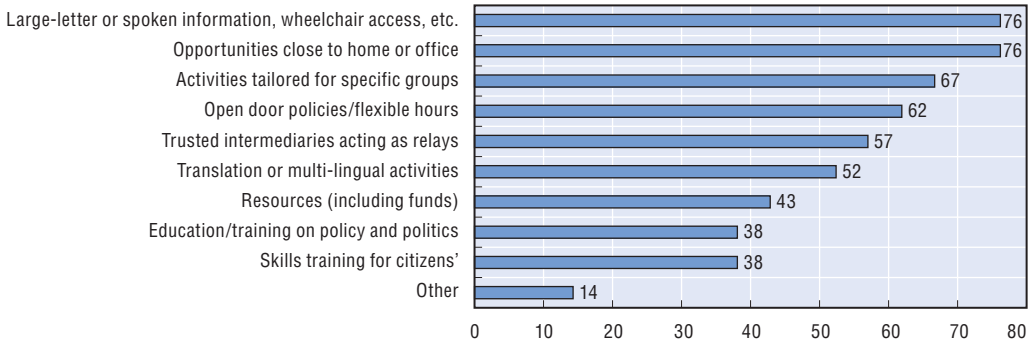
Figure 3.3. **Measures to lower barriers for government information (% respondents, n = 25 countries)**



(% respondents ranking the option as "important" or "very important".)

Figure 3.4. **Measures to lower barriers for consultation and participation (% respondents, n = 25 countries)**



(% respondents ranking the option as "important" or "very important".)

Over three-quarters (76%) mentioned efforts to overcome physical barriers by using large-letter or spoken information and wheelchair access as well as proximity measures (*e.g.* providing opportunities close to home). Close to two-thirds (62%) also mentioned flexibility measures (*e.g.* open door policies/flexible hours) as a means of lowering physical barriers for consultation and participation. Over two-thirds (67%) saw tailored consultation and participation activities (*e.g.* designed for women only, or immigrants only) as being useful measures to lower cultural barriers for the "willing but unable." Over half (57%) turned to trusted intermediaries to act as relays with specific target groups or used translation or multi-lingual activities (43%). Fewer than half addressed socio-economic barriers by investing resources (43%) to support the active engagement of the "willing but unable." Fewer still invested in raising citizens' skills for engagement (38%) or in education or training on policy issues or politics in general (38%).

Although mentioned here in relation to the "willing but unable", many of these measures can, of course, improve access for everyone. This is analogous to efforts to ensure greater accessibility to the online world, where applying the W3C (*www.w3.org*) accessibility standards helps make better websites for all – not just for people with disabilities.

Box 3.4. **Austria: Developing a social integration strategy through an inclusive participation process**

In late 2002, the town council of Krems, a medium-sized town with a population of 25 000, launched a public participation process called "Different Origins – Shared Future" with the aim of drafting a social integration strategy, A public launch meeting led to about 100 people (citizens, migrants, politicians, civil servants as well as representatives of employers' and employees' organisations) taking an active role. Six study groups were formed (of 10-25 people each) and developed proposals for specific areas (*e.g.* administration, education, culture, health and employment) in which migrants experience difficulties in integration. These proposals fed into a social integration strategy which was adopted by the town council with full support from all political groups.

(For more information see: *www.partizipation.at*.)

Box 3.5. **European Commission: Fostering eInclusion**

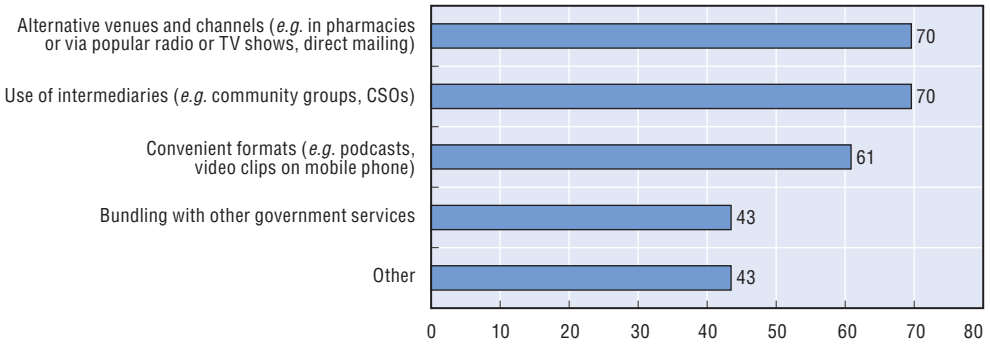
The eInclusion@EU project was set up to support Information Society policy making in the European Union by creating a knowledge base and by building an active network of practitioners in this field. The project focused on three main topics: *a)* eAccessibility as a component of eInclusion; *b)* eInclusion in relation to work and employment; and *c)* eInclusion in relation to online services. The project delivered policy roadmaps for each of these topics and a set of detailed recommendations addressed to the European Commission and other stakeholders. The eInclusion@EU project ended in early 2007.

(For more information, see: *www.einclusion-eu.org*.)

How can appeal be increased?

In an age of information overload and multiple claims on people's attention (which is limited) and time (which is increasingly their most precious asset), one of the key challenges for governments is to increase the relevance and appeal of their open and inclusive policy making initiatives.

Figure 3.5. **Measures to increase uptake of government information (% respondents, n = 25 countries)**



(% respondents ranking the option as "important" or "very important".)

Respondents appear to recognise these challenges as their own. Close to three-quarters (70%) consider alternative venues, channels and intermediaries useful in reaching

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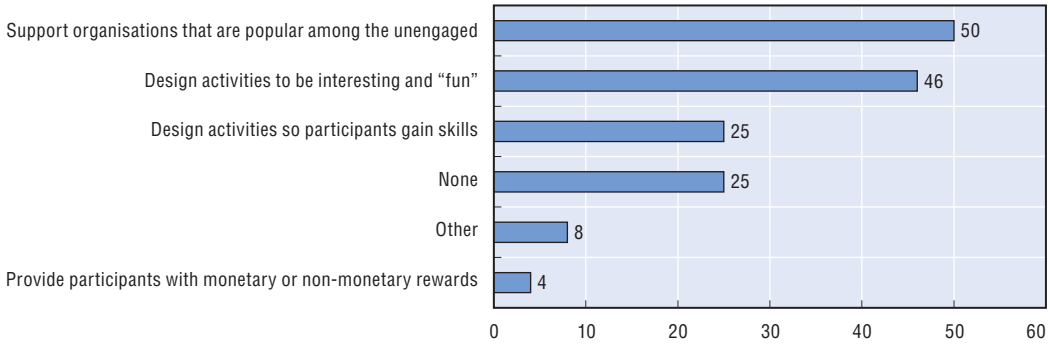
the "able but unwilling." It is of interest to note that here too, governments appear to make good use of intermediaries in disseminating information to a degree comparable with "hard to reach" groups. Some 61% rate highly the use of convenient multimedia formats (*e.g.* podcasts) and bundling with other government services (43%).

Figure 3.6. **Measures to increase the appeal of consultation and participation initiatives (% respondents, n = 25 countries)**



(% respondents ranking the option as "important" or "very important".)

Half of the respondents (50%) report that they support organisations that have high membership or support among the unengaged as one of the ways to enhance the appeal of their consultation and participation initiatives. Just under half (46%) seek to make participation activities interesting or "fun", while a quarter (25%) design the activities so that participants gain useful skills which they can then apply in other areas of their lives (*e.g.* in education or job searches). Very few respondents (4%) seek to raise appeal by providing rewards for participation. Yet another significant finding is that a full quarter of the respondents make no efforts at all to increase the appeal of their open and inclusive policy making initiatives.

Box 3.6. **France: The high school participatory budget of the Poitou-Charentes region**

In January 2005, the Poitou-Charentes region in the west of France created the High School Participatory Budget – the first of its kind in France. Each year the 93 public high schools in the region have the responsibility of allocating 10 million euros, equivalent to approximately 10% of the regional budget for high schools. The process takes place in four main phases:

- At the beginning of the school year, a Participatory Budget Assembly is held in each high school to present the initiative and to hold small group discussions (12 persons each) aiming to identify projects that could improve daily life at school. Each group chooses a spokesperson to present their group's proposals to the plenary assembly.
- In the course of the following weeks, the public servants of the Region of Poitou-Charente evaluate the technical feasibility and costs of each project proposal.
- During the second meeting of the Participatory Budget Assembly, the public servants present their evaluations of technical feasibility and cost of each project proposal. On the basis of this information, and with a view to promoting the general interest of the high school as a whole, participants then deliberate on the project proposals. Finally, participants vote on each project leading to a clear prioritization among the project proposals.
- The Regional Council then votes on the funding for the top-ranked projects up to the limit of 10 million euros earmarked each year. Generally, the first 3 project proposals in each school are financed.

Box 3.6. **France: The High School Participatory Budget of the Poitou-Charentes Region** *(cont.)*

Participation levels have risen steadily each year, as has the proportion of students participating in the assemblies: 10 702 participants (of which 66% students) in 2005-06; 14 043 participants (77% students) in 2006-07 and 15 399 participants (87% students) in 2007-08. This process has led the Region to finance 1 015 projects developed at the level of each high school and adapted to their specific needs. These projects generally cover the purchase of equipment, refurbishment of school buildings and projects aiming to improve the quality of life in school. The High School Participatory Budget is seen as a valuable tool to better understand the concrete problems faced by each school and to ensure that the region's budget spending actually addresses the needs of each school in a transparent, participatory and efficient manner.

(For more information, see: *www.democratie-participative.fr*.)

Box 3.7. **UK: The Innovation Fund**

In July 2008, the Ministry of Justice launched the Building Democracy Innovation Fund (endowed with a total of GBP 150 000 for grants of up to GBP 15 000 each) to support innovative approaches to encouraging people to be more actively involved in democratic life. In the words of the Democracy Minister Michael Wills, "Active participation is essential for a healthy and vigorous democracy. Through the Innovation Fund, we are looking for new and interesting ways to get people engaged in the political life of their community". Applications could be based around online, media, or community activity or any combination of these. They were lodged via a dedicated website (*www.buildingdemocracy.co.uk*) providing full details about the competition (*e.g.* selection criteria, deadlines) and encouraging applicants to strengthen their project proposals by sharing and discussing their ideas on the website before submitting an official application.

Applications closed on 26 September 2008 and decisions announced in October 2008. This is the third year this type of initiative aimed at improving democratic engagement has been undertaken, a total of eight proposals were funded in 2006-07 and another eight in 2007-08. Previous winners include *www.FixMyStreet.com* (for more details, see Box 5.8).

Beyond spin, towards meaningful engagement

These results indicate that OECD governments recognise that there are more fundamental questions at stake when seeking to engage people effectively. These questions go well beyond the technical issues of choosing appropriate content, formats or channels.

Among the challenges faced by governments are how to:

- Design cost effective and useful public consultation and engagement initiatives?
- Make public policy more interesting and relevant to more people?
- Earn and keep people's trust that government will actually use their input?
- Address the very real constraints of the "time poor" that characterise modern urban societies in OECD countries?

- Design engagement so that everyone gets direct, tangible, personal benefit in terms of building "skills for life", knowledge or self-confidence?

Governments in many OECD member countries are seeking to raise the effectiveness of their consultation and participation initiatives. Part of the solution lies in understanding how to design public participation around people's busy lives. Another piece of the puzzle lies in raising professional standards and the quality of participation processes. It is in this last area that evaluation, as an essential element of ongoing learning and continuous quality improvement, can play a major role.

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PART I

Chapter 4

Evaluation Improves Performance

Evaluation of open and inclusive policy making remains a real challenge for governments. Even though many OECD member countries have introduced standards or guidelines for open and inclusive policy making, performance against these standards is rarely evaluated on a regular basis. This chapter reviews how evaluation of open and inclusive policy making is being used as a tool for improving current and future practice.

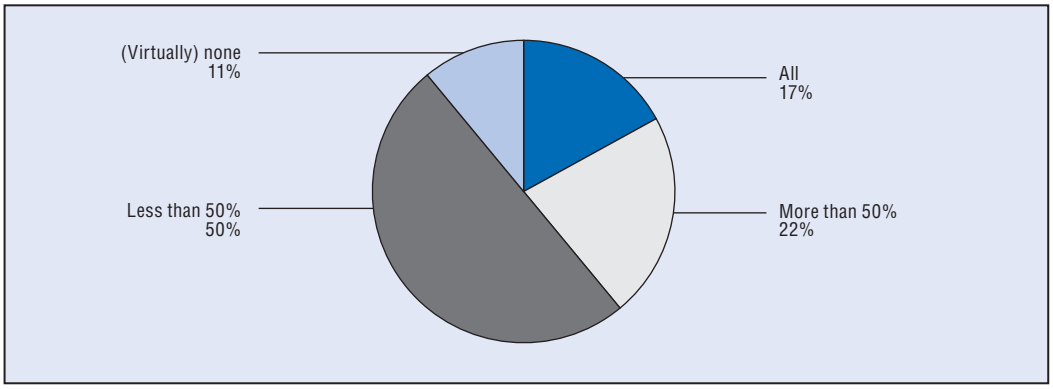
*"Increasing the focus on doing better rather than just more participation [and] … a stronger evidence base of what works"**
– Edward Andersson and Richard Wilson (Involve, UK)

Evaluation remains a challenge

Of the 25 countries responding to the questionnaire, 80% indicated that central government had developed standards or guidelines for open and inclusive policy making. Yet over a quarter (28%) of them either left the evaluation section of the questionnaire entirely blank or answered only a few of the questions – citing a lack of experience with evaluation. This itself is indicative of the challenges facing governments in terms of developing the tools and capacity to evaluate their efforts to meet their own standards for open and inclusive policy making. Of the 21 respondents who answered, only 38% reported having developed performance indicators for open and inclusive policy making.

Of the 18 respondents to the question "What proportion of open and inclusive policy making initiatives are evaluated?", 11% reported that they evaluated virtually none of their open and inclusive initiatives, while 50% reported that they evaluated less than half of their open and inclusive initiatives. Close to a quarter (22%) of the respondents evaluate over half of their initiatives while only 17% can claim to evaluate them all.

Figure 4.1. **What proportion of open and inclusive policy making initiatives are evaluated? (% respondents, n = 18 countries)**



Note: Percentages expressed in terms of the 18 countries who answered.

These findings invite a number of reflections:

- The evaluation gap identified in the 2001 report is alive and well (in at least a quarter of the OECD member states, if not more).
- Standards have been developed but performance against those standards is not evaluated on a regular basis.

* See Part III, this volume.

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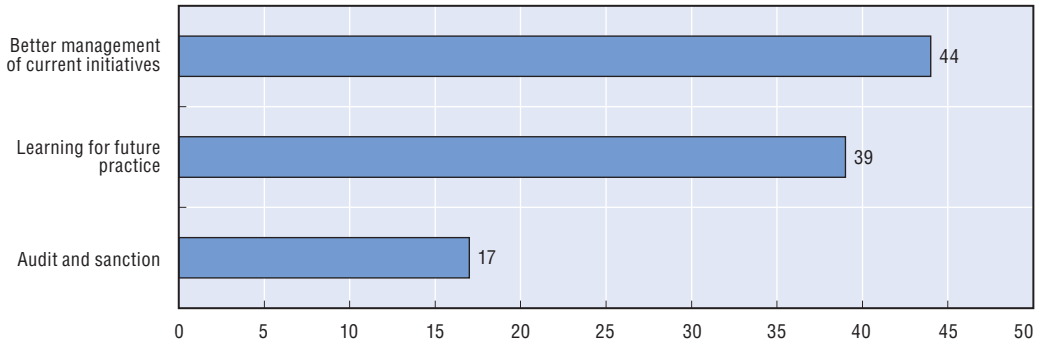
Evaluation remains a challenge for open and inclusive policy making. This may be due to a lack of planning, energy, attention or simply a fear that transparency may draw criticism and undermine support for open and inclusive policy making. Such fears are, however, obstacles to improving performance and ensuring good practice, as noted in the quote below from New Zealand's *Guide to Online Policy Making*.

> Evaluation is too often an afterthought, or left out altogether. Unwittingly perhaps, proponents and detractors of public participation conspire to maintain the current "evaluation gap" – albeit with different ends. Given the lack of benchmarks against which to measure the costs and benefits of this emerging field of practice, proponents are loathe to lay bare the real costs of participation as they are unsure what counts as too much or not enough. They are also unsure how to account for the tangible and intangible benefits of public participation. Detractors benefit from the lack of hard data on either costs or benefits as it allows them to vociferously maintain that whatever is spent, is certainly misspent.
>
> In the end, it is the public that pays twice over – first, as taxpayers funding government's efforts to inform and engage with them; second, as participants who have to make do with poorly planned and executed public participation initiatives. As public servants we owe them a better deal.
>
> (State Services Commission of New Zealand, 2007)

Why evaluate?

The questionnaire proposed three main reasons for undertaking the evaluation of open and inclusive policy making and gave respondents three options to prioritise, namely: audit (past), management (present) and learning (future).

Figure 4.2. **Countries have different reasons for evaluating open and inclusive policy making (% respondents, n = 18 countries)**



Note: Percentages expressed in terms of the 18 countries who answered.

Of the 18 countries who submitted responses to this question, close to half (44%) indicated that evaluation helped improve the management of current initiatives while over a third (39%) felt that it provided valuable lessons for improving future practice. Only a few countries (17%) undertook evaluation for the purpose of audit and sanction.

These responses reflect a sound understanding of the limits of evaluation by OECD countries in what is still a relatively new domain of practice. Evaluation is clearly seen as a means of improving current performance and future practice rather than an instrument of

Box 4.1. **Austria: Evaluation helps government identify people's expectations and needs**

Austria's questionnaire response provided additional insights into its evaluation efforts. Among the reasons given for undertaking evaluation were:

- To make policy and service delivery more responsive to the needs and expectations of people.
- To find out what citizens expect from the civil service and what their real needs are.
- To raise citizens' satisfaction with the services provided.

Among the methods used were:

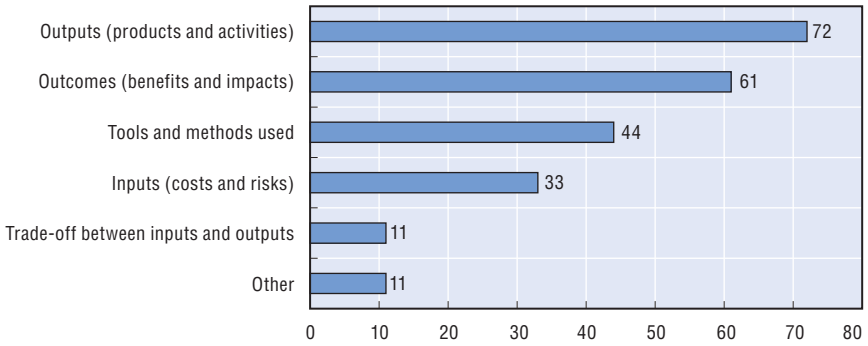
- Customer satisfaction research studies at all levels (federal, local).
- Guestbooks on Internet platforms providing information and services for all citizens (help.gv.at).
- Special feedback-platforms on various homepages of ministries (finanz-online).

inspection and sanction. It demonstrates the need for further development of methodology, tools and knowledge sharing in this emerging field.

What is being evaluated?

The evaluation of open and inclusive policy making initiatives can encompass a number of elements (*e.g.* inputs, outputs and outcomes), and the questionnaire proposed a range from which respondents were asked to choose and prioritise.

Figure 4.3. **Countries evaluate a range of factors in open and inclusive policy making (% respondents, n = 18 countries)**



Note: Percentages expressed in terms of the 18 countries who answered. The graph expresses the sum of the percentages for the three factors considered to be of most importance for respondents (*i.e.* those ranked most important, second most important and third most important).

When to evaluate?

Evaluation can be conducted upstream, downstream or as part of the exercise itself. The choice of timing influences how the results of evaluation will be used to improve performance. The results of an evaluation which takes place after a given open and inclusive policy making initiative is completed (*i.e. ex post* evaluation) will clearly have little chance to impact on anything other than future reiterations of the exercise. Evaluations that are conducted alongside open and inclusive policy making processes (*in itinere* evaluation) can provide "real time" results which can be used immediately by managers of to adjust their activities.

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The majority (83%) of the respondents indicated that they conducted evaluation *ex post*, after the activities had been completed while close to three-quarters (72%) reported that evaluation happened during the open and inclusive policy making process itself (*in itinere*). Over one-third (39%) indicated that evaluation may take place at several moments (before, during, after the process), while only a minority (17%) undertook evaluation prior to the activities (*ex ante*).

Who evaluates?

A key issue in any evaluation is who undertakes the evaluation and under what terms. The relative merits of internal, independent and participatory evaluation have been discussed extensively elsewhere (OECD 2005). In short, independent evaluation may offer a greater degree of objectivity and legitimacy but will suffer from incomplete information and, all too often, limited impact on internal management and behaviour.

Internal evaluation has the great advantage of raising the likelihood that the outcome of the evaluation will be accepted as relevant and will be incorporated in the planning and management of future initiatives. At the same time, painful truths or uncomfortable results may be more readily ignored or underplayed thereby undermining the chance that evaluation leads to significant improvements in performance.

Participatory evaluation requires a substantial investment in building capacity amongst participants and providing methodological support. Its great advantage is that it raises the likelihood that the outcome of the evaluation will be accepted as relevant by all stakeholders and will provide the leverage needed to ensure that its results are used as a basis for future actions – one of the most common shortcomings of independent or external evaluations (see Table 4.1).

Table 4.1. **Advantages and disadvantages of internal, independent and participatory evaluation**

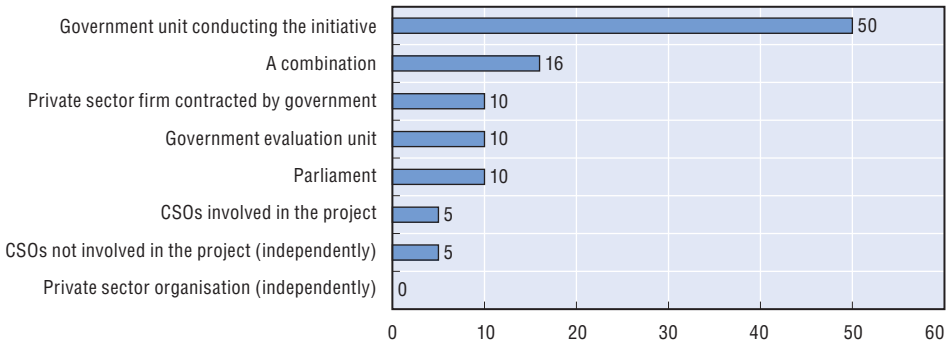
	Advantages	Disadvantages
Internal evaluation	• Full information • Maximises learning • Immediate application of lessons	• Limited competence • Can avoid difficult issues
Independent evaluation	• Competence • Legitimacy • Speed • New perspectives	• Incomplete information • Minimal internal learning • Low dissemination • Limited impact
Participatory evaluation	• Mutual learning • Lessons applied	• Low competence • Requires commitment • Slow

Source: OECD 2005a.

The 2007 questionnaire offered an opportunity to collect information regarding the main actors responsible for conducting evaluation of open and inclusive policy making.

Of the 19 respondents that answered this question, half (50%) indicated that the government units conducting open and inclusive policy making initiatives were also the ones responsible for their evaluation. Internal or self-evaluation is clearly the main option for the 19 countries who answered this part of the questionnaire. External evaluation was far less frequently cited and included: government units charged with evaluation (10%),

Figure 4.4. **Self-evaluation is the norm (% respondents, n = 19 countries)**



Note: percentages expressed in terms of the 19 countries who answered.

private sector firms contracted by government (10%) and parliament (10%). Participatory evaluation clearly plays a very minor role with only a few respondents citing civil society organisations (CSOs) as participants in evaluation (5%) or as independent evaluators (5%).

Box 4.2. **Canada: Building on multiple sources of evaluation**

The practice of evaluation is well-established in Canada and can involve a range of actors:

- Government departments regularly review their processes or engage in independent reviews.
- Parliament regularly reviews government performance through examination of Departmental Performance Reports and Reports on Priorities and Planning and through Standing Committee studies. Agents of Parliament may also review certain facets of government operations.

Some civil society organisations may also independently report on their experiences and outcomes of policies and programs.

Most governments in OECD member countries are still only at the early stages of embedding evaluation into their public engagement processes. Many express the need for practical and proportionate evaluation tools and methods.

Evaluation of public participation to date has been largely confined to assessing process quality and outputs rather than outcomes. More time and attention needs to be invested if we are to develop:

- Robust tools that go beyond the evaluation of specific initiatives to encompass the programme and policy level.
- Frameworks for *ex ante* "strategic public participation assessment" (akin to "strategic environmental assessment") to assess the need for and scope of public participation when planning new (or the reform of existing) public policies and services.

Above all, evaluation of open and inclusive policy making should be seen as an investment in institutional learning and continuous improvement which will help improve the cost effectiveness and quality of the process as well as the utility and legitimacy of the outcomes.

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PART I

Chapter 5

Leveraging New Technologies and the Participative Web

The rapid emergence of the "participative web" (also known as Web 2.0 or read/write web) is reflected in the exponential proliferation of wikis, blogs and social bookmarking. The tools and practices of the participative web can help improve policy making and service delivery by enriching government interactions with external stakeholders and enhancing internal knowledge management. This chapter reviews initial attempts by government to leverage the participative web and outlines some of the challenges ahead.

"Web 2.0 platforms that allow bottom up, social and user generated content could help to promote participation, inclusion and a sense of belonging to the community."
– Leda Guidi, Department of Communication and Information, Municipality of Bologna, Italy[1]

What are the benefits of the participative web?

Wikis, blogs and social bookmarking are just some of the platforms and tools that are profoundly changing the face of the web. The scale of the phenomenon is impressive and while Wikipedia, YouTube, Second Life, Flickr, Twitter and Facebook are rapidly becoming household names, the adoption of these platforms within the public administration is far slower.[2] The defining feature of what many are calling the participative web (also known as Web 2.0 or read/write web) is the ability of users to create, share and link content as they develop communities. A recent OECD report on *Participative Web and User-Created Content: Web 2.0, Wikis and Social Networking* (OECD, 2007) offers the following definition of the concept and its implications:

> The "participative web"… is based on intelligent web services and new Internet-based software applications that enable users to collaborate and contribute to developing, extending, rating, commenting on and distributing digital content and developing and customising Internet applications… New web software tools enable commercial and non-commercial service providers to draw on… the "collective intelligence" of Internet users, to use information on the web in the form of data, metadata and user resources, and to create links between them.
>
> (OECD, 2007).

The technical underpinning of these new, user-friendly online tools lies in the shift from the use of HTML[3] programming language to produce classic "read only" websites to the use of XML[4] which allows users to readily create, edit, link and share web-based content.[5]

Many commentators have extolled the virtues of collaborative networks for value creation in the private sector (Tapscott and Williams, 2006; Brafman and Beckstrom, 2006; Surowiecki, 2004). Fewer have examined their applicability to the public sector in any depth (Leadbeater, 2008; Johnston and Stewart-Weeks, 2007). This is surprising given that there is arguably a closer "fit" between the basic values of "altruistic" collaboration towards a shared goal and those underpinning the public service.

Three main benefits of participative web approaches for public policy making and service delivery can be identified:

- **Efficiency:** Turning the many separate strands of bilateral "traffic" between individual citizens and government into a public information resource can help reduce administrative burdens for both the administration and the citizen (*e.g. www.fixmystreet.com*). For example, by publishing online the results of a specific request filed under access to information legislation, citizens (or other actors) can avoid

having to file a new request and governments can avoid the burden of having to respond to identical requests in the future (*e.g.* single service counter and Automatic Distribution System for petitions offered by the Ombudsman of Korea *www.epeople.go.kr*). Such an approach could offer significant benefits for all non-personal data transactions.

- **Innovation:** Online collaborative tools, such as wikis and data-sharing sites,[6] allow asynchronous collaboration with actors inside and outside government (*e.g. wiki.participation.e.govt.nz/wiki*). They can be used to pool knowledge and ideas but can also harness the power of tagging, ranking, data visualisation and state-of-the-art search engines to sort through information, analyse data, establish priorities and develop recommendations.
- **Accountability:** The symbolic power of government seeking to develop policy on an online "public space" is itself an important asset in establishing public trust. So is the level of accountability exacted by online "reputation managers" where all participants are rated on, and held accountable for, their comments and submissions (for a private sector example see the LinkedIn answers service *www.linkedin.com*) Actors external to government are beginning to develop online tools for linking publicly available information in innovative ways and with geospatial information (*e.g.* local service delivery using Google Maps) (*e.g.* MapLight.org which links campaign contributions and legislators' votes *www.maplight.org*).

Box 5.1. **Ministerial meeting charts the course towards an open and inclusive Internet economy**

The 2008 *Seoul Declaration for the Future of the Internet Economy*, issued by Ministers from both OECD and non-OECD member countries at the OECD Ministerial meeting on the Future of the Internet Economy (17-18 June 2008), underlines the potential of the Internet, and related information and communication technologies (ICT), to improve citizens' quality of life. Including by "Enabling new forms of civic engagement and participation that promote diversity of opinions and enhance transparency, accountability, privacy and trust".

Ministers pledged to adopt policies that would foster creativity in the development and use of the Internet including policies that "Encourage new collaborative Internet-based models and social networks for the creation, distribution and use of digital content that fully recognise the rights of creators and the interests of users". They underlined the need to ensure inclusion through policies that "Recognise the potential of the Internet and related technologies to provide enhanced services to people with disabilities and special needs". In a similar vein, they agreed to pursue policies that "Promote the use of Internet and related ICT networks by all communities as well as the creation of local content and multi-language translations to improve economic and social inclusion of people with different capabilities, education, and skills, and to preserve cultural and linguistic diversity".

(For more information, see: *www.oecd.org/FutureInternet*.)

How can the participative web improve policy making and service delivery?[7]

The business of government is inherently "information rich" and an increasing proportion of public services are in part, or wholly, processed and delivered online. As a

consequence, any Internet-enabled platform that fosters enhanced efficiency and collaboration will have a significant impact on government's ability to co-ordinate and deliver effective public services. In addition to this impact on internal efficiency, participative web tools can be deployed externally at the interface with end-users and citizens in order to leverage their inputs when designing and, in some cases, even co-delivering public services.

The tools and practices of the participative web can help make both online and face-to-face public participation more open and inclusive. They are transforming three factors which contribute to successful policy making and service delivery:

- **Knowledge** which flows freely with the move from an "economy of scarcity" to an "economy of surplus".
- **Connections** which no longer binary, private and hierarchical but multiple, public and networked.
- **Actors** who are not just isolated "atoms" but are embedded in a dense network of loose links with many others.

Government use of the participative web will enhance its external relations with stakeholders. These developments have several important implications for policy making and service delivery by government as they interact with citizens, businesses and civil society organisations:

- **Government is just one of the nodes in the network** – albeit a large one which is well endowed and highly connected. It is obliged to struggle for the attention of those online, prove its relevance and add value in the same way as any other node.
- **People can be connected even if they are not on the Internet** – if they are offline, they may enjoy strong connections with others who are also offline. Membership of emerging virtual communities hardly discounts the importance of traditional communities.
- **People might be indirectly connected to Internet via others** – who are already online (*e.g.* granddaughters, radio journalists, frontline public service providers) who therefore provide a "conduit" for the two-way flow of information. You do not have to be online yourself to harness the benefits of the Internet if you know, and trust, someone who is.
- **People may be highly connected online and have little or no connection with government** – bypassing it altogether except for those moments of obligatory contact (*e.g.* registering births, deaths, paying taxes).
- **People will use their connections to share, compare and verify** – before placing their trust in the information and services provided by a given node (including government).

Government use of the participative web can also improve its internal capacities for knowledge management. Another use of participative web tools, of equally profound potential impact, is that within and across public sector organisations. Applications such as file sharing platforms and intranet-hosted wikis offer significant efficiency gains and huge potential for knowledge management and innovation within the public administration. As witnessed in such platforms as "Diplopedia" and "Intellipedia" in the US (see Box 5.4) some OECD countries are already beginning to actively explore these tools. While not accessible to the outside world, such platforms can provide efficiency gains that may, in turn, translate into better policy making and service delivery to external stakeholders and users.

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Box 5.2. **UK: Leveraging the web for a "national conversation"**

When he became Prime Minister in 2007, Gordon Brown promised to start a "national conversation" on a new constitutional settlement for Britain. But can a nation hold a conversation with itself? And how could the Internet be used to facilitate such a thing? In early 2008, upon the initiative of Michael Wills, the Minister of State at the Department of Justice, these questions were explored in the "Networking Democracy" experiment run by openDemocracy (*www.opendemocracy.net/networking-democracy*). This aimed not only to discuss the problems and requirements of online conversations, but also experiment with the way these conversations occur.

The conclusions were mixed. While most professionals in online participation were keen to explore the potential of the medium, they were skeptical about anything as concrete as a "national conversation" emerging. They emphasised that the Internet reduces the cost of communication, but does not eliminate the need to communicate. When people contribute to an online platform, a person at the other end is still required to read their comment and interpret what it means – a computer cannot (yet) do this. Scaling that up to a national level would require a significant commitment of time and resources. But as the conversation was opened up to more general participation, the potential of the web to disseminate conversation rapidly, through the "viral" spread of ideas, became apparent. The original ideas and discussions were distributed quickly to other interested parties all over the world, all of whom were able to have their say.

This initiative made it clear that national conversations do not – cannot – take place in one, all encompassing national forum. But they could, perhaps, take place in the multitude of smaller ones that spring up – in Facebook groups, blogs, forums set up for dedicated discussion of one topic or another. If people have trust in the system to listen, then this spread of participation can be swift and intoxicating. It is this potential that was glimpsed, if only slightly, by the Networking Democracy experiment. And it was clear that to be reached it has to invite people into a process that reaches a real outcome and it is not just a consultation that can be ignored.

A web-based national conversation, while relatively inexpensive in terms of previous media, as measured by the cost of involving a single individual, nonetheless remains costly overall. To involve people it needs to set out: *a)* its aims and objectives clearly; *b)* how people's contributions will be read and assessed and moderated and then aggregated; *c)* how there will then be a chance for participants to respond; *d)* how the outcome will then be reached.

(Fore more information, see: *www.opendemocracy.net*.)

Box 5.3. **France: Engaging users in designing online services**

In 2004, the Service for the Development of Electronic Government (SDAE – Le Service du Développement de l'Administration Electronique) of the General Directorate for State Modernisation (DGME – Direction Générale de la Modernisation de l'État) established a Users/Citizens network. This network is mainly, but not solely, composed of associations and includes representatives for several issue areas related to access: family, rural areas, seniors, consumers, mediators, exclusion, disability, job seekers, etc. This network has four main objectives:

- To associate its members with e-government projects that have an impact on citizens' lives through information and communication actions.
- To support the participation of user representatives in experiments such as online address changes, "my public service", public service contacts, the launch of a new service "Life changes" on the public service portal *www.service-public.fr*.
- To provide for exchange of information on innovative projects undertaken by the various members.
- To stimulate discussion on issues of common concern for all actors (*e.g.* e-government for all, innovative solutions for e-inclusion).

Several tools are used to support this network: general information meetings on e-government projects, specific working groups on issues of access, participation in studies and pilot projects of new services, priority e-mail news alerts, calls for comments.

(For more information, see: *www.modernisation.gouv.fr*.)

Box 5.4. **US: Intellipedia and Diplopedia**

Participative web platforms can enhance the performance of public sector organisations even when they are not open to the public. Since April 2006, the USA intelligence community has been using Intellipedia, a secure wiki that allows intelligence officers to better share and pool their knowledge. Reports suggest that while early take-up was slow, it is now widely used within and across intelligence agencies. Meanwhile, the US State Department has established its own internal online encyclopedia, called Diplopedia, and has witnessed the proliferation of a host of internal blogs on a wide range of issues of relevance to their mission. The use of online collaborative tools has helped foster communities of interest among State Department employees posted all over the globe.

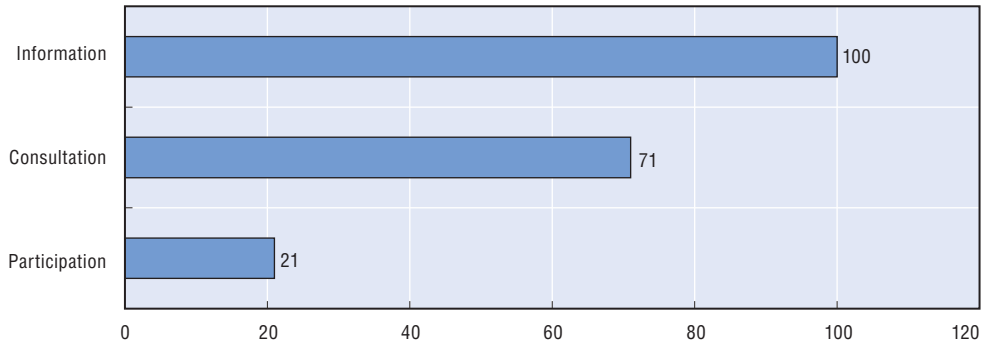
Source: Miller J. (2006) and Bain B. (2007). Online versions accessed 28 August 2008.

Are governments using the participative web?

"The Internet is the tool of choice for OECD member countries in providing citizens with access to government information anytime, anywhere" (OECD, 2001a). Many years after the first OECD questionnaire on the use of ICT in strengthening government-citizen relations in 2000, this finding holds true today. All respondents to the 2007 questionnaire indicated that their priority in the use of ICT is for the provision of information.

Today, close to three-quarters (71%) indicated that online consultation is also a priority. This represents a far larger share with respect to the beginning of the decade and is reflected in the multitude of country experiences with online consultation on draft policy, plans, programmes and legislation (see Figure 5.1).

Figure 5.1. **OECD governments use ICT to inform more than to engage people (% respondents, n = 25 countries)**



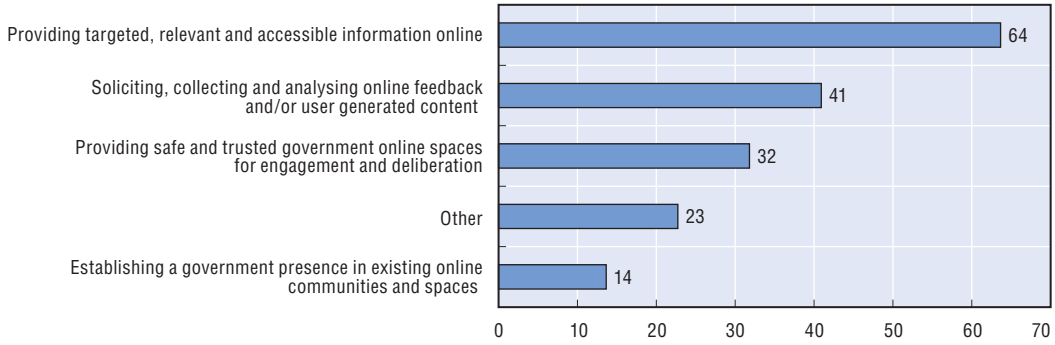
(% respondents ranking the option as "important" or "very important".)

What is more striking, and far less encouraging, is that another finding from the 2001 report appears to be equally valid today, namely: "Governments use of ICTs to actively engage citizens in policy-making is extremely limited in all OECD member countries at the national level" (OECD, 2001a). Indeed, only 21% of the respondents indicated that using ICT to foster public participation in policy making is a priority.

It may well be that this finding *may* be about to change with the current explosion of interest in – and initial tentative use of – "participative web" tools and platforms. Indeed,

respondents to the 2007 questionnaire indicate that they are beginning to explore some of the new "participative web" options available to them. Given the aggregate nature of these data and the rather large range of tools bundled under each option offered by the questionnaire, these results should be taken as indicative only and handled with due caution. What the results do show is that more fine-tuned investigation into the actual use and perceived success rate for government use of each of these tools (*e.g.* RSS feeds, wikis, SecondLife) is clearly needed.

Figure 5.2. **OECD governments are exploring new online options to inform and engage citizens (% respondents, n = 25 countries)**



(% respondents ranking the option as "important" or "very important".)

Close to two-thirds of respondents (64%) reported that they are providing targeted, relevant and accessible information (*e.g.* RSS feeds, e-mail alerts, blogs, podcasts, search engines, interactive games, viral videos, multilingual sites, websites meeting W3C accessibility standards). Of the respondents, 41% say they are soliciting, collecting and analysing online feedback and/or user generated content (*e.g.* online reputation managers,

Box 5.5. **OECD: Designing and launching Wikigender**

Wikigender (*www.wikigender.org*) is a public wiki that was officially launched by the OECD Development Centre on 7 March 2008 on the occasion of International Women's Day. Drawing upon the work of the OECD Gender, Institutions and Development Data Base, this wiki aims to facilitate knowledge exchange on gender-related issues around the world and to highlight the importance of social institutions such as norms, traditions and cultural practices that impact on gender equality.

With its "two-layer approach", Wikigender distinguishes official data from information that is provided by ordinary users. "Official source" pages are only open to Wikigender partners, but not the general public. Pages highlighted as an "Official OECD Page", for example, contain verified OECD content and are consequently protected from unauthorised modifications. All other Wikigender content can be freely accessed, edited and supplemented by any user with access to Internet.

The main goal remains that of developing a user-friendly platform to reach out to new communities who are willing to share and discuss their knowledge online. In this respect, Wikigender also serves as a pilot project for the OECD Global Project on Measuring the Progress of Societies (*www.oecd.org/oecdworldforum*.)

use of ratings, wikis, blogs, etc.). Close to a third (32%) are providing safe and trusted online spaces for engagement and deliberation (*e.g.* shared workspaces, wikis, simulations, interactive games, online discussion groups). Only 14% reported establishing a government presence in existing online communities and spaces (*e.g.* MySpace, SecondLife, popular blogs). Close to a quarter (23%) mention other strategies and tools including: portals (Canada), online consultation on draft laws and regulations (Norway), focus groups and user testing of new online services (France).

These fast-paced developments in online platforms and practice require us to update our conceptual "map" of the interactions which take place during policy making and service delivery – and which go beyond the increasingly porous boundary between online and "offline" participation.

Box 5.6. **Portugal: Using a social network site to engage with citizens abroad**

In early 2008 COTEC Portugal, under the High Patronage of the President of the Republic, launched the first edition of the Prize for Innovatory Entrepreneurship in the Portuguese Diaspora. As part of the media campaign to raise awareness of the prize, President Aníbal Cavaco Silva joined the StarTracker (*www.thestartracker.com*) a popular invitation-only social network site for Portuguese citizens abroad. As a member, he used one of the special functions of the network (a "star power") that allows members to make a wish that they would like to fulfill with help of other network members. President Cavaco Silva asked other StarTrackers to identify potential candidates for the diaspora entrepreneurship prize. Immediately after this request was launched, a number of network members addressed messages to the President welcoming his initiative, several hundred asked him to become a member of their personal network. In just over a month, 65 candidatures for the prize were collected, of which 14 came via StarTracker, some of them with a great track record. As follow up, the President thanked all members for their messages, their efforts and the results. Finally, online contact gave rise to direct contact when, in July 2008, the President gave the closing speech at a Star Tracker meeting in Lisbon, attended by over 800 network members living in Portugal and abroad.

The diaspora entrepreneurship prize was seen as an ideal theme for the President to explore these new channels, because he approached members with a specific cause and mobilised members to take concrete action in identifying candidates. Based on feedback from members of StarTracker, the President's initiative was highly appreciated as an attempt to engage with people for whom government institutions are remote – both literally (as expatriates) and figuratively. Using new channels also raises new challenges. For example, the tone in the conversation (which is less formal and more personal), what it means to be part of a network (the President received hundreds of requests to be part of personal networks, to which he responded positively) and how to maintain the conversation over time. What this example does demonstrate is that new participatory web platforms can be part of a strategy to constructively engage citizens living abroad with their home country and thereby reap the benefits of a more global and mobile world.

(Fore more information, see: *www.cotec.pt/diaspora*.)

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Box 5.7. **New Zealand: The ParticipatioNZ Wiki**

Participative web platforms can be used to engage a wider range of expertise and experience in drafting government policy. In 2007, the State Services Commission (SSC) of New Zealand developed "ParticipatioNZ wiki" a password-protected wiki that could be accessed by members of a Participation Community of Practice. This community includes a diverse range of people drawn from academia, government, business and civil society as well as international experts.

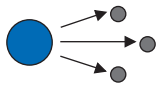
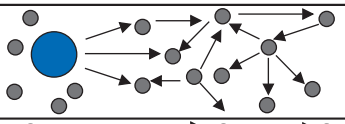
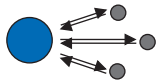
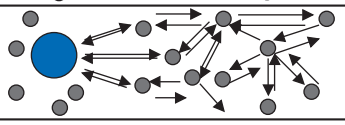
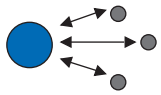
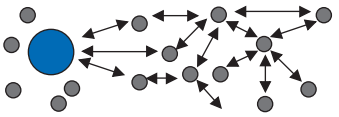
The process of designing and building the ParticipatioNZ wiki started in January 2007 and a beta version was launched on 30 March 2007 (see: *http://wiki.participation.e.govt.nz*). In the course of the following weeks, the SSC project team drafted content for the SSC's *Guide to Online Participation* directly on the ParticipatioNZ wiki, where members could review it instantly. All members were free to make edits directly on the draft text or to raise issues on the associated discussion pages for each section. All revisions to the guide were transparent thanks to the "history" function of the Mediawiki platform which shows the individual names of who those who make edits, which greatly increased the granularity of who contributed what and when. The draft *Guide to Online Participation* was also discussed at a face-to-face workshop in early May 2007 and a final version released in late 2007. (For more information see: *www.e.govt.nz/policy/participation/online-guide-07.pdf* and *www.e.govt.nz/policy/participation/guide-to-online-participation.html*.)

Source: Sommer L., Caddy J. and D. Hume (Part II, this volume).

Are we witnessing a paradigm shift?

Given what we know today about the importance of social networking (both online and offline), what is striking about the image used by the OECD 2001 report *Citizens as Partners* (OECD, 2001) in its definition of information, consultation and active participation is its depiction of a set of isolated individuals each relating to government on a bilateral basis (see Figure 5.3 below). The image is entirely silent about interconnected citizens, and the role of these relationships in shaping how individuals access government-held information, services and decision-making processes. With the advantage of hindsight, the OECD 2001 report could be said to represent a **Participation 1.0 model**.

Figure 5.3. **Shifting paradigms: from Participation 1.0 to Participation 2.0**

	Participation 1.0 model	Tools	Participation 2.0 model	Tools
Information		• E-mail alerts • Websites		• RSS feeds • Tag clouds • Podcasts • Webcasts
Consultation		• Online forms • Online consultation		• Blogs • Online polls • Online surveys
Participation		• Discussion forums • Shared online workspaces		• E-petitions • Mash-ups • Wikis • Tagging • Virtual worlds

Source: State Services Commission of New Zealand (2007), Glossary entry for "Participation 2.0".

The distinguishing feature of a **Participation 2.0 model** is the presence of networks, flexible connections and transient audiences – akin to David Weinberger's famous description of the web itself: "small pieces loosely joined" (Weinberger, 2002). Here, government may indeed "push" information out the door via blogs, RSS feeds and webcasts but cannot foresee how other actors will circulate, share, adapt or react to it. It may launch consultations online, but will then witness multiple interactions and exchanges among participants seeking to clarify, promote and substantiate their positions or undermine those of others. Rather than promoting active participation, governments may well be on the receiving end of e-petitions, spectators in collaborative workspaces and consumers of user-generated content.

Box 5.8. **UK: FixMyStreet.com**

FixMyStreet (*www.fixmystreet.com*) is a website launched by mysociety.org (see *www.mysociety.org*) in conjunction with the Young Foundation (*www.youngfoundation.org*) in February 2007 to help people report to, or discuss local problems (*e.g.* graffiti, unlit lampposts, abandoned cars) with, their local council by simply locating them on a map. After entering a postcode or location, users are presented with a map of that area. You can view problems already reported in that area, or report ones of your own by clicking on the map at the location of the problem. These reports are then sent to the relevant council by e-mail. The council can then resolve the problem the way they normally would. Alternatively, the website allows users to discuss the problem with others, and then together lobby the council to fix it, or fix it directly themselves.

What are the limits and challenges of leveraging the participative web?

Participative web tools are a means to an end. They do not themselves create social networks – but simply reveal existing ones and facilitate their development. Nor can they solve entrenched problems of co-ordination, conflict or apathy. They can help pool, tag and circulate knowledge thereby breaking down ministerial silos and transforming the bilateral traffic of citizens' exchanges with government into a common resource of questions and answers.

Wikis, blogs, multimedia and mash-ups of government information are among the many options available. If not today, OECD governments are likely to be actively exploring, and experimenting with, these new platforms and tools in the near future. In doing so they will need to address a number of challenging issues:

- How do people want to use technologies to interact with government policy making processes and services (*e.g.* personalised online interfaces, regular e-mail or SMS updates, instant messaging)?
- How can government-held information be accessed, analysed and re-purposed by other actors (*e.g.* mash-ups of service performance and geospatial data)?
- Will government agencies need to design their own participative web platforms or simply join existing ones (*e.g.* Facebook, MySpace, SecondLife)?
- How will governments ensure privacy and security on non-proprietary platforms (*e.g.* citizens' personal data stored on servers located abroad)?

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- How are governments ensuring that young people's experience of participation today whets their appetite for participation tomorrow as citizens of the future?
- What guidance and protections do civil servants need when they use participative web tools in their work?

Today, governments are taking the first, hesitant steps in the use of participative web tools and models to enhance the quality of public policy and services. As they explore the potential and limits of participative web approaches, they will need a steady hand and a clear compass to guide their navigation. A sound set of principles which are "future proof" and commonly agreed can provide such guidance in the face of ever-accelerating social, economic and technological change.

Notes

1. See Part III, this volume.
2. In July 2004, Technorati reports that there were some 3 million blogs in July 2004, a figure which had shot to over 70 million blogs only three years later (Technorati, *The State of the Live Web*, April 2007. See: *www.sifry.com/stateoftheliveweb*).
3. HTML or "HyperText Markup Language" is the predominant *markup language* for *web pages* developed by the World Wide Web Consortium (W3C).
4. XML or "eXtensible Markup Language" is an open standard for describing data which enables easy exchange of information between applications and organisations.
5. For a visually compelling account of the potentially far-reaching implications of this technical shift see: "The Machine is Us/ing Us" by Prof. Michael Wesch, Kansas State University on YouTube (*www.youtube.com/watch?v=NLlGopyXT_g*).
6. For example, data visualisation websites such as IBM's Many Eyes (*services.alphaworks.ibm.com/manyeyes/home*), freebase (*www.freebase.com*) and Swivel (*www.swivel.com*) where the OECD is an official data source.
7. This section draws heavily upon the content provided in the glossary entry for "Participation 2.0" in New Zealand's *Guide to Online Participation*. See State Services Commission of New Zealand (2007).

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PART I

Chapter 6

Principles to Support Practice

Sound principles can help guide practice. This short chapter presents a set of ten "Guiding Principles for Open and Inclusive Policy Making" which have been validated by comparative experience and extensive policy dialogues among government officials from OECD member countries.

"Sound principles can stand the test of time."
The Guide to Online Participation
State Services Commission of New Zealand (2007)

Sound principles can help guide practice

"One size fits all" is clearly not an option. To be effective, open and inclusive, policy making must be appropriately designed and context-specific for a given country, level of government and policy field. At the same time, a commonly agreed set of principles can guide practitioners when designing, implementing and evaluating open and inclusive policy making.

This section provides a set of robust principles validated by comparative experience and extensive international policy dialogue among government officials from OECD member countries. They are an expression of the cumulative experience of OECD member countries and serve as a common basis upon which all countries may draw when designing policies, programmes and measures for open and inclusive policy making and service delivery which are appropriate to their own national context. These principles can help governments improve their practice of open and inclusive policy making as a means to meet citizens' high expectations of their policy performance and democratic performance.

The set of updated principles presented here (see Box 6.1) are based on the "Guiding principles for successful information, consultation and active participation of citizens in policy-making" developed together with OECD member countries and published by the OECD in 2001 (OECD, 2001). Since their publication, the 2001 guiding principles have been widely cited and incorporated into national policy guidance. As this report shows, some of the principles have proved easier to apply than others. Recognising their enduring value, members of the OECD Steering Group on Open and Inclusive Policy Making undertook to review, revise and update them in the light of OECD member country experience.

Survey responses from both governments and CSOs have confirmed the validity of the original 2001 guiding principles. Based on discussions among OECD member countries, this report adds a new principle on "inclusion", subsumes the principle on "objectivity" under other headings and offers the updated set of ten "**Guiding Principles on Open and Inclusive Policy Making**" as a common basis on which to adapt practice to each country's context (see Box 6.1).

This set of guiding principles may be put to work in a number of ways – as guidance for government practitioners, as a basis for evaluation or simply as a tool for dialogue with civil servants, citizens, businesses and civil society organisations.

From principles to practice and practitioners

The first section of this report has focused on scoping the main issues, providing comparative data and trends and presenting the updated "Guiding Principles for Open and

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Box 6.1. **Guiding principles for open and inclusive policy making**

OECD countries recognise that open and inclusive policy making increases government accountability, broadens citizens' influence on decisions and builds civic capacity. At the same time it improves the evidence base for policy making, reduces implementation costs and taps wider networks for innovation in policy making and service delivery.

These Guiding Principles help governments to improve their open and inclusive policy making as a means to improving their policy performance and service delivery.

1. **Commitment:** Leadership and strong commitment to open and inclusive policy making is needed at all levels – politicians, senior managers and public officials.
2. **Rights:** Citizens' rights to information, consultation and public participation in policy making and service delivery must be firmly grounded in law or policy. Government obligations to respond to citizens must be clearly stated. Independent oversight arrangements are essential to enforcing these rights.
3. **Clarity:** Objectives for, and limits to, information, consultation and public participation should be well defined from the outset. The roles and responsibilities of all parties must be clear. Government information should be complete, objective, reliable, relevant, easy to find and understand.
4. **Time:** Public engagement should be undertaken as early in the policy process as possible to allow a greater range of solutions and to raise the chances of successful implementation. Adequate time must be available for consultation and participation to be effective.
5. **Inclusion:** All citizens should have equal opportunities and multiple channels to access information, be consulted and participate. Every reasonable effort should be made to engage with as wide a variety of people as possible.
6. **Resources:** Adequate financial, human and technical resources are needed for effective public information, consultation and participation. Government officials must have access to appropriate skills, guidance and training as well as an organisational culture that supports both traditional and online tools.
7. **Co–ordination:** Initiatives to inform, consult and engage civil society should be co-ordinated within and across levels of government to ensure policy coherence, avoid duplication and reduce the risk of "consultation fatigue."Co-ordination efforts should not stifle initiative and innovation but should leverage the power of knowledge networks and communities of practice within and beyond government.
8. **Accountability:** Governments have an obligation to inform participants how they use inputs received through public consultation and participation. Measures to ensure that the policy-making process is open, transparent and amenable to external scrutiny can help increase accountability of, and trust in, government.
9. **Evaluation:** Governments need to evaluate their own performance. To do so effectively will require efforts to build the demand, capacity, culture and tools for evaluating public participation.
10. **Active citizenship:** Societies benefit from dynamic civil society, and governments can facilitate access to information, encourage participation, raise awareness, strengthen citizens' civic education and skills, as well as to support capacity-building among civil society organisations. Governments need to explore new roles to effectively support autonomous problem-solving by citizens, CSOs and businesses.

Inclusive Policy Making". The rest of this report illustrates these findings by means of in-depth country case studies of current practice (Part II) and a collection of opinion pieces by leading government and civil society practitioners from a wide range of OECD member and non-member countries (Part III). Experience in the OECD member countries has shown that the practice of open and inclusive policy making evolves as part of an ongoing conversation amongst politicians, civil servants, citizens and other stakeholders. This report seeks to offer a useful contribution to this ongoing debate.

Whatever their starting point, governments in all countries are at a crossroads. To successfully meet the policy challenges they face requires a shift from "government-as-usual" to a broader governance perspective. One which builds on the twin pillars of openness and inclusion to deliver better policy outcomes and high quality public services not only for, but with, their citizens.

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PART II

Case Studies in Citizen Engagement

Introduction

From comparative to country analysis

In addition to presenting comparative data, gathered from governments and civil society organisations through questionnaires, this report recognises that much in-depth knowledge can be gained by studying concrete examples of citizen engagement practices in different countries and policy areas.

The 14 case studies presented in this section reflect diverse contexts and experiences with citizen engagement. First of all, because the cases are drawn from different stages of the policy cycle, secondly because they reflect a wide variety of methods of public engagement, ranging from participatory budgeting to the use of online tools. Thirdly, because they come from different levels of government: some from the local or regional level, others from the national level. And last but not least, the cases come from many different countries, each with its own traditions and history of public engagement. These range from Switzerland, with its longstanding tradition of direct democracy and referenda, to Finland whose established representative democracy is distinguished by a strong "consultation culture" to Korea whose relatively recent experience of democracy has given rise to numerous innovative experiments in citizen engagement.

Although diverse, the case studies fall into four broad thematic groups: regional and urban development (Australia, Canada, Germany, Norway, UK); local participatory budgeting (Turkey, Korea); national level participatory programmes (Austria, Finland, France and Switzerland) and building capacity and tools for engagement (The Netherlands, New Zealand, UK).

Insights from practice

These country case studies were produced by members of the Steering Group, national experts as well as by OECD Secretariat staff and submitted in the first quarter of 2008. Information provided in the case studies is to be considered valid up to that date.

All case studies are built on the basis of a standard outline, but one which left ample latitude to capture the specific features of a given engagement initiative. To simplify the comparison between different cases, most cases also present a table representing some of the key features and questions regarding practices of citizen engagement. These tables can be found throughout the case documents, and a summary of these features of the specific practices can be found in Table II.1 on the following page.

Although the limited number of cases and their diversity makes it impossible to draw definitive conclusions, a number of common features can be identified:

- **Benefits:** Most cases identify the benefits of public engagement in terms of improved knowledge and input to the decision making process for governments, and increased awareness among participants.

- **Costs:** The costs of running an engagement initiative vary widely, depending on the type of engagement method used, the number of people involved and whether people are reimbursed for the costs of their participation.
- **Risks:** Several cases acknowledged the risk of not capturing all voices or even a fair cross-section of all voices. Several cases also cite the risk of increasing the administrative burden for the organising institution. Some cases indicate that if the process takes too long, consultation fatigue may set in.
- **Inclusion:** Efforts to engage a representative part of the population appear to differ widely. In some cases, specific measures are undertaken to strengthen participation from all parts of society. In other cases this seems less of an issue or is not pursued as a benefit in its own right. In some cases, it would appear that government officials do not yet recognise inclusion as an issue to be addressed.
- **Evaluation:** Here too, practice varies widely. Some cases of citizen engagement are evaluated by external bodies, some by a combination of participants and the government unit responsible for the engagement process. Evaluation may focus on the process of citizen engagement, on the results, on costs and benefits or on a combination. In most cases, the focus seems limited to evaluating the process with only limited evaluation of whether public engagement has actually brought about a change in policy or decisions.

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Table II.1. **Overview of main characteristics of the country case studies**

	Regional and urban development				
	United Kindgom	Norway	Canada	Germany	Australia
Topic	Regional Economic Strategy in Northeast England	Urban planning in Trondheim	Self-sufficiency agenda in New Brunswick	Social and structural improvement of Bremen	Participatory community summit in Port Phillip
Costs	Approx. GBP 250 000	NOK 100 000 (approx. EUR 12 500)	CAD 100 000	Approximately EUR 300 000 (varies per year)	AUD 230 000 for event plus AUD 40 000 for video production.
Risks	– Consultation fatigue – Loss of public support – Increased administrative burdens	– Limited variety of voices – Process did not allow enough time for discussion – Rules for discussion unclear – Domination of discussion by some participants	– Non-representativity of participants and their input – Not all input could be accommodated – Loss of momentum	– Sustaining participation over long period of time – Consensus principle (instead of majority) makes decision making a lengthy process	– A set of principles were used to manage and mitigate potential risks
Benefits	– New input to substantive issue at hand – Increased understanding of different points of view on substantive issue	– Advice from panel provided to the municipality – Better understanding of planning issues for participants	– Increased awareness among general public – Long term model for engagement was created	– Strengthened social cohesion and better quality of life – Added value for city authorities – Empowered residents	– Four annual action plans were drawn up for the 2007-2017 City of Port Phillip Community Plan
Inclusion	– 1 000 stakeholders involved – Mostly experts and/or stakeholders, – No specific effort to guarantee a representation of the general public	– Invitation to participate was sent to random selection – Selection made sure that equal number of men and women, different age groups and inhabitants of different parts of the city were involved	– Hundreds of people involved – Citizens, business, NGOs, marginalized groups – The small size and strong community network of New Brunswick was helpful in recruiting partipants	– Between 40 and 80 people from business, residents, etc. – Overrepresentation of women, underrepresentation of immigrants	– About 750 people from all walks of life representing the diversity of the Port Phillip community.
Evaluation	– Carried out by independent consultancy	– Carried out by independent researchers	– Not evaluated	– Carried out by 2 external institutions	n.a.

Overview of main characteristics of the country cases studies *(cont.)*

	Participatory budgeting		National participatory programmes		
	Turkey	Korea	Finland	France	Austria
Topic	Participative budgeting in Çanakkale municipality	Participative budgeting in Buk-gu municipality	Citizen Participation Policy Programme	Environment Roundtable	The Forest Dialogue
Costs	TRY 35 000 (of which TRY 25 000 for projects)	Approx. EUR 17 700/year	n.a.	n.a.	Approx. EUR 76 000 per year (2003-08)
Risks	– Limitations in (financial) resources – Delays in implementation due to lengthy financial processes – Diffiiculties in management of project and participants	– Time consuming and inefficient budgeting processes – Increased administrative burdens – Increased citizen expectations/ demands	– Risk of lack of coherence and co-ordination given wide scope of policy programme – Risk of reaching only those who already deal with participation within the civil service	– Risk of achieving only a limited diversity among participants	– Risk of conflict of interest as Ministry is both the organizer of the process and a stakeholder – Risk that some stakeholders could not participate due to lack of time or resources
Benefits	– Increased awareness among public – Relevant input to substantive issue at hand – Better intra-institutional evaluation	– Budget information to citizens has improved – Increased number of consultations – Citizens put more trust in government	– Stronger connections established between separate projects undertaken by different ministries	– Raised awareness and provided opportunity for nation-wide debate – Contributed to shaping national environmental policy	– Dialogue produced a common vision for Sustainable Forest Management in Austria
Inclusion	– Approx. 0.6% of the total population participated in 2007	– Over 1 000 stakeholders from private, public sector, academia, NGOs etc. – Risk of exclusion due to digital divide	– All active civil society organisations were involved – The programme also engaged individual citizens through direct mailing, meetings, round tables, workshops and Internet	– Over 15 000 people took part in the regional meetings – Over 14 000 people took part in the internet forum – Limited participation by women	– All relevant federal organisations participate (81 in total) – Efforts to engage individual citizens (*e.g.* public meetings in which 350 people participated and an internet forum)
Evaluation	– Evaluation carried out by a joint group of participants	– Evaluation carried out by joint group of participants and civil servants	– Clear effectiveness targets are in the Government Strategy Document	– Final report published online	– Evaluation to be undertaken at the end of 2008

Overview of main characteristics of the country cases studies *(cont.)*

	National participatory programmes	Building capacity and tools for engagement		
	Switzerland	New Zealand	The Netherlands	United Kingdom
Topic	Standardized surveys on voter behaviour	Online Participation Project	Standards for public engagement	Building capacity for citizen engagement
Costs	Approx. EUR 120 000 per year	Staff costs	n.a.	n.a.
Risks	n.a.	– Use of a wiki as a platform for drafting government policy posed risks of: low take-up as unfamiliar platform, potentially offensive comments, limited capacity to react to volume of comments.	– Lack of agreed quality standards for the design and execution of citizen engagement processes no clear measure of the impact of citizen engagement on decision-making	– Few formal evaluations good and bad practice not captured and disseminated skills and experience are lost through staff turnover
Benefits	– Results can improve understanding of why a given proposal is rejected; helps Government improve its information policy	– Better quality policy guidance and contributed to fostering a sustainable community of practice	– Higher professional standards in public engagement ensure greater impact	– Public servants are better able to: identify when and how to consult; how to commission, monitor and evaluate public engagement exercises
Inclusion	– Survey takes representative samples of roughly 1 000 eligible voters	– Successful in overcoming barriers of time and distance given online platform – Less successful in including perspectives from different communities	n.a.	– A number of initiatives are underway to build capacity among citizens (*e.g.* to up-skill, encourage and empower citizens; demystify policy processes)
Evaluation	– Survey provides longitudinal data since 1977 for the evaluation of popular participation at the federal level	– Initial evaluation of the wiki conducted soon after launch	– The project evaluates 7 projects indepth and includes a web-based questionnaire of several hundred project leaders	n.a.

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PART II

Chapter 7

Building Future Scenarios for Regional Development in Northeast England, United Kingdom

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Introduction

Regional development policy in OECD countries often focuses on identifying and promoting sources of regional competitiveness in order to achieve and sustain economic growth. Attention is given to developing multi-sector, place-based policy packages that build on a location's endogenous assets to cultivate, attract and retain productive firms. Planning for such regional development increasingly involves national, regional and local governments, as well as other stakeholders, with the central government taking a less dominant role than in the past. The result is an approach to policy making that prioritises local knowledge, assets and potential for growth. This case study examines one approach to regional economic planning that took concrete steps to reveal and incorporate this local knowledge: a project in the UK called Shaping Horizons in the North East, or SHiNE.

Shaping Horizons in the North East (SHiNE)

Since 1997, strong emphasis has been placed on devolution and decentralisation of policy making and implementation in the UK through newly created regional bodies. This included the creation of nine Regional Development Agencies (RDAs) for the eight English regions plus Greater London whose goals include enhancing regional economic development and competitiveness. The RDAs do so, in part, by leading the development of a Regional Economic Strategy (RES) in co-operation with regional and sub-regional partners in their regions every three years.

The Regional Economic Strategy is a blueprint for economic planning and development. It lays out the region's main economic development priorities, offers a strategic assessment of the challenges and opportunities facing the region, and provides a framework within which stakeholders can act. Developing this document is intended to be a participatory process. In 2003, One NorthEast, the RDA for the northeast of England, launched SHiNE, a 14-month process that complemented the traditional research and consultation process used to develop the RES.

SHiNE was a futures-scenario building project intended to take advantage of local knowledge and create buy-in for the regional economic strategy in the North East region. The 2002 RES had been developed using more traditional planning strategies, and SHiNE represented a new approach intended to capture a broader spectrum of views than in the past. Its purpose was two-fold: to directly inform "Leading the Way", the 2006 Regional Economic Strategy, and to encourage actors in the region to take collective responsibility for the future.

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Table 7.1. **SHiNE: Key characteristics**

Costs	The project is estimated to have cost approximately GBP 250 000. This includes the fee paid to one consultancy (GBP 130 000), as well as the costs of organising meetings, five full-time staff time, travel costs, etc.
Risks	A number of challenges were anticipated and encountered in the implementation of SHiNE: • With an extended process of 14-months, the project ran the **risk of consultant fatigue**. However, as a completely new exercise, it was able to reach out to new actors and engage stakeholders in new ways that helped mitigate the fatigue that might have been encountered using a more traditional process. In addition, relying on a core team of 120 individuals to move the process forward meant that attrition of a few individuals was not exceptionally costly. • The project also ran the **risk of losing support** if was seen to be delaying planning efforts unnecessarily. A change of administration midway through the process meant (re)securing senior management support. • Finally, the project did increase the **administrative burden** on One NorthEast staff – requiring five full-time staff and tapping the time of other members of the One NorthEast strategy team.
Benefits	SHiNE influenced the North East Regional Economic Strategy (RES) in three ways: • First, it highlighted areas where the previous strategy fell short. • Second, eight priority areas identified by SHiNE contributed to the structure of the new RES. Credit is also given to SHiNE for revealing the importance of "Business, People and Place", the themes around which the RES and related documents are organised. • Finally, there is some suggestion that the process pushed the boundaries of thinking about economic development in the region. There is also a perception that bringing together stakeholders that were unlikely to meet in other circumstances to exchange of ideas added value in terms of understanding of different points of view on regional development.
Inclusion	The project engaged over 1 000 stakeholders in interviews, workshops and presentations regarding the issues and drivers impacting the region and its economic development. SHiNE engaged or reached the private, public and voluntary sectors, as well as academics, students, faith communities and others. No specific mechanisms were put in place to gather opinions from individual citizens, although the project web site listed a toll-free phone line that linked the public with members of the Project Team.
Evaluation	The project was evaluated shortly after completion by an independent consultancy. The results of the evaluation are publicly available.

Project implementation

The project, instigated and funded by One NorthEast was conducted with substantial support from a consultancy, as well as a communications firm. The process was organised around six teams of actors:

- A **Project Team** of 5 full-time staff within One NorthEast that led and managed the process.
- A **Management Group** composed of personnel from One NorthEast and their partners.
- An **Officers Group** composed individuals who "tested" the different phases of the project.
- A **Scenario Team** composed of 120 stakeholders from around the region that played the central role in the strategic conversation regarding key drivers, future scenarios, the strategic implications, the RES and future actions. The team was purposefully selected, largely by invitation, to ensure a broad representation of the individuals and organisations in the region.
- A **Regional Council** consisting of high-profile individuals invited from across the region that provided strategic guidance to the SHiNE process and opened doors to various organisations. The Council was chaired by the Regional Director of the Government Office of the North East, and included senior executives from the private sector, voluntary sector and academics.
- **Contact groups** of important organisations that could advise the process and confirm research findings.

The primary tool for engaging stakeholders was a series of workshops held to develop future scenarios and a related decision-making framework. In all, 15 workshops were

conducted with the Scenario Team in which the drivers and future scenarios were defined and/or refined, the 2002 RES was strategically reviewed, and actions for the future were proposed. These provided the foundation for the shared vision for 2016 which emerged from the project.

The workshops were complemented by interviews, presentations and information dissemination activities:

- **Interviews:** Prior to undertaking workshops, the Project Team launched SHiNE by conducting approximately 230 interviews. The purpose of the interviews was to reveal local perspectives and knowledge regarding the issues and drivers affecting the region and its future economic development. These stakeholders, who were identified largely through personal contacts and were formally invited to participate, included both individuals from the North East region, as well as people from outside the region who could provide an external view.
- **Presentations:** Over the course of the process the Project Team also provided over 130 presentations and interactive seminars for a variety of groups across all sectors in order to ensure that stakeholders remained engaged throughout. Groups ranged from large, influential organisations to private firms to high school students to grassroots community groups, and ultimately engaged over 700 individuals. These sessions were a mechanism for testing and tailoring the findings emerging from the work process.
- **Information dissemination:** Information about the SHiNE process was made available online through a web site that contained information about the project and links to a membership-only portal where "SHiNE Communities" could access project reports, background information, research findings and a forum for posting comments and questions. The web site was complemented by the SHiNE Information Line, a toll-free phone line that linked the public with members of the Project Team.

Overall, the project engaged over 1 000 stakeholders in interviews, workshops and presentations regarding the issues and drivers impacting the region and its economic development. SHiNE engaged or reached the private, public and voluntary sectors, as well as academics, students, faith communities and others. The risk that outcomes would not be sufficiently representative of regional stakeholders was heavily anticipated. Substantial time was spent trying to ensure a diversity of participants by extending invitations to participate to specific individuals and organisations, as well as presenting the SHiNE process to as many stakeholder groups as possible.

The findings from SHiNE were eventually synthesised and transmitted to One NorthEast RDA for incorporation into the Regional Economic Strategy. In addition to the SHiNE process, the draft economic strategy was formally submitted for public review in region-wide consultation process lasting from June through August 2005.*

Managing "risks"

A number of challenges were anticipated and encountered in the implementation of SHiNE. On the one hand, as an extended 14-month process, organisers ran the risk of encountering consultation fatigue. On the other hand, as a completely new exercise, SHiNE was able to reach out to new actors and engage stakeholders in new ways that could overcome the consultation fatigue that might have been encountered had a more

* This consultation process included opportunities for public and third sector agencies, businesses and citizens to attend large-scale events and to provide written feedback on the RES.

traditional process been implemented, as in the past. With a Scenario Team of 120, the loss of a handful of individual participants was also less costly to the process than it could have been had the team numbered 30 or 40 individuals.

With its extended timeline, the project also ran the risk of losing support if was seen to be delaying planning efforts unnecessarily. A change of administration at One NorthEast midway through the SHiNE process meant (re)securing senior management support – important for the project's success.

Finally, the risk that outcomes would not be sufficiently representative of regional stakeholders was heavily anticipated. Time was spent researching the regional organisations and key actors in those organisations to determine who tended to be represented frequently or infrequently. Some individuals asked if they could participate in SHiNE, but most others were invited directly to ensure both demographic and professional diversity. They were encouraged provide their personal perspectives, rather than to represent a particular group or position.

Impact of SHiNE

A substantial amount of time was spent on the SHiNE process, identifying drivers, and building and testing future scenarios. Efforts were made to identify and include a wide range of stakeholders, to keep them engaged, and to incorporate their thinking into the SHiNE process and products. After 14 months and approximately GBP 250 000, it is important to know if the project achieved its goals. Did SHiNE have an impact on the development of the third Regional Economic Strategy in the NorthEast, "Leading the Way"? Did it encourage regional actors to take collective responsibility for the future?

According to the project evaluation, SHiNE influenced the RES in three ways:

- First, it highlighted areas where the previous Regional Economic Strategy ("Realising Our Potential") fell short. The lack of attention to the issue of leadership, the inward-looking focus, the lack of prioritisation, and lack of emphasis on distinct regional assets and opportunities in the first RES were subsequently addressed in "Leading the Way".
- Second, eight priority areas identified by SHiNE contributed to the structure of the revised RES. Credit is also given to SHiNE for revealing the importance of "Business, People and Place" – the themes around which the RES and related documents are organised.
- Finally, the evaluation notes that as some proposals emerging from SHiNE were deemed too radical for "Leading the Way", this demonstrates that the process effectively pushed the boundaries of thinking about regional economic development in the region. The usefulness of SHiNE is further reflected in the references to the process and outcomes in multiple One NorthEast strategy documents, such as its 2005-2008 Corporate Plan.

In addition to contributing to the RES, SHiNE was intended to build a sense of regional ownership for future economic development. The evaluation points to positive effects of SHiNE on strategic thinking of participants and the value of bringing together a diversity of stakeholders for the purposes of learning and exchange of ideas. The 2005-2008 Corporate Plan notes that SHiNE "has also acted as a major catalyst for cross-sectoral networking" and goes on to note that the project underscored the continued need to build common understanding, language and leadership across sectors for economic development. Individuals who participated in the workshops often would not have met under usual circumstances, leading to important exchange of views. However, SHiNE's longer term effects on the activities of regional stakeholders are less well-documented.

Evolution of SHiNE

In December 2005, SHiNE merged with a programme funded by the (former) UK Department of Trade and Industry called Foresight to create Future Matters, a strategic futures consultancy operating in the region. Spinning off the SHiNE process meant shifting the capacity and knowledge developed as part of the regional consultation process away from One NorthEast. However, Future Matters continues to collaborate on multiple projects with the RDA while also working with public, private, and voluntary organisations in the region. One Northeast provides partial funding to Future Matters.

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PART II

Chapter 8

Public Engagement to Achieve Self-Sufficiency in New Brunswick, Canada

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Introduction

Driven by a world of increasing complexity and interdependence, OECD governments are struggling with how to evolve classically hierarchical structures into more horizontal, open and responsive service delivery and policy development models. An emerging strategy to create this shift is establishing system-wide goals that co-ordinate public service agencies and enlist other stakeholders, including other levels of government, business, civil society and individual citizens, in an attempt to achieve results. Open and inclusive policy making is critical to such a strategy, since stakeholders are more likely to buy into a goal they have some say in setting.

From a governance perspective, there are three basic and interconnected difficulties with this approach. First is legitimacy. Who can set goals, and who gets to influence the goal setter? Second is implementation. If we can set the goals, who is responsible for achieving the goals, and how can we hold those responsible to account for their performance? Third is political. Given that co-ordinating goals are often long term, and political mandates relatively short, does uncertainty about potential changes of government stall engagement? In other words, from a stakeholder perspective, is it worth investing the time and energy in pursuing a goal when the next government might come along and change the game? More fundamentally, are system-wide goals good politics? Do they help win elections?

This case study examines the recent development of the Canadian Provincial Government of New Brunswick's Self-Sufficiency Agenda as a way of exploring emerging answers to these questions.

New Brunswick's Self-Sufficiency Agenda

The New Brunswick Liberal Party led by Shawn Graham was elected in late 2006 on a platform that included an overarching goal that became the theme of the new government: self-sufficiency for the New Brunswick by 2026.

The goal is a response to a long-term crisis. Located in an economically underperforming region of Canada, New Brunswick has below average population growth as young people born in the province move away to areas of higher wages and more opportunity, while few others are moving into the province to take their place. Moreover, skills shortages due to an aging population mean that the New Brunswick's labour force could shrink dramatically and unsustainably within the next five years.

Self-sufficiency, then, is meant to focus the efforts of government, business, civil society and citizens in changing their situation. The definition of self-sufficiency is still subject to some public debate, but has been variously explained through three benchmarks of success:

1. Moving New Brunswick off the Federal Equalization Transfer Payment programme

The Federal Equalization Transfer Payment (known generically as "equalization") programme transfers federally collected tax dollars to provincial governments to ensure

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Canadians living in less prosperous provinces receive comparable levels of public services as Canadians living in more prosperous provinces. Examples of services delivered by provinces include health care, education and child protection. As of 2008, three of Canada's ten provinces are not receiving Equalization Payments: Ontario, Alberta and British Columbia.

The significance of New Brunswick potentially moving off of equalization payments is hard to overstate. As of 2008, New Brunswick receives the second highest level of equalization funds of all provinces. Getting off equalization would mean that the province funds all its public programmes under its own economic steam, signifying a larger population base, higher productivity and higher wages across the province. It would make New Brunswick one of Canada's economic leaders.

2. Increasing income to the national average

In January of 2008, many have come to see the first benchmark as perhaps too ambitious. The definition of self-sufficiency has been refined to mean raising the income of New Brunswickers to the national average.

According to 2001 Census of Canada Data, the average income in New Brunswick for men and women is CAD 25 107. The national Canadian average by the same measure is CAD 32 183 (Newfoundland Vital Statistics, 2001).

Higher incomes will support spending and economic growth for the province and improve the tax base to enhance key infrastructure such as transport, educational institutions and public healthcare.

3. Increasing New Brunswick's population by 100 000 people

In addition to higher incomes, to support increased economic growth and public investment the province will need more people. This means more immigration, an increased birth rate, repatriation of New Brunswickers who have left and more opportunities and incentives for those within the province to stay.

Statistics Canada estimates that as of October 2007, New Brunswick has a population of 750 851 (Statistics Canada, 2007). To achieve self-sufficiency by 2026, then, it is projected that the population of New Brunswick will be in the range of 850 000 people.

Setting the agenda

The Premier of the province has consistently emphasised the need to engage all New Brunswickers in progressing towards the self-sufficiency goal. In a conference speech, Premier Graham said: "Self-sufficiency is a 20-year goal. It can't be solely my agenda or the agenda of a Liberal government. It will need to be the shared dream of the people of New Brunswick" (Linke, 2007).

To begin the process of setting the agenda, the Premier appointed two well-respected business people – an Anglophone and Francophone, reflecting New Brunswick's bilingual population – to reach out to private citizens and stakeholders about their views on self-sufficiency and what it would take to achieve it.

The Premier also named a Provincial Advisor on Public Engagement to assist the public service in developing new approaches to getting New Brunswick's citizens and stakeholders involved in the project of self-sufficiency over the long term.

Together, the Self-Sufficiency Task Force and the Public Engagement Initiative represent the beginning and the future of a long-term strategy of open and inclusive policy making to achieve the goal of self-sufficiency.

Table 8.1. **The Self-Sufficiency Agenda: Key characteristics**

Costs	The Self Sufficiency Task Force is estimated to have cost between CAD 400 000- CAD 500 000. The Public Engagement Initiative has a budget of CAD 100 000.
Risks	A number of challenges were anticipated and encountered in the implementation of the Self Sufficiency Task Force and the Public Engagement Initiative. • For the Task Force, a risk was creating the right conditions for participants to be heard. There was a concern that certain styles of engagement would overly favour some kinds of groups or individuals over others. The Self-Sufficiency Task Force deliberately avoided "town hall" style public meetings, favouring one-on-one conversations, focus groups, written submissions and online surveys and discussion. • The Task Force wanted to avoid unstructured feedback. There was a concern that feedback from the public would be overwhelming or irrelevant to the essential issues, as the Task Force saw them. The Self-Sufficiency Task Force published position papers to provoke focused feedback from participants, improving the chances that the feedback was constructive. • There was a concern that New Brunswickers would see the Task Force process as illegitimate if it did not appear to take their views into account. Using discussion papers to be get reactions to the Task Force's preconceived ideas on the issue of self-sufficiency, and being upfront about the Task Force's attitude that it was not beholden to participants to accommodate all points of view meant that expectations about the process were managed. • Both the Public Engagement Initiative and the Task Force risked losing momentum. There was a concern that the Task Force was "just another consultation" destined to gather dust on the shelf. However, the Government's commitment to respond, and the fact that self-sufficiency is a centre piece of the political agenda in New Brunswick helped improve the chances the report would spark action. Similarly the Public Engagement Initiative Pilots (projects) flourished where there was strong senior management support, and suffered where there was less. • Project failures were a risk for the Public Engagement Initiative Pilots. A risk that was mitigated by keeping the projects small in scale.
Benefits	The projects have created the following benefits: • Awareness among the general public of key challenges facing New Brunswick. • Focus of attention and energy from government and stakeholders on solving the crisis. • A long-term model for public engagement to enhance collaboration in achieving the self-sufficiency goal. • Launch of Self-Sufficiency Government "Action Plan" supported by comprehensive strategies for enhancing public and post-secondary education, investment attraction local governance, and relationships with local First Nations.
Inclusion	Both projects have engaged hundreds of people, from individual citizens to business people to members of civil society organisations and representatives of marginalised groups. New Brunswick is a small province, and has strong community networks that ensure processes do not have to look too far to engage people and groups. In particular, the Self-Sufficiency Task Force worked to ensure its feedback was representative by basing its focus groups on a random, representative sample of New Brunswickers. A campaign to raise awareness about the face-to-face meetings was designed to draw in as wide a cross section of New Brunswickers as possible. The Public Engagement Initiative has used different strategies to ensure representative responses depending on the purpose of engagement. Where stakeholders or opinion leaders are the main object of engagement, drawing representation from the right sectors and interest groups (*e.g.* business, labour, education, media, ethnic groups, etc.) has been the main strategy. Where the public has been the object of engagement, public awareness campaigns have been used to draw in participation.
Evaluation	The projects have not been professionally evaluated.

The Self-Sufficiency Task Force

Chaired by two prominent New Brunswickers and supported by a small secretariat of two people, the Self-Sufficiency Task Force began in January 2007 and delivered its final report in May that year. It held focus groups, conducted an online survey, held online discussions and had one-on-one meetings with individuals and stakeholder representatives.

The Task Force produced a series of discussion papers, called "Reality Reports", that made clear their ideas and preconceptions about what the key issues were facing the province, and the steps they felt were necessary to achieve self-sufficiency. Based on these reports ("At the Crossroads", "An Export Driven Economy" and "Policy Options"), the Task Force invited reactions from New Brunswickers online, in writing, and in person.

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The Task Force deliberately held no public meetings. It was their view that public meetings tend to serve only the most vocal participants, and tend to dissuade others despite the value they might add. As a result, they were careful to choose mechanisms that allowed a variety of kinds of interaction for participants, and promised the most value for the Task Force.

Face-to-face meetings and written submissions were favoured by participants and the Task Force. These made a significant impact on the thinking of the Task Force members, especially the submissions that came from individual New Brunswickers instead of representatives of interest groups. Indeed, policy options around child care were not on the radar of the Task Force until it was raised consistently by participants in the process.

According to the Secretariat, the Task Force underestimated the resources required to drive very productive discussion in the online forums. While there was a good deal of useful information that came out online, the forums tended to be dominated by a few regular voices rather than a wide cross section of people. In this way they were seen as analogous to public meetings, and thus a poor tool for hearing a range of views on issues.

TheTask Force reached out to the public primarily through media presence – interviews on radio and television, as well as articles in newspapers. A key strategy for the Task Force was to communicate what was happening in the process and invite participation, but also ensure that the public had no expectations that the Task Force had to accept the views of anyone and everyone who contributed.

Participation was as follows:

- Face-to-face meetings with nearly 100 groups and individuals.
- Commissioned four focus groups with a random selection of between 8 and 12 members per group.
- Conducted an online survey that garnered 960 responses.
- 69 individuals posted a total of 261 comments to the online forum.
- Received 420 written submissions from individuals, interest groups, community organisations, academic researchers, educational institutions, local and federal governments.
- The Task Force also received thousands of letters and postcards in support of the forestry industry in New Brunswick.

In May 2007, the Task Force's report was released, containing ninety-one recommendations and associated timelines for implementation. The Government responded in November 2007 with its Action Plan for Self-Sufficiency (see the Impact section below for more details).

The Public Engagement Initiative's pilot projects

Five small-scale pilot projects have been launched to test and develop a model of public engagement to involve the public and stakeholders in achieving the goal of self-sufficiency:

- The Skills Development Project aims at launching an ongoing dialogue that will allow government and stakeholders to begin working together more effectively to prepare New Brunswick's workforce for the future.

- The Wellness Project will engage ordinary citizens and stakeholders from community organisations on issues related to wellness in order to assess their readiness to play a more active role in promoting wellness individually and within their families and communities
- The Climate Change Project will engage a group of opinion leaders in a dialogue on the need to reduce greenhouse gases. The aim will be to test the group's willingness to provide public leadership on the issue.
- The Miramachi Action Committee aims at building a network of community leaders who will be responsible for launching an ongoing dialogue on long-term development in the Miramichi region of New Brunswick, forging a plan to make it happen and move it forward.
- The Sustainable Communities in a Self-Sufficient Province Project involves some 35 stakeholders in a dialogue aimed at consolidating the lessons from a community-led initiative to transform five communities in the greater Saint John region into sustainable communities.

Combined with feedback from public servants and politicians in other Canadian jurisdictions, the developing model aims at expanding the planning and policy development process beyond government officials. The model will also seek to describe various purposes and methods for public engagement, including online engagement, with a special focus on helping government learn to become a facilitator and convener of dialogue and action around societal goals, such as environmental sustainability or wellness. The model aims at distinguishing the roles of citizens, stakeholders and government in these processes so as to make them more productive and successful in the eyes of participants.

Published in April 2008, the final report of the Premier's Provincial Advisor on Public Engagement describes the results of each pilot project and elaborates the public engagement model proposed for take-up by the New Brunswick Government. Entitled "It's More Than Talk: Listen, Learn and Act – A New Model of Public Engagement" (see: *www.ppforum.ca/en/crossingboundariesgovernanceprogram*), the final report of the New Brunswick Public Engagement Initiative is positioned to become a key "how-to" manual for creating future collaboration and engagement on the goal of self-sufficiency across New Brunswick.

Impact of the Self-Sufficiency Agenda

It is still early days for the Self-Sufficiency Agenda. A key indicator of its success in the eyes of the public, a provincial election, is still years away. From an administrative perspective, it has taken a year for public service departments to become concrete about how their work aligns with the self-sufficiency goal. As of January 2008, plans are being made public, and programme work is set to begin following the passage of the upcoming provincial budget.

For its part, there are two schools of thought about the impact of the Self-Sufficiency Task Force. The first says that as a beginning point in a twenty-year process, the Self Sufficiency Task Force made a strong impact as a blueprint for major changes in New Brunswick. It addressed hard truths about New Brunswick that would have been difficult for political leaders to take on. It has supplied a platform of policy ideas that will help public service departments pursue the "transformation" of the province that the Premier and the Task Force say is necessary for future success.

Moreover, the Task Force has sparked awareness and discussion among New Brunswickers about challenges to their province's future, and how they may collectively

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make change. It has also sparked discussions with local governments and the federal government about their roles in contributing to the self-sufficiency agenda. In fact, the Chief Clerk of the Privy Council, the head of the federal public service, is a key collaborator in the Self-Sufficiency Agenda, and meets regularly with counterparts in New Brunswick.

A second school of thought looks to the response from the Government, called "Our Action Plan to Be Self-Sufficient in New Brunswick", and sees a basic thematic relationship between the final report of the Task Force and the Government's Action Plan, but little of the detail. The Government's response included four themes: transforming our economy; transforming our workforce; transforming our relationships; transforming our government. However, the commitments under these themes did not include timeframes or resources, and were not directly connected to the recommendations in the Task Force's report.

So on the one hand, it is possible to see the Self-Sufficiency Task Force as making a significant impact in bringing New Brunswickers into a major agenda setting process. On the other hand, it is possible to see a conventional consultation process with a less than satisfactory response from the Government.

The final report of the Public Engagement Initiative has only recently been released, so it is difficult to assess its impact. From discussions with those involved, however, the final report should chart the future course for bringing New Brunswickers deeper into the process of achieving the goal of self-sufficiency. It departs from typical patterns of consultation (*e.g.* call for submissions, in camera discussion of submissions and final report with recommendations), and focuses on methods of dialogue and deliberation (off line and online) that emphasise collective discussion and collaborative action.

Of course, it remains to be seen if or how quickly the provincial government will implement the guidance in the report, though the Government's Self-Sufficiency Action Plan has made public engagement a priority under its "transforming relationships" theme.

Evolution of the Self-Sufficiency Agenda

The Self-Sufficiency Agenda stands out as a novel experiment in governance that has open and inclusive policy making as its foundation for achieving an ambitious socio-economic goal. While still in its early stages, key milestones are the release of the Public Engagement Initiative report, the March 2008 provincial budget, as well as subsequent Throne Speeches and budgets.

The challenge of sustaining the Self-Sufficiency Agenda will be both political and administrative. It is at once the central theme of a newly elected Liberal government trying to make its mark, as well as a mission statement for New Brunswick's public service, business community and civil society. Building and sustaining momentum around the goal will require a shift from the planning of 2007-2008 into concrete actions for 2008 and beyond, supported in large part by local and federal governments. Collaboration and good relationships at all levels will be critical. The recent establishment of an Office of Self-Sufficiency lead by a Deputy Minister should help in co-ordinating these efforts.

The Self-Sufficiency Agenda raises interesting political questions. Should the idea of self-sufficiency truly engage the public service, stakeholders and citizens, the inertia may be impossible to resist. On the other hand, if the current government's plans fizzle, they may become vulnerable, though it could be difficult for a new government to change course too quickly given the focused efforts currently underway.

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PART II

Chapter 9

Public Involvement in Urban Renewal in Trondheim, Norway

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Introduction

The purpose of the Norwegian Board of Technology's project on local democracy and urban planning was two-fold:

- To develop a method for participation from "non-organised" citizens in planning processes according to the Norwegian Planning and Building Act.
- To organise a participatory process according to this method.

The project's origin lies in the awareness that urban development affects and engages many citizens throughout Norway. Better methods for public participation in planning processes, particularly from ordinary, non-organised citizens, have been requested on several occasions, most notably in 2003 by a governmental commission assigned the task to make proposals for revisions of the Planning and Building Act.

The Norwegian Board of Technology has wide-ranging competence of participatory methods for technology assessment. The Board is of the opinion that urban development may be understood as "technological" development. Technology comprises not only technological objects, but also systems that connect people, technological tools, material structures (*e.g.* roads and buildings) and technology-related enterprises (*e.g.* those associated with production, maintenance and transportation).

The Board of Technology wished to investigate more closely whether venues might be created through which affected, non-organised citizens may be actively involved in urban planning processes. We also wished to investigate to what extent it would be possible to promote fruitful discussions among the participants debating the planning issues and expressing their opinions about these issues to policy makers.

Urban planning in the municipality of Trondheim

The focus of the project was the proposed transformation of the Tempe area in the south of Trondheim, Norway's third largest city. The local politicians had decided that this urban area should be renewed through the creation of:

- Up to 10 000 new white-collar workplaces.
- A total of 1 500 new residences/apartments.
- A new bridge over the large river Nidelva.
- Local services (such as retail shops, bakeries) connected to new and existing public transport, the main road system and attractive public space.

Based on these criteria, an architectural firm designed a conceptual study with five different development strategies for the area. This study, called "5 x Tempe", served as background information to the participatory process.

Over the course of four sessions, the citizens' panel learned about the municipality's plans for renewal of the Tempe area. They were introduced to the study "5 x Tempe", met affected parties, and carried out a field visit to Tempe. They discussed amongst themselves

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how the Tempe area should be transformed. The process started with a call for participants in the largest regional newspaper on 3 June 2004. It ended on 27 October 2004 when the report from the citizens' panel was handed over to the mayor of Trondheim.

Design of the method used in the project

The main criteria for the design of the participatory process were:

- The process should allow participation from non-organised citizens.
- The participating citizens should be provided the possibility to learn about the planning process for the Tempe area, its aims and time schedules.
- The participants should be able to hear the views and opinions of stakeholders about the planned transformation of the Tempe area.
- The process should provide the participants with sufficient time to identify what topics and problems they wanted to address in their joint statement, to discuss the topics among themselves and to write a final statement.

The Norwegian Board of Technology emphasised that participation should be possible within the constraints of an ordinary, everyday life. It should not require taking time off work, nor be too time consuming.

In designing the process, the Norwegian Board of Technology drew inspiration from the Danish Consensus Conference model, and the German Planning Cell model. Both processes allow panels of 14-25 non-organised citizens to learn and deliberate about important policy issues, and provide policy makers with advice.

The process

The process had the following key elements:

- A panel of 14 non-organised residents of Trondheim.
- Four meetings, each lasting four hours, and with two weeks between each meeting.
- The writing of a statement that was handed over to the mayor of Trondheim.

In greater detail, the process ran as follows:

- The Norwegian Board of Technology recruited 14 panel participants via announcements in the local press, and invitations to 1 000 randomly selected residents in Trondheim. The participants were from 18 to 72 years of age, an equal number of men and women, living in different parts of Trondheim city, with various levels of education and different professions. The 14 citizens were not a representative sample of the residents of Trondheim (which would have required a far larger group of participants), but a broadly composed group of engaged, non-organised citizens. The idea behind recruiting participants with varied socio-economic backgrounds is that they will bring to the fore a majority of the opinions that any other group composed by the same criteria would produce. Whether or not this actually happens is of course an empirical question that would require multiple panels working in parallel. The Norwegian Board of Technology has not conducted such a study, but our experience with similar process suggests that such panels seldom, if ever, are criticised for leaving out important issues.
- Prior to the first meeting, the panel members received the conceptual study "5xTempe". The purpose was to prepare the participants about the information they would receive

during their first meeting, and to allow them to develop independent thoughts before engaging in debates with the other panel members.

- The first meeting had a four-fold purpose:
  - The members should get to know each other.
  - They were given a brief introduction to the project and the four meetings.
  - A person from the Planning and Building Department in Trondheim county informed the participants about urban planning and the conceptual study, and discussed those with the members of the panel.
  - The panel members identified a series of questions that would be the focus of the subsequent meetings.
- The second meeting started with a field visit to Tempe. Then, the panel members heard three lectures: from the Norwegian Public Roads Administration describing the traffic situation in the area; from the municipality of Trondheim describing green areas and recreational values; and from the Trade Union of Trondheim, outlining their view on business development in the Tempe area. During and after the lectures, the participants engaged in discussions and dialogue with the lecturer.
- Afterwards, the panel summarised what insights they had gained, both from the tour and the lectures. The Board of Technology chose the lecturers and their topics. And the panel asked the Board of Technology to organise presentations from two other parties: someone currently doing business in the Tempe area and one from a professional property developer.
- The third meeting started with the two presentations requested by the panel members. Afterwards, the panel made a list of five priority concerns that they determined should guide the transformation of Tempe. These concerns were to serve as the point of departure for the writing of their final recommendations at their last meeting.
- The fourth and final meeting began with a panel discussion of the five topics. The main purpose was to create a common understanding of the issues before they were drafted as recommendations to the politicians. The panel worked in five groups, each responsible for one topic. After the first draft, all members read the document individually, then a plenary discussion followed. At the end of this meeting, the panel had not managed to finish writing their recommendations. So, the panel selected two members, one man and one woman, to finish the report in co-operation with the Board of Technology. The final draft report was circulated amongst the members who carried out minor editing.
- On 27 October 2004, two months after the first meeting, two representatives of the citizens' panel met with the mayor of Trondheim and handed over their recommendations.

The recommendations

The main arguments in the joint statement from the citizens' panel did not correspond to the municipality's plans for the area. The citizens' panel concluded that the construction of new residences in Tempe is incompatible with the current traffic situation; they argued that the main road entering Trondheim from the south should be located underground. The panel also questioned the need for 10 000 new white-collar workplaces in the area. The panel members believed that the area's central and pleasant location along

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the Nidelva river is more conducive to a focus on residential areas. The panel also desired a change in the area's commercial structure from today's industry and transportation-heavy enterprises to more offices and stores, something that could be combined more easily with housing.

The panel statement is an appendix in the case documents and has the same status as other contributions to the municipality's planning activity. It is up to the municipality to assess how much importance the statement shall be given in the further work of transforming the Tempe area.

In 2005, the urban planning process for Tempe was put on hold until a new master area plan for the whole city of Trondheim was in place. This plan was approved in September 2007, and the further progress for the Tempe plan has not yet been decided.

Since the main purpose of the Norwegian Board of Technology's project was to test the participatory process resulting in the recommendations from the citizens' panel, the Board has not kept track of how the recommendations have actually been used by the city administration and politicians.

Costs

The cost of the process was approximately NOK 100 000 (EUR 12 500). This included all project expenses (rent of conference facilities, newspaper announcements for recruitment of participants, refreshments during the meetings, travel expenses for participants and the two employees of the Norwegian Board of Technology who worked with the project, etc.). However, it did not include the wages of the two employees.

Each panel member received a payment of NOK 1 000 (about EUR 125) for their participation. This was mainly a symbolic payment, in appreciation of their contribution as engaged citizens.

The representative from Trondheim county and the five people who gave lectures during the three first meetings, worked free of charge.

Table 9.1. **Trondheim urban renewal project: Key characteristics**

Costs	The cost of the process was approximately NOK 100 000 (EUR 12 500). Participants were rewarded NOK 1 000 (about EUR 125) for their participation.
Risks	• A higher number of participants would have ensured a broader selection of panel members, and possibly a wider variety of voices. • The process was possibly too short to ensure enough time for panel members to get acquainted, and enough time for discussions, lectures and information meetings. • The rules for discussions were not completely clear. • Some panel members tended to dominate the discussions, so more guidance may have increased input from those who were not as prominent in discussions.
Benefits	• Advice from the citizens panel was provided to the municipality • Better understanding of planning issues for participants.
Inclusion	• A random selection of all citizens was invited to participate, and a selection was made that consisted of equal numbers of men and women, different age groups and people living in different parts of the municipality.
Evaluation	Evaluation was restricted to the process of engagement, and did not cover the actual results and their influence on the decision making process.

Evaluation of the project

The Norwegian Board of Technology evaluated the participatory process. The evaluation results show that it is possible to involve individual, non-organised citizens in urban planning processes, and that citizens can make valuable contributions to these processes. It is also possible to foster informed and fruitful discussions among the panel members.

Panel members must be given sufficient time to become acquainted with one another. There must also be clear-cut rules on how the plenary discussions are to take place. Good process facilitation is essential.

Based on the evaluation results, some adjustments could be made to the method:

- Increase the number of people asked to participate in the panel to create a broader selection of applicants and members of the panel.
- Extend the duration of the process. Organisers could, for example, replace two of the evening meetings with a weekend. This would allow the panel members more time to get acquainted and further time for discussions. There would also be more room for lectures and information meetings.
- Establish clearer rules for discussions and, if necessary, guide the discussions more. This is to ensure that all members have an equal say and influence over the final statement. In the Tempe project, four panel members tended to dominate the discussions.

The Board of Technology believes that the participatory method and the positive experiences from the participatory project in Trondheim may be of benefit for others who wish to involve concerned citizens in planning processes.

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PART II

Chapter 10

Improving Quality of Life in Distressed Urban Areas in Bremen, Germany

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Introduction

Many German cities have experienced spatial segregation and the decline of some neighbourhoods. The problems of distressed urban areas are multi-dimensional and the outcome of complex interactions between economic, social and spatial factors. Disadvantaged neighbourhoods tend to be characterised by high unemployment rates, a poor physical environment, social and economic exclusion, low educational levels, high crime rates, lack of infrastructures and service delivery and a general sense of despair among residents. The large numbers of migrants who tend to come to these distressed urban neighbourhoods place additional stress on these neighbourhoods. In the past, most regeneration efforts were focussed on improving the physical space. Recently, initiatives have focused on improving the social infrastructure of distressed neighbourhoods. Whilst some initiatives use a top-down approach, there is increasingly a shift towards explicitly involving local residents in improving their neighbourhood. Participation on the local level can empower people and give a sense of ownership and control. However, people with a low socio-economic background, young people or migrants may be shy to articulate their views or lack the rhetorical skills to express their opinions in public fora and their opinions and may not be taken seriously. In addition, state representatives may not be comfortable to relay power and (binding) decision making to "the people".

WiN – Wohnen in Nachbarschaften (Living in Neighbourhoods) and Soziale Stadt (Districts with Special Developments Needs – Socially Integrated Cities)

The communal project WiN – Living in Neighbourhoods was launched on 8 December 1998 by the city state of Bremen in Northern Germany to improve ten deprived neighbourhoods. It is horizontally organised involving all relevant city and Land departments, and over 800 projects have been realised so far. WiN goals are threefold:

1. To improve the living conditions in distressed urban areas.
2. To develop local engagement of citizens.
3. To encourage co-operation between local actors. (The project gives room to local actors to determine the exact content to ensure that it fits local realities.)

"Soziale Stadt" (Districts With Special Development Needs – Socially Integrative City), a joint federal and Länder programme to foster participation and co-operation, signifies a new integrative political approach to urban district development. The programme is managed under the auspices of the Federal Ministry of Transport, Building and Urban Affairs (BMVBS), represented by the Federal Office for Building and Regional Planning (BBR), who commissioned the German Institute of Urban Affairs (Defy) to support the programme for the initial implementation phase (1999-2003). A nationwide network was set up, providing onsite programme support in 16 Socially Integrative City pilot districts (among them Bremen) and designing a programme evaluation system. The thematic focus covers all relevant topics ranging from strategic fields of activities, such as neighbourhood management to activation and participation. Substantive activity areas include:

employment; qualifications and training; accumulation of neighbourhood assets; social activities and social infrastructure; schools and education; health promotion; transport and the environment; urban district culture; sports and recreation; integration of diverse social and ethnic groups; housing market and housing industry; living environment and public space; image improvement and public relations; and community living in the districts.

The high degree of thematic, strategic and location overlap between WiN and Soziale Stadt led the authorities in Bremen to link both programmes to create synergy effects. Combining the resources and commitment of two programmes may be one of the factors why Tenever, a distressed neighbourhood in Bremen, has implemented more projects than any of the other ten pilot neighbourhoods.

Tenever is one of the ten deprived neighbourhoods that were selected to participate in WiN – Soziale Stadt. Tenever is a peripheral neighbourhood built on a greenfield site on the eastern outskirts of Bremen, a city state* in Northern Germany. The high-rise buildings were constructed in the early 1970s and are home to about 6 500 people in 2 635 flats. About 82% of residents are foreigners (including ethnic Germans), originating from 88 countries. The population is characterised as being particularly young. Approximately 41% of Tenever residents receive unemployment benefits. Tenever, which is about 13 kilometres away from the city centre, is not served by an underground or overground train but relies instead on a bus service which takes about 30 minutes to the city centre.

The high fluctuation of residents is an obstacle to achieving sustained participation in Tenever. Residents with a degree of choice leave for other neighbourhoods after an average flat occupancy rate of nine years. This is s short period considering that the average flat occupancy rate in the ten distressed WiN areas is nearly twice as large, 17 years. A constant need to integrate recent immigrants puts additional pressure on the neighbourhood. Between 2004 and 2008, the high-rise buildings have been renovated and unoccupied buildings demolished. The anticipated rent increase, as well as moving residents of buildings that will be demolished to other flats, has caused concern among residents.

Programme implementation

1. Setting the stage

Inclusion in the decision-making process is vital; it creates a sense of ownership and pride, and subsequently makes projects more sustainable. This is particularly important considering that WiN – Soziale Stadt programme funds will eventually expire. Improvements in the social sphere cannot be made from the outside but require support from within. Local participation can also integrate residents who feel far away from decision-making centres. A salaried project manager with a background in social work for each pilot neighbourhood is the first contact point for residents and any group who wishes to run a project in Tenever. The district manager organises and moderates the project group meeting, brings different actors together, and is responsible for initiating and managing projects, as well as for setting priorities in the project group. Tenever also has a neighbourhood office.

For its decision making, the programme relies on the district group which meets every five weeks. Working groups to develop specific projects (for example to enlarge the youth

* The city state Bremen, together with Bremeverhaven, is one of 16 Bundesländer that form the Federal Republic of Germany.

Table 10.1. **WiN and Soziale Stadt projects in Tenever: Key characteristics**

Costs	Tenever receives about EUR 160 000 per year from WiN and a budget of EUR 150 000 (2005), EUR 330 000 (2006) and EUR 135 000 (2007) per year from "Soziale Stadt" (Districts With Special Development Needs – Socially Integrative City). The total budget per year varies accordingly. In 2008, Tenever received EUR 160 000 from WiN and EUR 140 000 from Social Stadt and EUR 80 000 from LOS.
Risks	A number of challenges were anticipated and encountered in the implementation of WiN – Soziale Stadt in Tenever. • Sustaining citizens' participation over long periods of time can be challenging. The evaluation in 2004 has shown that citizens are more likely to get involved if the projects were time-bound and on a specific issue that concerns them directly. • In the district group, the consensus principle is used to reach a decision. The consensus principle, unlike the majority principle, can be a lengthy process. It risks that the results attained are the lowest common denominator, which may create a sense of dissatisfaction among decision makers and participants. However, since participants are forced to openly communicate in order to find a viable solution, then more innovative decisions may be reached. • There is a risk that the participatory process in Tenever is not sufficiently democratic, as the district group members are not democratically elected to represent their neighbourhood. Transparency in the decision-making process is sometimes lacking, according to some project leaders. Local projects implemented in Tenever were very often initiated by the professional project leaders and not by local residents. A clear strategic orientation is sometimes missing and there is a lack of objective criteria to assess and evaluate projects. However, citizens play an active and decisive role when it comes to evaluating and approving projects. In fact, the high competency in evaluating and assessing new projects by residents contributes to deeper local ownership of the projects.
Benefits	WiN – Soziale Stadt contributed to cohesion in Tenever in three ways: • First, it highlighted the situation in Tenever. There is a perception that the participation of residents in neighbourhood management added value for city authorities in terms of understanding the points of view and specific needs of local residents. • Second, actively participating in the district group meeting with all actors, including city and Land administrators, empowered residents. • Finally, it improved overall quality of life in Tenever as suggested by the evaluation report. The principle strength of the district group is its high competency in evaluating and approving projects which aim to improve the overall quality of Tenever.
Inclusion	The project puts local residents at the core of decision making, as all projects have to be approved by the district group which is open to all residents and meets once a fortnight in Tenever. The composition of the district group tends to change each time, but women tend to be somewhat overrepresented and migrants underrepresented.
Evaluation	WiN and Soziale Stadt in the ten neighbourhoods were evaluated in 2004 by two external institutions. The evaluation approach was holistic and included reviewing the programmes, their impacts and assessing to what degree previously determined goals were reached as well as appraising the design, governance and prospect. Both programmes contributed to significantly improving the physical and social situation. The evaluation also emphasised that many problems that exist in distressed urban neighbourhoods, such as unemployment, are problems that go beyond what a relatively small urban regeneration programme can do and require changes in society at large. The evaluation identified the merging of two urban regeneration programmes – WiN and Soziale Stadt – as having resulted in more efficient financial and human resources mangement. The results of the evaluation are publicly available.

centre into a veritable centre for children, youth and adults) meet on an *ad hoc* basis. Every meeting is organised around five points. *i)* questions and problems; *ii)* report of actions taken since the last meeting; *iii)* updated information regarding the renovation of Tenever; *iv)* updates regarding WiN – Soziale Stadt projects and funding; and *v)* any other business. In addition, the district group also chooses a political focus theme, or example "Pisa and Schools in Tenever". The group is a forum for exchanging information and to discuss problems directly with responsible officials. The first two points in particular paint a long-term picture of residents' evolving priorities and worries which should be reflected in the various projects. The project group has become one of the pillars of community life with 40 to 80 people participating in each meeting. Approved projects get the "WiN Seal of Approval", a prerequisite before a project can be considered by the administration and implemented. The district group can have a huge beneficial impact on Tenever's residents. For example, the district group negotiated with a well-known low-price supermarket to open a branch in Tenever. District group meetings typically last three hours. The district group's work includes the following areas:

- Neighbourhood management and lobbying.
- Facilitating local citizens self-help and organisation.

- Developing and implementing Tenever's rehabilitation.
- Advisory service to all interested parties.
- Implementing WiN.
- Liaising with the authorities, city council and building society.
- Networking.
- Collaboration and co-ordination mechanisms.
- Public relations.
- Initiating and steering of all activities and plans related to Tenever and representing Tenever during official events.

Each year in autumn the annual WiN – Soziale Stadt workshop is organised by the district manager. During the workshop, stock-taking takes place to evaluate which projects worked well and how to improve projects and the process. Based on the original WiN and Soziale Stadt frameworks, a list of objectives for the coming year is drawn up by the district managers and all interested parties can log their new project proposals. The district manger spends the next two months discussing each project with the different actors to get a better picture of which projects have the best chance of being realised and to concentrate interests and resources. The revised list of projects is then presented and discussed in the next district group meeting until a consensus is reached; a final list of projects with a budget is adopted. It can happen that a project is rejected at a later stage. Projects can also be proposed later during the year, permitted that there are still funds left.

2. Sustaining participation

Prior to establishing WiN –Soziale Stadt, an urban amendment project was initiated in the 1980s under the auspices of the Senator für Umwelt, Bau, Verkehr und Europa to improve the physical side of distressed neighbourhoods, including Tenever. As part of this project, a district group was established in 1989 so that residents were already familiar with the local participative process when WiN – Soziale Stadt was implemented. The same district manager has headed Tenever's district group since its establishment. Having the same district manager for 19 years gives a high degree of continuity, institutional memory, a wealth of experience and solid working relationships with all actors; this has certainly contributed to the success of local participation in Tenever. Once a year, a ceremony to appreciate and thank particular engaged local residents is staged in Tenever and the "golden skyscraper" is awarded to worthy individuals and groups.

3. Information dissemination

Information is distributed through various channels thereby maximising its outreach potential. Information about the work and decisions taking by the district group is made available online through a regularly updated website. The website is complemented by posters, flyers, blackboards in the neighbourhood, and an information stall in the local shopping centre. Minutes of the meetings are also mailed to interested citizens upon request. Tenever's own TV show on a public television channel – Quaak Kanal – is aired once a month to inform local residents about what is going on in their neighbourhood. The evaluation showed that WiN – Soziale Stadt is well known among residents.

In all, the district group is very lively and engages between 40 and 80 people. The project manager organises the participatory process, bringing together different actors, initiating and organising projects as well as giving a general direction of the project work. In Tenever, everybody who lives, works or carries any responsibility locally is invited to attend the meetings of the district group with the same right to speak. In addition to residents and local business owners, others such as Land and local politicians, Land and local administrators, housing associations, church and mosque representatives, charities and housing associations attend the meetings. Women tend to be somewhat overrepresented and migrants underrepresented. Young people are more like to attend if something that is of concern to them is being discussed, for example constructing a skateboard ramp or converting an empty shop into a gym.

Managing "risks"

A number of challenges were anticipated, and encountered, when citizens were asked to participate in the decision-making process. It is necessary to manage unrealistic expectations of what participation on the local level can achieve and to what degree underrepresented segments of societies such as migrants get involved. Some migrants also face a language barrier, which prevents them from fully participating in the district group.

There is a risk that the participatory process in Tenever is not sufficiently democratic. First, although district meetings are open to anyone, the district group members are not democratically elected to represent their neighbourhood. Second, transparency in the decision-making process is sometimes lacking (according to some project leaders). In addition, there is a strong presence of professional actors in these meetings. There is a risk of having a *de facto* top-down approach that is not embedded in the community. Local projects that were implemented in Tenever were very often initiated by the professional project leaders rather than by local residents. Finally, a clear strategic orientation is sometimes missing, and there is a lack of objective criteria to assess and evaluate projects. Each project proposal cannot be evaluated in all thoroughness during the annual workshop or in the district group due to time restraints, so that a basis for evaluating projects during the decision-making process is lacking. An objective set of criteria which form a clear strategic orientation is still missing despite defined priorities. However, citizens play an active and decisive role when it comes to evaluating and approving projects. In fact, the high competency in evaluating and assessing new projects by residents contributes to deeper local ownership of the projects.

Impact of WiN – Soziale Stadt

Merging WiN, with its focus on social improvements, and Soziale Stadt, with its focus on structural improvements, has been seen as a chance to solve highly complex structural and social problems. The combined programmes contributed a greater identification of residents with their neighbourhood and a greater capability to solve or ease some of the issues facing Tenever residents. It prevents Tenever from becoming a social hot spot and contributes to more stability and peaceful relations among neighbours.

WiN – Soziale Stadt is a landmark initiative in dealing with social and structural issues in distressed urban neighbourhoods. It was the first time an integrative and complex programme was launched on a large scale. A noticeable improvement regarding the structural and social situation was measured in Tenever. This has also been reflected in district police records. Efforts are made to include as many local residents as possible in the

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district group meetings and projects through effective media dissemination. During the programme phase an increase in project activities and participation of local residents was measured. In many cases, this was also the first time that different actors, that is all relevant Land and city authorities, local working groups, housing associations, NGO, etc. worked effectively and continuously together.

However, WiN – Soziale Stadt's longer term sustainability is less well-documented. There is a danger that if all WiN – Soziale Stadt funds, including stabilising or "phasing out" funds, are withdrawn then the level of activity may decline, although this is not likely to happen in the near future. Both WiN and Soziale Stadt have been approved until 2010. The strong political will in Bremen to improve distressed urban areas such as Tenever suggests that these programmes will continue in one form or another.

Evolution of WiN – Soziale Stadt

In 2004, an external evaluation was carried out by two independent research institutes Institut für Stadtforschung und Strukturpolitik GmbH, Berlin (IfS) and Forschungsinstitut Stadt und Region, Bremen (ForStaR). Both institutions came to a positive conclusion regarding the impact and organisation of WiN – Soziale Stadt in the ten pilot neighbourhoods. Since January 2005, the programme has continued in a slightly different format and financing modus to take account of improvements that have been made in some districts. Although Tenever has gained much from WiN – Soziale Stadt, it remains one of the neighbourhoods that warrants continued support from this programme.

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PART II

Chapter 11

Building on a Participatory Community Summit in Port Phillip, Australia

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Introduction

This case study discusses the conceptual framework and strategies put in place by an Australian municipal council to develop an agreed list of priorities with its local community through the vehicle of a ten-year Community Plan.

The City of Port Phillip partnered with an international not-for-profit agency, AmericaSpeaks, in hosting a one-day community summit attended by 750 people. The purpose of the summit was to facilitate discussion and learning between participants, and to establish a ranked list of priorities to be achieved through voting by all participants.

Port Phillip Speaks community summit was designed as a day of participatory democracy using groupware computing systems, individual key pad polling, and audio-visual communication tools. Participants expressed enthusiastic support for the immediacy of results and the transparency of processes provided by this technology.

The community's priorities, as voted for at the summit, became the basis for the 2007-2017 Community Plan, launched in November 2007. The Community Plan has significant influence on Council's strategic planning and allocation of resources.

Port Phillip profile

The City of Port Phillip is an inner-urban municipality close to popular beaches and entertainment precincts in Melbourne, Victoria. The area's residential population of approximately 85 000 has an increasingly affluent social profile, while also including groups with significant social disadvantage. The city experienced a substantial level of residential high-rise development during the 1990s, and housing costs continue to increase as the area's popularity increases demand. Over 40% of residents have lived in the area for less than five years, which highlights a significant transient population, and approximately 40% live in single person households.

The municipality is divided into seven electoral wards, one councillor per ward (governing as one municipal-wide Council) with a four year election cycle.

Table 11.1. **Port Phillip Community Summit: Key characteristics**

Costs	Costs associated with producing the one-day Community Summit were approximately AUD 230 000, excluding Council staff time. A contribution of AUD 40 000 was received from the State Government department for local government (Local Government Victoria) to fund filming of the summit and production of a documentary DVD for the local government sector.
Risks	The Community Plan Steering Committee adopted a set of principles to guide their work to manage and mitigate potential risks (*e.g.* privileging random selection to avoid risk of self-selection of participants; ensuring buy-in from elected Council representatives; providing rapid feedback to participants).
Benefits	Community Summit deliberations led to the development of a framework of four annual action plans to document deliverables and monitor outcomes, as part of the 2007-2017 City of Port Phillip Community Plan.
Inclusion	About 750 people (residents, people who work in Port Philip, visitors and business owners) came from all walks of life and represented the diversity of the Port Phillip community.
Evaluation	n.a.

Our approach to community planning in Port Phillip

Developing a Community Plan is not a legislative requirement for local government in Victoria but there is growing interest in community planning across all levels of government in Australia. The City of Port Phillip developed its first ten-year Community Plan in 1997 following compulsory amalgamation of three neighbouring councils (St Kilda, Port Melbourne, South Melbourne).

Developing a Community Plan is seen as a way of bringing different political and social networks together with Council in an open process to clarify values, determine priorities and shape policy. In the Port Phillip context, Council sees its role as facilitating the research, community engagement, participatory and deliberative processes and providing the resources to produce and publicise a planning and accountability framework.

The Community Plan does not replace Council's planning or the decision making role of democratically elected Councillors – however, it does play a pivotal role in influencing Council's policy making, planning and allocation of resources.

The Community Plan is also seen as a vehicle to communicate local community priorities to parties external to Council – to community groups, community-based organisations, and other levels of government. In particular, the community expects Council to use the Community Plan to advocate to other levels of government when issues of concern sit outside the jurisdiction of local government – for example, in matters of climate change and large scale social infrastructure.

Below are the steps and processes used by the City of Port Phillip to develop a ten-year Community Plan:

1. Sourcing data to understand community views

Analysis of the two main data sources provided significant levels of information on commonly expressed concerns. A self-administered written survey was distributed in the first half of 2006 to all households, businesses, community centres, libraries, and selected cafes and shops. About 2 200 respondents participated. The survey consisted of both tick box answer selections and open-ended questions for written comments. Survey results were weighted to adjust for differences in age compared to the demographic profile of the community. Qualitative interviews were conducted in 2006 with 700 residents living in Port Phillip. Representatives of local health and community service agencies were also interviewed.

Findings from both sets of data were analysed to identify the most common issues raised as concerns, and to better understand what people like and do not like about living in, working in, or visiting Port Phillip. Responses were also analysed for options to ameliorate problem issues and concerns. The purpose of this analysis was to provide the scope of issues to be included in a community summit.

2. Establishing a collaborative council and community "Community Plan Steering Committee"

In October 2006, Council established a Community Plan Joint Council Community Steering Committee. Volunteer nominee applications were invited through advertisements in local newspapers. Council appointed five community representatives to sit with five Council representatives (two Councillors; Council's Chief Executive Officer and two Executive Directors).

The Steering Committee's role was to oversee the community engagement strategy; oversee the design and planning for a large-scale community summit participatory democracy event; and following that, establish a conceptual framework for the 2007-2017 Community Plan. To assist this work, the Steering Committee adopted a set of guiding principles.

Table 11.2. **Guiding principles for the Port Philip Community Plan Steering Committee**

Guiding principle	What does this mean in practical terms?
Educate participants by providing accessible information about the issues and choices involved to enable participants to articulate informed opinions.	• Participants receive detailed and balanced background materials. • Topic experts available to respond to questions. • People are given enough time to absorb information and express their views.
Frame issues neutrally by providing unbiased information about the issue in a way that allows the public to struggle with the choices facing decision makers.	• Complexity and pros and cons of arguments are clearly explained in background materials, presentations, and processes. • Participants express trust and faith in the process.
Achieve diversity and inclusiveness by involving a demographically balanced group of citizens reflecting the community.	• Participants are selected in a way that is not open to manipulation and that represents a cross section of the community. • A random selection process is preferable.
Get buy-in from decision makers to engage in the process and to use the results in policy making.	• Clear information is provided on how decisions will be made and level of likely policy influence. • Budget allocation for implementation.
Support quality deliberations by ensuring all voices are heard; discussion is community focussed rather than on individual participant self-interest; and encourage consideration of the big picture.	• Independent and skilled facilitators with no vested interests lead small group discussions. • Participants identify shared ideas and concerns and assign them relative priority. • Ask participants not what they want personally but what is in the best interests of the broader community.
Work on shared priorities and ensure that participants know and understand this and the impact of their involvement.	• Produce information that clearly highlights participants' shared priorities. • Strive for consensus and be clear that complete agreement may not be the outcome.
Make it matter with a strong likelihood that recommendations and priorities lead to action.	• Participants as a whole contribute to the selection of issues to be dealt with. • An appropriate budget allocation is earmarked for implementation of strategies.
Sustain involvement through on-going communication and feedback on monitoring and evaluation.	• Provide on-going updates and communication. • Offer options for involvement that cater for varying needs and interests. • Demonstrate outcomes associated with participation. • Facilitate fun and enjoyment.

3. Partnership with AmericaSpeaks

A relationship was established with AmericaSpeaks through connections with the Municipal Association of Victoria (MAV). The MAV sponsored a visit to Australia by a senior AmericaSpeaks staff member Joe Goldman in late 2006 to talk with Councillors and Council staff about community planning and deliberative dialogue. His visit to Australia led to a proposal being endorsed by the Joint Community Plan Steering Committee to partner with AmericaSpeaks to design and facilitate a large scale community summit.

The benefits of collaborating with AmericaSpeaks were seen as very significant: their expertise in conducting large scale deliberative processes; their experience in recruiting socially diverse participants; their commitment and processes to achieve a representative sample of participants; their capacity to provide immediate and transparent feedback to participants through use of groupware technology and individual key pad polling; their international reputation and independence; and their commitment to process principles similar to those endorsed by the Community Plan Joint Steering Committee.

4. *Logistics and planning for a community summit*

AmericaSpeaks worked very closely with Council staff and the Steering Committee to develop a culturally appropriate format and agenda for the community summit. Two of their senior staff provided very significant amounts of planning, logistical and technological advice. Under their guidance, a number of internal working groups were set up to work through the intricate and multi-layered work programme necessary for staging a large scale community summit:

1. **Project Management/Administration Working Group:** Responsible for reporting to Joint Steering Committee; oversight of all working groups; sourcing and allocation of resources; tracking tasks and timelines; liaising with AmericaSpeaks; developing and monitoring budget; and co-ordination of promotional activities.
2. **Content and Programme Design Working Group:** Responsible for research and analysis; identifying and consulting with key informants; preparing topics for discussion based on community survey and interview data; overseeing writing of the Participant Discussion Guide; recruiting issues experts to be available to participants on the day; and summit design, content and scripting.
3. **Communications and Media Working Group:** Responsible for development of logo/branding, media campaigning, planning and implementation of internal and external communication strategies; and development and distribution of promotional materials such as posters, cards, and web pages.
4. **Participant Recruitment Outreach Working Group:** Responsible for tracking participant registrations to monitor alignment with community demographics; and for implementing specific tailored approaches to engage harder to reach and socially marginalised groups. Strategies included use of comedy characters outside late night venues; working with rooming houses and social service providers; visiting pubs and clubs; talking with children's services providers and schools, talking with people using Council's community bus service; working with Council's home care staff to target those with restricted mobility; translating information into other community languages and working with multicultural networks and providing language interpreting services at the Summit.
5. **Logistics and Event Management Working Group:** Responsible for venue hire, staging of event, contracting audio-visual and computing services, equipment hire, catering, signage, decoration, transport and access for people with special needs, event staffing, supervising staff and volunteers, language interpreter services, child care and other special needs arrangements.
6. **Registrations Working Group:** Responsible for setting up and monitoring multiple databases for participants, facilitators, Theme Team, guests/observers, tracking registrations to ensure target numbers for a representative sample is achieved.

5. *Developing a Participant Discussion Guide*

Researching and writing a Participant Discussion Guide proved to be more of a challenge than originally anticipated. The major challenge was working through implied bias or unsubstantiated assumptions. Presenting impartial information on the pros and cons of policy options in jargon-free language is a challenge for modern day public bureaucrats.

The Participant Discussion Guide was mailed to participants a week prior to the summit and its purpose was to stimulate thinking and discussion with friends and family, and to help people feel more comfortable discussing their ideas with others.

The Discussion Guide was presented in two main parts: the first section provided an introduction to community planning, facts and figures about the City of Port Phillip, and an explanation of what would happen at the summit. The second section of the guide presented the analysis of topics most commonly identified as concerns in the community survey and interviews. The issue of climate change ("What can we do?") was discussed as an overarching issue needing to be assessed when considering options across all other issues.

Core discussion topics:

- Parking: Our biggest headache or a fact of city life?
- Building our community: What helps and what hinders?
- Urban planning and development: Getting ready for 26 000 new neighbours
- Entertainment and residential amenity: A great place to live, work and party?
- Public open spaces: Taking more care of the places we share.

The Discussion Guide can be downloaded at: *www.portphillip.vic.gov.au/community_plan*.

6. Port Phillip Speaks Community Summit – April 2007

About 750 people (residents, people who work in Port Philip, visitors and business owners) came together on a Saturday in April 2007 to discuss issues with people they had never met before and to establish a vision for the local community with a list of strategic priorities for the next decade.

Participants came from all walks of life and represented the diversity of the Port Phillip community. People were randomly allocated to tables to achieve a variety of viewpoints in each group and to separate friends and family members. Trained and non-partisan facilitators helped groups explore ideas and differences of opinion, and topic experts were on hand to answer questions. Responses from each small group were transmitted to a central "theme team" who then collated responses to identify themes. Individual keypad polling was used to establish collective priorities across all participants.

Over the course of the day, the summit produced:

- A revised and updated community vision statement.
- A list of priorities for action on the five core topics of parking; community building; urban planning and development; entertainment precincts and residential amenity, and public open spaces.
- Climate change was incorporated as an overarching issue across all topics and was reflected in the priorities for action.
- Neighbourhood-based networking and discussion of how to increase neighbourhood social connections.
- A Summit Preliminary Report distributed to participants at the end of the day.
- Council commitment to financial and practical support to see initiatives implemented.
- Seven follow-up neighbourhood meetings scheduled to be held within three weeks of the summit.

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Box 11.1. **Vision statement**

The goals of social equity, economic viability, environmental responsibility and cultural vitality remain central to our desire to foster a sustainable and harmonious future.

We acknowledge there is a shared responsibility to ensure that everyone, regardless of age or cultural or socio-economic background, can access services that meet their needs and can participate in community life.

We want our Council to demonstrate leadership in community participation, strategic planning, advocacy to other levels of government, and accountability to the community.

Feedback from participants at the Summit:

- 5 in 6 participants strongly supported the top overall priorities.
- 70% of the highest ranking Top Ten Priorities for action were formulated or reworded by participants on the day (in comparison to options discussed in the Participant Guide).
- 76% expressed optimism over implementation of outcomes.
- 88% considered the summit as good or excellent.
- 91% rated the use of technology as good or excellent.
- 86% learned something new.
- 57% said their opinions had changed over the course of the day.

The sophistication of the technology, the immediacy of the feedback mechanisms and the transparency of the processes impressed participants and enabled them to make democratic decisions with long-range impact within a short time frame.

7. What did it cost?

Costs associated with producing the Community Summit were approximately AUD 230 000, excluding Council staff time. A contribution of AUD 40 000 was received from the State Government department for local government (Local Government Victoria) to fund filming of the summit and production of a documentary DVD for the local government sector.*

8. Turning the outcomes of the Community Summit into a Community Plan

The challenge presenting itself was to turn the discussion themes, priorities and vision statement into a unified plan for action and accountability. The summit highlighted that people wanted less "motherhood statements" of good intent and were calling for a stronger emphasis on accountability for implementation and outcomes. What sort of framework would conceptually unify the role of individuals, community organisations, Council and other levels of government? How best to address the aspirations of "bigger picture" community priorities while acknowledging the desire for local social connectedness and improved amenity? What sort of framework will provide a roadmap so everyone can be clear about what needs to be done, by whom and by when? How can the community monitor commitments made by Council and others?

These deliberations led to a framework of four separate but connected parts – each with its own specific annual action plan to document deliverables and monitor outcomes. The four action plans are reviewed annually and are therefore loose leaf inserts to the Community Plan.

* Copies of the DVD are available by contacting the author.

The Community Plan and all four action plans can be downloaded at *www.portphillip.vic.gov.au/community_plan*.

The four action plans

- **Component One – working together to take action**

  This is the core component of the Community Plan that sets out the strategic objectives and strategies and performance measures corresponding to fifteen priorities (*i.e.* the three highest ranked priorities in each of the five topics discussed at the Summit). This component makes it clear what Council will be held accountable for, as well as laying the foundation for what other organisations, networks, and individuals might do to respond to the community's priorities.

- **Component Two – neighbourhood development**

  The Community Summit emphasised the importance of local connections and of having a sense of place in neighbourhoods. The Neighbourhood Action Plan encourages local action to improve neighbourhoods and foster social connections. The major strategy is a neighbourhood matching grants programme "Small Poppy Grants" to "kick start" community-led projects likely to produce benefits to the neighbourhood and bring people together to share skills and resources. The Neighbourhood Development Action Plan sets out eligibility criteria, grant categories and application and administrative processes.

- **Component Three – community leadership**

  Community leadership in this context embraces "active citizenship" as fundamental to taking action for positive change and working through complex policy debates. This component provides opportunities to increase knowledge and understanding of events and issues impacting on both local and global communities. Council and other community organisations have a role to play in creating opportunities for people willing to step up and make a contribution. Initiatives will promote active citizenship, participatory democracy, and learning more about contested policy issues and social impacts.

- **Component Four – monitoring progress**

  The Monitoring Performance component sets out how success will be measured and how progress will be monitored – *i.e.* evaluation strategies to assess what actions were taken and what changes were achieved. Two sets of performance indicators are integrated in this action plan. The first set are for assessing larger scale (big picture) and longer term progress against the core objectives of "what would success look like?". An additional set of lower level performance indicators will measure progress against more immediate outcomes (did they do what they said they would do and what was the result?).

Conclusion

It is far too early to judge the success of the City of Port Phillip Community Plan – at time of writing, implementation is only half way into the first year of a ten-year plan.

However, what is crystal clear is the enthusiasm expressed by the overwhelming majority of those who participated in the informative and deliberative, transparent and democratic community decision-making processes.

Honouring the intent and purpose of deliberative processes can only improve policy making – it is a challenge well worth taking on.

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Local Participatory Budgeting

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PART II

Chapter 12

Participatory Budgeting in Çanakkale, Turkey

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Introduction

Changes and developments in the public sector bring about the need to review and improve the principles and procedures, objectives and targets of administration in local governments. The municipalities that spend funds through the authority they receive from citizens are now obliged to restructure their decision-making procedures and to determine new strategies. In Çanakkale, the first examples of "active citizenship and partnership relations" date from the 1960s. Modern examples based on today's governance and management principles began with the establishment of the broad-based City Council in 1996 (whose members include elected officials, public servants, representatives of academia, political parties, associations and local headmen or *mukhtar*) and was followed by Local Agenda 21 activities.

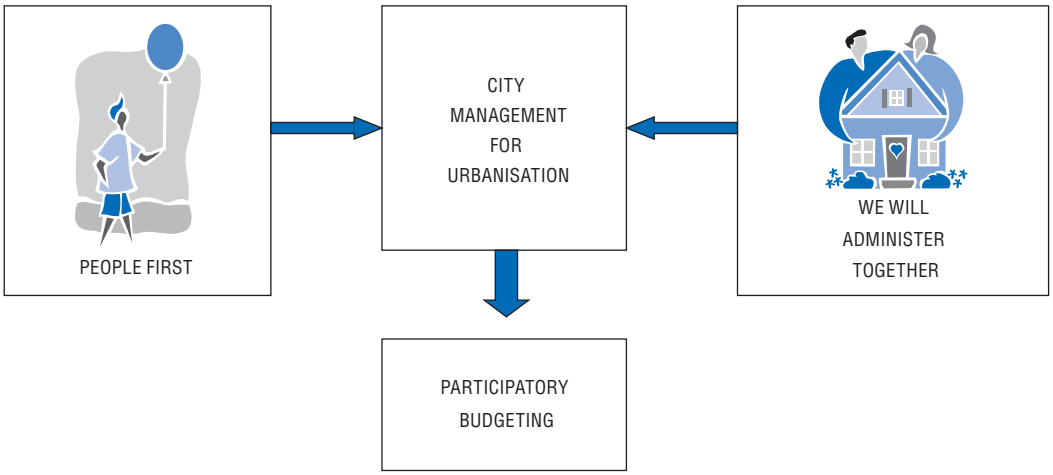
Over the past years, the municipal administration has implemented new ideas and projects under the motto "We Will Administer Together". An evaluation of partnerships and active citizenship was carried out and a number of criticisms of the decision-making process were identified. These negative aspects can be summarised as:

- Limited participation mechanisms.
- Inefficient participation.
- Monopoly created by certain groups.
- Decline in citizen interest.

Çanakkale Municipality 2006-2010 Strategic Plan

The first concrete step in overcoming these problems was taken with the preparation of Çanakkale Municipality 2006-2010 Strategic Plan prepared by the municipal council (the decision-making body of the municipality), with the full participation of the municipality personnel. Non-governmental organisations, institutions and agencies, 45 stakeholders

Figure 12.1. **Mapping participation in Çanakkale city management**



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from the private sector and nearly 2 000 individuals took an active part in the process. The following principles and mission were agreed upon in co-operation with citizens: "Local administration acting by the principles of participatory democracy and governance" and "City Management Achieving Urbanisation".

A new administrative model was necessary to ensure participation not only in the strategic planning phase but also in the decision-making process and city management. The model is also applicable to allowing citizens to participate in the decision-making related to the allocation of resources.

Participatory budgeting

The municipality decided to investigate "budgeting and implementation" methods and undertook a number of projects to this end. The objective was to grant citizens the right to participate in the decision-making and budgeting processes. Awareness-raising activities were undertaken in order to inform people about the complex issue of budgeting. The information was disseminated through public meetings, focus group meetings, information brochures, and visual and print media over a period of approximately three months.

A structure similar to "participatory budgeting" (first introduced in Porto Alegre Brazil in 1989 and used today in different forms in hundreds of cities in various countries) was selected as the method of including citizens in the institutional budgeting and implementation process. A simpler participatory model has been put into practice for the time being as it requires a long time to establish institutional capacity.

Roles of stakeholders

Activities were designed in three steps for the stakeholders determined by the Çanakkale Municipality. The main components of the model and roles of the stakeholders are as follows:

Municipality

- To determine the Budget Policies with a Multi-Annual Investment Plan in order to make the best use of current resources to provide the best service possible.
- To improve financial management and service provision quality.
- To ensure the sustainability of the participation in the Municipality's financial management system.
- To submit the results of participatory budgeting activities, evaluation reports of the Investment Planning Committee[1] to the City Assembly and City Council and to evaluate them.

The headmen (Mukhtar)

- To assist in the organisation of the participatory budgeting meetings.
- To submit the needs of the neighborhood to the Municipality.
- To inform the citizens.
- To participate in the work of the Investment Planning Committee and to prepare an evaluation report.

The citizens

- To participate in the processes of budgeting and implementation.

- To use the right to participate in the processes of decision-making, budgeting and implementation.

The city council

- To form a participatory budgeting model for Çanakkale.
- To participate in the work of the Investment Planning Committee and to prepare an evaluation report.
- To monitor and evaluate the Multi-Annual Investment Plan and Budget and the Performance Programme of the Municipality and to establish working groups.

The processes and the problems

- **Awareness raising process:** The campaign "I Know My Budget, I Demand Accountability" was designed to raise awareness about the right to participate in the decision-making processes on budgeting. The campaign included meetings with the inhabitants over a period of almost three months, focus group meetings, information brochures (10 000 brochures were distributed to residences), and information in visual and printed media.

A survey that was conducted during the awareness-raising campaign showed that the citizens in Çanakkale preferred the process of participatory budget second amongst various participation options, even though it is a new and unknown method never been tried before.

- **Implementation process:** "Abstract Numbers Meet with Real Life: Budget Treasuries." Public meetings were held to familiarise people with the idea of budgeting and to contribute to the establishment of monitoring and evaluation processes. The participants were informed of budgeting processes, previous years' services and expenditures, future targets and resource requirements. Participants were asked to define the priorities of the city and the neighborhoods (through investment demand forms, taking a poll to allocate resources, service evaluation forms, surveys). The information was used in the 2008 budgeting process by the Investment Planning Committee and Municipality bureaucrats, and investment planning was carried out in line with the information acquired. Following the completion of the legal budgeting process, the second phase meetings were held, and the decisions taken on budgeting were explained to the participants.
- **Citizens' projects:** "I Have a Word to Say and a Project to Implement." Project applications from citizens on three themes "greener, cleaner and safer" were accepted with a view to improve working together towards creating a better environment for neighbourhood and city dwellers. In 2007, four applications were received on improving open space areas and keeping them clean, and one application was received on city safety. In order to increase future participation and interest, all the applications were accepted and implemented without evaluation and scoring. Today, citizens in four neighbourhoods have taken upon themselves the maintenance of the parks. The Municipality provides financial resources and equipment. Citizens formed a fire extinguisher team in one neighbourhood and have taken on the responsibility for the maintenance and security of fire hydrants. These activities have led to interest from other neighbourhoods.

In 2007, nearly 500 inhabitants participated in the meetings, which continue to be held. This number corresponds to about 0.6% of the total population of the city. This may lead to a misunderstanding that participation is low. The citizens attending the meetings have said that the participation of the mayor and the practice of accountability involved in the activities has paved the way for increasing interest and creating an environment of trust. More activities will be implemented.

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The institutional structure has become much more disciplined. Accountability and transparency underpins the right to take part in decision-making processes, and being diligent is essential.

In conclusion, the city is still in the initial stages of participatory budgeting as a part of the Support to Local Administration Reform Project.[2] Efforts are continuing in order to establish a participation model adapted to local administrations in Turkey.

Goals of the participatory budgeting project

- To enable the continuous participation of non-governmental organisations, professional organisations, public institutions and agencies and the city dwellers at local level in the financial management system and service provision.
- To improve and ensure the sustainability of co-operation amongst city actors (Municipality, special provincial administration, trade associations, trade unions and NGOs) defined in the decision-making processes.
- To improve the sense of partnership and participation of the top management of the Municipality during the decision-making processes on service provision and budgeting for the city.
- To determine the priorities of the city through citizen participation in the course of formulating the capital and current investments and developing multi-annual investment programmes in the process of budgeting.
- To develop financial discipline and to enable the concept of accountability to be adopted within the institutional structure.

Table 12.1. **"I Know My Budget" campaign: Key characteristics**

Costs	The estimated cost of the project for 2008 is TRY 35 000 (New Turkish Liras). These costs have been envisaged by taking into account the awards for the selected projects in the project competition, meeting organisation, documents to be printed for publicity and information. TRY 25 000 has been allocated for the projects to be prepared at local level in the 2008 budget.
Risks	The active city actors in the work on participatory budgeting may benefit more than others. Individual or group demands reflecting a lack of urban consciousness may be problematic. Despite the fact that the City Council and participatory decision-making models at the local level have existed for some time there may still be some ambiguity when taking part in the participation stage This Is because challenges still remain in the management of such processes, the ability to work together (project-oriented working) and in establishing confidence among groups. Other risks relate to limited city resources, restrictions in implementing legal regulations and delays stemming from financial legislation (financial processes and management of budget).
Benefits	Personal priorities have been replaced by the priorities of the neighborhood and the city, thanks to meetings held at local level for two years. This is a positive step for developing and improving urban consciousness. The functions of the headmen of the neighborhood have increased and the office of headman which is the smallest body in the local management line has been given specific tasks in co-operation with other groups. Municipal activities and the co-ordinated work on the budget and investment programmes have been positive steps in developing the city vision. Communication between the Municipality and the citizenry has grown. Intra-institutional evaluation mechanisms have been put to the test.
Inclusion	The fact that the Mayor takes part in the meetings with the citizens is a significant factor in increasing the number of participants. It enables face-to-face communication which is seen as a positive factor. Additional activities in the project to provide sustainable and qualified participation have been defined. For example, handing over the responsibility of project competitions and project selections to the citizens.
Evaluation	The Investment Planning Committee (IPC) is composed of municipal bureaucrats, the headmen of the neighbourhood, representatives of the neighborhood, of the city council and of the Municipal Council. They prepare a report on the meetings held and their results; this report is shared with the city inhabitants.

Notes

1. The Investment Planning Committee was established with the aim of determining the investment budget and budgeting policies, enhancing the institutional capacity of the municipality and preserving the participation principle of the financial management system. It is composed of one member each from the party group members, selected by the Development Commission and the Planning, Budgeting Final Accounts Commission of the Municipal Council, one member of the Municipality Strategic Planning Commission, Deputy Mayor, Director of Municipal Financial Services, the official in charge of the Strategic Planning and Management Unit of the Municipality, one member of the City Council and the headman of the relevant neighbourhood.
2. Support to Local Administration Reform Project is a project technically supported by the UNDP and financed by the European Union. The Ministry of the Interior is the main beneficiary and aims to improve service quality and the budgeting processes of the local administrations. The Çanakkale Municipality was selected as the pilot municipality among nearly 300 local administrations. The Project was finalised in 2007.

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PART II

Chapter 13

Participatory Budgeting in Buk-gu, Korea

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Introduction

Budgeting is a fundamental activity of government, an explicit agreement between the people and their government in which private resources are collected in exchange for public services and benefits. Citizens rightfully expect governments to deliver on that promise. They further expect that public budgets be fair, equitable and transparent in support of national priorities and objectives.

Strengthening the transparency and openness of public budgets can help promote social accountability and restore the public's confidence in overall government. That will enable citizens to become more engaged, and, in the process, learn more about the budget and fiscal concerns. As they do, cynicism dissipates and trust in government improves.

Globally, there is growing recognition of the importance of public engagement in budgeting. There is growing experience, particularly in Latin America and in Europe, with different forms of incorporating citizens in budget decisions at sub-national levels of government. Municipal and regional public authorities, often in partnership with civil society organisations (CSOs), are actively involving citizens in the budget process and achieving promising results. Some have gone as far as adopting participatory budgeting measures that allow citizens direct influence over selected budget categories and fund allocations.

However, at the national level, the citizens' ability to participate in budgeting is limited to periodic elections of representatives who will act on their behalf. The direct approaches used by sub-national public authorities clearly are not workable for the national level. The barriers that inhibit local initiatives – physical distance, the numbers of citizens, the time required – appear insurmountable at the national level for the moment. However, with the introduction of advanced information and communications technologies (ICTs), it is no doubt to be expected that there will be conspicuous changes even in the national level in the future.

This case study examines one approach to budgetary decision making that has started to yield positive results and became a role model in the sub-national level in the Republic of Korea.

Participatory budgeting of the Buk-gu district office of Gwangju Metropolitan City

The Buk-gu District of Gwangju Metropolitan City (District) has a population of approximately 463 000, with a mayor-district council (representative) form of government. The mayor and 20 district council members are all elected. The District's successful experience with Participatory Budgeting (PB) has inspired followers among many other cities and regions in Korea. PB was introduced in the District in 2003 for the first time in Korea after Kim, Jae Kyjun won the mayoral election. He had the background of working for civil society organisations (CSOs), followed by eight years as a member of the Gwangju Metropolitan City Council. The introduction of PB was one of the major policy priorities of his election promises to attain the goal of enhancing the transparency in government,

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improving the delivery of public services, holding civil servants accountable, and eventually realising financial democracy. With a strong leadership of mayors and the District's incessant dialogues with the stakeholders, the new political experiment has had positive outcomes.

In 1991, Korea resumed a local autonomy system. Since then, there have been a variety of movements in order to hold civil servants accountable and to make the government transparent by engaging citizens in the policy making process. Budget issues have always been at the centre of the debates. In 1999, the Budget Watch Network, which consists of 30 nationwide CSOs, was organised to focus mainly on monitoring the use of official perquisites of mayors and making petitions to local governments for institutionalising PB systems. In addition, the successful and well-known experience of Porto Alegre of Brazil has attracted academia, research groups, and political parties to review PB system as an alternative way to adapt similar measures to Korea.

Table 13.1. **Participatory Budgeting (PB): Key characteristics**

Costs	The project is estimated to have cost approximately EUR 17 700 (as of 2007) annually. This includes the fees paid to consultants and participants, as well as the costs of organising meetings, travel costs, etc. There is usually one full-time staff member, and he/she works with some other colleagues when it is peak season.
Risks	A number of risks were anticipated and encountered in the implementation of Participatory Budgeting: • A number of civil servants argued that it would result in poor budget formation because of the participants' insufficient experiences and skills. • Some citizens argued that it would provoke increased conflicts among citizens in the process of allocating limited resources and would be used as a means of justifying the mayor's decision making without producing substantial outcomes. • The members of District Council (DC) argued that it would make the budget process time consuming and inefficient, as well as go beyond the authority of DC. • Finally, the project did increase the administrative burden on Northern District – requiring one full time staff and fragmenting the budget stages from 5 to 14.
Benefits	Participatory Budgeting benefited the District in several ways: • The quality as well as the quantity of budget information to citizens has been improved in more accessible and user-friendly format. • The number of preliminary or/and regular consultations between the District and the DC has been increased to reconcile the conflicts and narrow the differences before the District proposes the budget to the DC. • Citizens got to feel that government works better for them, as a result, place greater trust in government and public officials.
Inclusion	The project engaged over 1 000 stakeholders in interviews, workshops, and presentations regarding the issues impacting the region and its economic development. It engaged or reached the private, public, and CSOs, as well as academics, students, and others. However, the Participatory Budgeting Council (PBC), which consists of no more than 100 citizens based on invitations and recommendations, plays the central role in the decision-making process. In addition, there is a project website, which contains all the necessary information and functions as a two-way communications channel.
Evaluation	The project was evaluated by the District through the form of survey by the participants and civil servants three years after the initial implementation in 2003. The results of the evaluation turned out to be positive in all areas and are open to the public through its website and booklets.

Participatory budgeting process

In 2003, the District organised the Citizen Participatory Budgeting Study Group (CPBSG) with eight people, which consisted of civil servants, members of District Council, CSOs, and academia in order to analyse good examples from foreign countries and submit proper methodologies as a way of introducing the PB to the District. Based on the findings of the CPBSG, the Participatory Budgeting Council (PBC) and its eight (five from 2004) thematic sub-committees, which consisted of 132 members (89 from 2006) in total, were set up through public invitations and recommendations so as to play a key role in the

process of budgeting (*i.e.* submission of citizens' opinions, operation of budget schools, holding the public hearings on budget and closing accounts, etc.).

The thematic sub-committees enable their participants to debate more deeply on the major issues, such as local economy, culture, urban life and environment. All citizens are entitled to participate in the entire processes directly or indirectly by attending the open forum, public hearings or sending opinions either by mail or through the Internet. Once the deliberative processes are finished, the mayor finalises the budget proposal through the District-Citizen Joint Conference, and it must be approved by the District Council. The PBC evaluates city performance on the budget implementation to ensure feedback on the results the following year.

Based on the positive experience and performance, in 2004 the District passed a local regulation institutionalising PB to make it sustainable. In 2006, the District established the so-called "e-Budget Portal" as a means of extending citizen's engagement to the budget process, providing quality budget information and enhancing online two-way communications based on advanced information communication technologies (ICTs).

Changes and benefits

There have been some remarkable changes and benefits after the introduction of participatory budgeting in the District as follows:

- The stages of the budget process have begun earlier and have been fragmented from 5 to 14 with the addition of citizen's input channels, which has transformed the formerly closed process into one that is open to the public.
- The quality of budget information has been improved by changing budget information into an accessible format to the public (*i.e.* publication of budget terms handbook, revision of the budget proposal into a performance-based format), and by developing citizen's capacity to analyse and influence government budgets (*i.e.* budget schools). In addition, the degree of disclosure has been extended through the various preliminary presentations, an open forum, administration-PBC joint debates, etc.
- The District finalises the budget proposal through the District-Citizen Joint Conference before submitting it to the DC with all the various opinions from citizens and its reviews by the administration.
- The number of preliminary and/or regular consultations between the District and the DC has been increased to reconcile the conflicts and narrow the differences before the District propose the budget to the DC.
- As a final stage, the District evaluates the citizens' inputs and outcomes, and awards citizens who have contributed actively to the community in terms of feedback to PB at the end of fiscal year.

According to the District's report, for the past four years since 2004, citizens have responded with 378 budget-related or non-related suggestions through the PB process. Among them, 69.8% (264 suggestions) were incorporated into the final budget proposal after several stages of debate before it went to the DC.

The District dedicated KRW 1 300 million (Korean won) to the budget proposal, which amounts to 6.2% of its total disposable resources in 2004. In 2005, the proportion of citizens' suggestion went up to 9.8%, which is 3.6% higher than the previous year. The

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majority of suggestions are about the improvements in public service delivery. Some small but meaningful examples are as follows:

- Establishment of light lamps with music in a park in Mun-Heung area (24 places, KRW 14 million.
- Installation of a shelter for abandoned pets in University of Jeon-Nam (KRW 5 million).
- Extension and improvement of a children's commuting road in front of Eastern Gwangju Elementary School (KRW 70 million).

Managing barriers

However, there have also been negative responses towards the implementation of PB. The main arguments against it are that PB may:

- Result in poor budget formation because of the participants' insufficient experiences and skills.
- Cause increased conflicts among citizens in the process of allocating limited resources.
- Make the budget process time consuming and inefficient.
- Be used as a means of justifying the mayor's decision making without producing substantial outcomes.

In theory, as well as in reality, these arguments are understandable and well founded. The District has overcome these internal and external barriers mainly through:

- The strong leadership of the mayors.
- Increased formal and informal dialogues and consultations with the DC and citizens.
- Establishment of the PBC and its subcommittees as key channels of budget deliberations.
- Operation of budget schools and several workshops to develop the capacity of citizens.
- Continuous training programmes for civil servants to change their attitudes and find a better way of working together with citizens.
- Institutionalisation of the initiative to guarantee its sustainability.

After its first launch in 2003, the District's PB initiative has drawn attention from many local governments, academia, and neighbouring countries with numerous on-site visits and conferences. In 2005, the Ministry of Government Administration and Home Affairs (MOGAHA), which is responsible for managing the local budget and finance systems, incorporated the principles and foundation of PB into the Local Finance Law, which is applicable to all the local governments, irrespective of the level or form of government. In addition, the initiative was selected as one of the top ten best practices in the field of local administration innovation and awarded a special budget incentive after delivering a presentation before the president, city mayors and provincial governors from all the local autonomies.

A survey of PBC members and civil servants on the impact of PB by the District after three years of implementation was conducted. Through the survey, most of the PBC members regarded as the biggest benefits the following: better understanding of budget constraints, having opportunities to be heard, and increased trust in government. Civil servants chose as the biggest benefits: better understanding of citizen's needs, the guarantee of citizen's legitimacy, and preventing waste of taxpayer's money.

Challenges ahead

Despite all the benefits and clear accomplishments, there are still potential risks and challenges ahead. For example participatory budgeting (PB) may:

- Increase the demand on local finance by raising citizens' levels of expectation without consideration of the financial reality. Since the financial situation of local governments is not sufficient to meet all the demands from the citizens, future topics to think about together in the process of budget deliberations with citizens are: how to increase disposable revenues and how to make reasonable criteria to allocate limited resources among regions according to their priorities.
- Negatively impact on the efficient management of local finances by making public servants concentrate more on the short-term, technical, microscopic perspectives rather than thinking of mid-term or long-term strategic planning. The budgetary implications of demographic changes of the region, long-term sustainability of current policies are good themes to be dealt with by PB processes.
- Become a means of legitimising the decision making of the mayor without the continuous active participation of citizens and ongoing efforts by civil servants to open all the budget processes and disclose the quality information to the public. Therefore, institutionalisation of the initiatives and establishment of two-way communications based on ICTs, regular reviews of citizens' inputs and feedback processes are required.
- Widen the current gap between the groups who participate and those who cannot. It is quite true when it comes to the use of ICTs, because of the issue of "digital divide" between the young generation and senior citizens. As one of the principal goals of introducing PB is a more equitable distribution of public resources, incorporating citizens who are "willing but unable" to participate into the system will become all the more important.

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National Level Participatory Programmes

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PART II

Chapter 14

The Citizen Participation Policy Programme, Finland

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Introduction

The Citizen Participation Policy Programme was described in the Government Programme in 2003 as a national democracy project. It was aimed at the central, regional and local levels; focused on agenda setting and policy options; and lasted from 2003-2007. Prime Minister Matti Vanhanen's Government adopted a new co-ordination tool aiming at more horizontal and strategic government policy making. The participation policy programme was one of the four key-horizontal programmes that the government launched.

The Ministry of Justice, which is responsible in Finland for arranging elections and democracy in legislation, was given the co-ordinating role in the programme. Other ministries that were involved in the programme were Education (civic education and research, sports, cultural and youth work), Interior (municipal affairs) and Finance (public management).

The Minister of Justice assisted by a programme director with a small staff at the ministry headed the programme. The task was to develop the totality of the programme, although responsibility of the activities resided with the ministries. Compiling an annual Government Strategy Document strengthened the programme's cohesion. Meetings were held to enable representatives of the various projects to present their activities to each other and build mutual co-operation.

Democracy is founded on the idea of the free, independent and fully empowered citizen, who considers, sets goals and makes decisions together with others through discussion. Active citizenship arises from people. Its genesis is not in the law and cannot be brought into force through administrative regulations. The policy programme on Citizen Participation respected these fundamental points.

Public authorities can however, create favourable preconditions for participation and the exercise of influence in such a way that they support fully-fledged citizenship. The general objective of democracy policy is that Finland will be recognised, in accordance with her traditions, as a forerunner in the development of democracy and her indicators of active citizenship will be comparable to those of the best European countries. Decision-making is founded on broad participation and equality of citizens.

Four subsectors of the Citizen Participation Policy Programme

The general objective was approached in the Citizen Participation Policy Programme through four sub-sectors:

1. Schools and other institutions of learning support growth to **active and democratic citizenship** in accordance with the principle of lifelong learning. Besides Finnish citizenship, EU and world citizenship must also be taken into consideration in education.

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2. The legal and administrative prerequisites for the operation of **civil society** are favourable and up to date from the perspective of civic activity. The third sector has sufficient research, training and development services.
3. Traditional and new channels for **citizen participation** are developed in such a way that they support the full involvement of citizens in the activities of communities and society. Administration has the necessary tools and the kind of attitude it needs to be able to interact with citizens.
4. **The structures and practices of representative democracy** function well on all levels of decision-making, and they take the changes that are taking place in everything from knowledge society to globalisation into consideration.

Interaction between citizens and administration

Citizen's trust in administration is one of the core questions of democracy. It is born of people's personal experiences of fairness of administration, but also of opportunities to take part in and influence decision-making processes. This makes the relationship between citizens and civic organisations, on the one hand, and decision-makers and civil servants on the other, a key question.

The policy programme pointed out that there is a need for innovative development to ensure that the new opportunities to participate and exercise influence are opened up to individual citizens and groups of them. New methods must be developed in such a way that they function effectively also from the perspective of administration and are not excessively time-consuming.

The work in the field of strengthening citizen government connections had started already at the beginning of the decade as individual projects. Now these projects are continuing and being further developed as part of the policy programme.

During the programme:

- The permanent State Secretaries of the ministries signed a declaration on "administration's general principles concerning consultation of citizens". The Ministry of Finance is monitoring the implementation of these objectives by a yearly questionnaire to the ministries. The signatories also included the association of local and regional authorities and representatives of individual municipalities.
- A guidebook on consultation of citizens was drafted for civil servants and office holders. Strategies on civic organisations were required of all ministries.
- A study on the use of information networks for consultation of, and participation by, citizens was conducted. The study also reviewed the potential of digital TV as a channel for citizens to exercise influence. The state administration discussion forum was renewed and the development of electronic consultation was continued.
- The SAG group, through which co-operation between Swedish-speaking organisations and various ministries takes place, promotes consultation of civic organisations at various stages of the preparation of decisions. Special attention was paid to the initiation and early stages of preparations.
- The principles for evaluation of communication by the State administration were developed as a project run by the Prime minister's office. Monitoring of public opinion is one of the evaluation criteria in the revised set of principles.

Main results of the Citizen Participation Policy Programme

- The information basis of the democracy is being ensured and a framework for administration of democracy has been established.
- Research on civic education has been strengthened and the share of citizen participation in teacher training has been increased as well as the share in schools.
- The overall picture of the importance of civil society was developed and some major development projects are on the way. For example, the conditions required for activities of public utilities, voluntary work and peer assistance are being explained, for example, in relation to taxation and putting services to tender.
- New initiatives have been created for the consultation and participation of citizens in decision-making.
- Amendments to the local Government Act will improve the ability of municipals councils to direct the activities of municipal concerns, as well as clarify the position in the market of municipally owned commercial undertakings.

Table 14.1. **Citizen Participation Policy Programme: Key characteristics**

Costs	n.a.
Risks	• The programme was very comprehensive so there was a risk of the "big picture" view disappearing under the tens of different projects. There was also a risk of lack of coherence. However by setting the targets and the projects under the four sub-sectors (active and democratic citizenship, civil society, citizen participation, the structures and practices of representative democracy), the programme was able to avoid fragmentation. • Due to the comprehensiveness, there was also a risk of the time running short. For instance, four years is not a very long time for starting and running through research programmes and using their results for new projects. • In an administration, where ministries tend too often to work within their own confines, co-operation in a programme is always a challenge. The ministries tend to safeguard their own working areas. During the civil participation policy programme, the fact that there was a steering group of ministers from the participating ministries was a good way of avoiding too single-sided views. The co-operation was further strengthened by a co-operation group of civil servants from the ministries where the different projects and issues were discussed together. • Another risk was that the programme would only reach those that had already been involved with the issues previously. For instance, reaching a wider audience of civil servants in the ministries remained a challenge until the end of the programme.
Benefits	• The programme was able to connect a large number of different development projects and areas that had previously been handled separately and not in connection to each other. • The programme was able to secure the continuation of this co-operation. A Democracy Unit now exists in the Ministry of Justice that promotes citizen participation. It is responsible for the drafting of the democracy policy, organises co-operation between Ministries in the area of citizen participation and is in charge of the maintenance of the discussion forum *www.otakantaa.fi* and the portal *www.kansanvalta.fi*. • Research on civic education has been strengthened and the share of citizen participation in teacher training has been increased as has the teaching time in schools.
Inclusion	The programme has engaged a huge number of people. All active civil society organisations have been involved in some part of the programme – most of them in several. The project also tried to include individual citizens through different means in different projects. Internet, direct mailing, meetings, round tables and workshops were among the methods used.
Evaluation	The evaluation of the policy programmes has been linked to the yearly Government Strategy Document. Clear effectiveness targets are set for each horizontal policy programme, and they are included in the Government Strategy Document. In the policy programme, indicators for policy evaluation have also been developed.

There is still work to be done

The Ministry of Finance sent a questionnaire to ministries and to civil society organisations in the summer of 2007 to monitor whether there is progress in implementing the principles. The answers to this questionnaire shows that the direction of development is right, but there is still quite a lot of work to be done before the results will be satisfactory.

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The results showed that information dissemination is well taken care of. Of all the projects started, about 90% immediately appear after being launched (or even before) in the government's project register on the Internet. But when it comes to the ministries' strategies on consultation and participation, not all ministries have such strategies yet, even though they are required to do so by government. However, consultation is seen as a normal, integral part of the preparatory work in the ministries and the ways of hearing citizens are more diverse than before. Also regional hearings and horizontal hearings done in co-operation with other ministries are more common than before.

The time given for civil society organisations (CSOs) to answer written consultation is longer than before but the goal (8 to 12 weeks) has so far only been reached in one ministry (out of 13 ministries). According to the CSOs, developments are going to the right direction; but they argue that sometimes hearings seem to be organised more for window dressing, and occasionally both the ministries and CSOs are too politically correct in their behaviours in the public hearings, and the true hard questions and problems are carefully avoided.

Evaluation of consultation and participation, as well as the training of civil servants in this area, are issues where progress is perhaps lagging behind the most.

The Citizen Policy Programme's democracy indicators

The Citizen Participation Policy Programme has also created democracy indicators to monitor the state and development of Finnish democracy. The indicators cover the following topics:

- Election and party democracy.
- Participatory democracy and social capital.
- NGO participation.
- Citizens' views on citizenship and their own opportunities to influence.
- Attitudes towards political institutions and actors.
- Criteria of informed citizenship.

What are the democracy indicators based on?

To produce comprehensive and reliable democracy indicators, a variety of data sources and measures are required. These include an established system of collecting results of election opinion polls and questionnaires aimed at NGOs, political parties and educational institutions.

Why are democracy indicators needed?

There is plenty of demand for information about democracy. Civic discussion calls for clear and reliable information that creates a sufficiently firm basis for the formulation of opinions and decisions by citizens in the context of their own active role in society. Political and government decision-makers need information that is relevant to society's development and in concrete problem-solving situations.

Democracy issues include key elements that cannot be properly illuminated without measurable indicators. Many questions typical of democracy discussions are formulated in quantitative terms. Which development trends can we observe in people's attitudes towards democracy? What is the rate of those participating in "non-traditional" political

activities among the population? How representative among the public is the often-detected negative attitude towards politics? Which factors explain the drop in election turnouts?

Finland is not highly ranked internationally in comparisons of the availability of wide-ranging empirical data on politics and society. Most developed western countries have access to data that has been collected and developed for considerably longer and more systematically than in Finland. For example, election research (which is vital for the monitoring of democracy development) is still in its infancy in Finland, when compared with other Nordic countries.

Who will create the democracy indicators?

The research work will be carried out by academic researchers and financed by the Ministry of Justice. Independent research institutions, selected on the basis of experience and appropriate competitive tendering, will collect each set of research data.

International co-operation networks and international comparability are vital tools for research into Finnish democracy.

How will the democracy indicators be used?

Creation of indicators and collection of data on the basis of them is not an end in itself. Work related to democracy indicators can only be regarded a success when they have been utilised to produce data that is relevant to research, decision-making and civic discussion.

Data is collected on key issues related to both democracy research and to practical problems with democracy, ensuring that long-term monitoring of Finnish democracy is served as appropriately as possible.

Fundamental democracy indicators will be published as easily understandable and concise tables and graphs on a dedicated democracy website (*www.kansanvalta.fi*).* In addition to summaries intended for the public and media, a main academic report and briefer publications in journals will be created on each topic.

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PART II

Chapter 15

The Environment Roundtable, France

by
The Directorate General for State Modernisation, the Ministry of Budget, Public Accounts and Civil Service, and the Ministry for Ecology, Energy, Sustainable Development, and Town and Country Planning

Introduction

The aim of the Government's Environment Round Table (the *Grenelle de l'environnement*) was to hold public consultations, through a dedicated website and 15 or so decentralised public meetings. In the end 18 public meetings were held and the Internet forum was extended by two days.

This initiative followed the practice, begun in France 25 years ago, of consulting the public in the fields of environment and sustainable development.

According to Ms. Bettina Laville of the State Council (*Conseil d'État*), this consultation falls within the Environmental Charter, Article 7 of which states: "Every person has the right, under the conditions and limits defined by law, to have access to the information about the environment held by the public authorities and to take part in the preparation of public decisions that have an impact on the environment."

This consultation process was unique, however, in that it no longer consisted of giving the public an opportunity to react to a specific planning proposal, but instead offered the public the chance to approve or reject proposals that were themselves the product of collective effort and the deliberations of five colleges of national working groups. In this respect, it was the first consultation to claim to satisfy the requirements of Article 6, paragraph 4, of the Aarhus Convention, which recommends that the public be consulted before decisions are made: "Each Party shall provide for early public participation, when all options are open and effective public participation can take place."

The Environment Round Table process

The Environment Round Table process was organised in two parts. The first part took place in three phases:

- Mid-July – end September 2007:

  Five collegial bodies were set up, made up of trade unions, employers, non-governmental organisations, local authorities and public service representatives;

  Six working groups, dealing respectively with climate change, biodiversity, environment and health, sustainable production and consumption, environmental democracy, and environmental growth and economic instruments. This phase ended with each working group drawing up proposals.

- End September – mid-October 2007:

  The second phase involved a very wide-ranging consultation based on the proposals of these working groups, on the Internet, with the public at large, and through public meetings held mainly in the regions, and also with Parliament.

- 24 and 25 October 2007:

  Two days of negotiations were held in order to draw up positions on four key issues.

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This first part of the Environment Roundtable ended with the announcement of the main positions and decisions by the President of the Republic who made 238 commitments, covering a wide variety of fields.

The second part of the Environment Roundtable featured:

- The adoption of a measure that was implemented straight away: the system of variable insurance premiums on privately owned vehicles.
- The setting up of 33 committees charged with drawing up measures designed to ensure that the commitments announced in the fields, for example, of transport, construction, agriculture, consumption, biodiversity, health and waste management are met.
- Follow–up work by these committees, which met every six weeks.

It was to conclude with the drawing up of a draft law containing the first measures to be submitted to Parliament, towards the middle of March 2008.

This was in many respects a novel structure:

- The consultation was based on proposals issued by the working groups, themselves representing different groups of actors in environment and sustainable development.
- It was a State initiative in liaison with the mayors of the host towns.
- It allowed the broadest possible cross-section of the public to take part.
- It was designed to be "objective", and to involve the professionals in public debate.
- A member of the State Council (*Conseil d'État*), Ms. Bettina Laville, was appointed to ensure that the discussions were transparent and the summaries neutral.

Citizen consultations: meetings and workshops

During the Environment Round Table, a number of citizens' consultation processes were held. Meetings were held in the regions from 5 to 22 October 2007. Citizens also had from 28 September to 14 October to comment on and put forward amendments to the proposals drawn up by the six working groups, via the online forum.

All citizens could take part. All they had to do was send a request to the prefect's office (*préfecture*) of their area of residence. Summaries of these meetings have been published and are available on the website *www.legrenelle-environment.fr/*.

Levels of participation were high. In total, over 15 000 people took part in these regional meetings, including elected representatives, economic, social or community actors and private citizens. The proposals of the working groups were discussed, and amendments put forward.

Very often, workshop sessions were organised and chaired by prominent local persons to provide an initial view on the proposals and conclusions of the national working groups. Experts took part in these workshops, first examining and commenting on each of the proposals of the national working groups and then placing them in a local context. Their work was then submitted and discussed at the plenary sessions that were open to the general public.

Balanced representation of the territories

Having considered organising six major inter-regional debates, the Government decided in the end to accept invitations from various towns.

The Government chose to include average-sized towns so as to be more accessible to those citizens who are not always well served by the communication links of the major cities, and to reach out to representatives from rural areas.

Seventeen towns were initially selected by the Government: Annecy-le-Vieux, Arras, Aurillac, Besançon, Bourges, Brest, Châlons-en-Champagne, Drancy, Épinal, Laval, Le Havre, Mulhouse, Nice, Périgueux, Perpignan, Saint-Denis de la Réunion and Saint-Étienne.

The central government representatives (*préfets*) in each area mostly complied with the request from the Government to "manage" the debates without actually taking part. They worked in close collaboration with the headquarters town of the Round Table and its mayor, who jointly issued the invitation. They had to identify the experts, organise the workshops, choose which prominent local people to invite, and deal with the large numbers wishing to take part, with the help of other decentralised government departments.

Assessment

The Laville report drew **three very positive conclusions** from these regional debates:

1. They fulfilled the aim of conducting a **global debate at local level**. While many of the examples used in both the workshops and the plenary sessions were local, the debate was never hijacked by purely local issues that would have undermined the Government's aim to have a genuinely nationwide debate.
2. The **diversity of the regions and their spontaneity of expression** were preserved.
3. The principle of the Environment Round Table was also kept intact: **consensus was sought,** or at any rate, notice was taken of dissent, and the regional forums moreover confirmed the main national trends, except perhaps with regard to eco-taxation and governance.

However, Ms. Laville also expressed **three reservations** in her report:

1. The question of time: most of those taking part were disappointed that no more than 17 days had been allowed for consultations at local level.
2. The short timeframe meant that there was no order of priority established among the proposals at the workshops.
3. The level of participation by women in the debates was very low. In a more general sense, it was regrettable that no clear rules had been laid down to ensure maximum diversity among the participants.

Table 15.1. **The Environment Roundtable: Key characteristics**

Costs	n.a.
Risks	There was a risk of achieving only a limited diversity among participants given the lack of clear guidelines and the reliance upon self-selection.
Benefits	The series of regional dialogues and the Internet forum raised awareness and provided citizens and key stakeholders with a chance to debate a range of issues and contribute to shaping national environmental policy.
Inclusion	Over 15 000 people took part in the regional meetings, including elected representatives, economic, social or community actors and private citizens. A total of 14 259 people took part in the internet forum. The final report notes the limited participation by women.
Evaluation	A final report on the public consultation activities organized as part of the Environment Roundtable, was prepared by the senior civil servant responsible for ensuring oversight of the process and published online.

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The Internet Forum

From 28 September to 14 October 2007, citizens also had the opportunity to put forward comments on, and amendments to, the proposals drawn up by the six working groups, via the online website forum. Over 17 days, 14 259 people took part in the forum. By comparison, the number participating in a previous online consultation about smoking was 11 700 (in a consultation lasting four months) and on the minimum service requirement, 3 000 (over two months).

So successful was it that Jean-Louis Borloo, Minister of State, Minister of Ecology and Sustainable Planning and Development, decided to keep the forum open until Sunday 14 October 2007 (it had originally been set to close on the evening of 12 October). Summaries of the forum discussions are also available on the website.

Overall assessment of the consultations

The public consultation through the Environment Round Table attracted around 15 000 people to the regional debates and more than 300 000 visits to the dedicated website, who made over 14 000 contributions.

Despite the short time available both for assimilating the proposals of the national working groups and for review in the workshops, and despite the vagueness of the rules governing the discussions, the regional debates generally proceeded in a very open manner.

To a large degree, the public reaffirmed the consensus reached in the national working groups and reflected the same areas of disagreement.

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PART II

Chapter 16

The Forest Dialogue, Austria

by
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Introduction

The Austrian Federal Ministry for Agriculture, Forestry, Environment and Water Management initiated a broad process of dialogue aimed at the elaboration of the Austrian Forest Programme. This was with the purpose of ensuring the economic, ecological and social services of Austrian forests under changing framework conditions. This programme identifies future-oriented objectives and measures in order to safeguard a sustainable management of forests. It is a central level programme dealing with forests all over Austria. The interest groups affected are involved in the stages of developing policy options, decision making and implementation of the programme. All participatory activities of the Forest Dialogue are carried out with the support of independent moderators.

The first phase of the Austrian Forest Dialogue was carried out from April 2003 – December 2005. It was completed by the adoption of the Austrian Forest Programme. The second phase of the Austrian Forest Dialogue started in 2006 and is still running. It focuses on the implementation of the measures set forth in the Forest Programme and the Work Programme, as well as on the evaluation of the process and the measures implemented.

Background and main objectives

The Austrian Forest Dialogue is a voluntary process based on international policy commitments regarding Sustainable Development in general and Sustainable Forest Management in particular.

It serves the purpose of strengthening sustainable management, tending and protection of Austrian forests as per Section 1 of the 2002 Forest Act Amendment and Resolution H1 (General Guidelines for the Sustainable Management of Forests in Europe) of the Ministerial Conference for the Protection of Forests in Europe. The Austrian Forest Dialogue thus addresses the economic, ecological and social aspects of forests as three equal pillars of sustainable forest management.

In addition, as a tool for a holistic policy approach according to the EU Council Regulation on support for rural development (EC/1257/1999 of 17 May 1999, Article 29/4), the EU Forest Strategy of 1998, and the agreements of the Ministerial Conference on the Protection of Forests in Europe, the Forest Dialogue serves as a basis for the forest-related development and the implementation of international obligations in forest affairs (*e.g.* Convention on Biological Diversity, United Nations Forum on Forests).

The Forest Dialogue strives at concrete targets that are ideally defined in an operational way. The results serve all political decision-makers and areas addressed in the Forest Programme are guidelines for orientation. The results that are elaborated consensually also represent the basis for a sectoral or forest-related contribution to the Austrian Strategy for Sustainable Development. In this context, the Forest Dialogue shall lead to the formulation of concrete Austrian goals of sustainability (indicators and criteria) as well as corresponding measures.

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Inclusion of target groups

In order to reconcile the different interests in the utilisation of forests, all interest groups relevant to forest matters were invited to the Austrian Forest Dialogue. An investigation on interest groups was carried out before the process was started. The main target groups for active co-operation are environmental and forestry NGOs, the chambers ("Austrian social partnership", *e.g.* the worker's chamber or the chamber of commerce), administrative bodies at federal and at provincial level dealing with forest matters, and the political parties represented in Parliament. At the time being, more than 80 institutions are actively taking part in the process. They represent the interests of environment and nature protection; sports; forestry and agriculture; the wood-based and paper industries; occupational, health and safety; consumer protection; hunting; the church; development co-operation; youth; science; education; energy management; the Federal Provinces; and public administration.

Via the Internet platform *www.walddialog.at** and in the form of written comments, the general public can participate in the dialogue process as well. They can access information on the outcomes of the Round Table and Module meetings. The public is comprehensively informed also by means of a Forest Dialogue Newsletter which reports regularly on the current state and the progress of the Forest Dialogue.

Levels of public participation and methods used

In the Austrian Forest Dialogue, all the three levels of public participation, namely information, consultation and co-operation (active participation), are combined for different target groups:

Political decision makers are involved at so called "Round Tables." The Round Table is the political decision-making body of the Forest Dialogue. It establishes the principles (rules), the procedure and the content orientation of the Forest Dialogue and adopts the individual results of the Forest Dialogue by consensus. The Round Table is chaired by the Federal Minister for Agriculture, Forestry, Environment and Water Management. For practical reasons only, representatives of organised interest groups of country-wide importance may actively participate at the Round Table. So far, 44 organisations have accepted the invitation of the Minister; one organisation (Greenpeace) has withdrawn from the Round Table in the course of the process.

Technical experts and representatives from **administration** and from **interest groups** that deal with forest matters are involved at Forest Forums and Workshops. At this technical level, content-related work and the balancing of interests with regard to the individual topics takes place. The task of the Forest Forum is to continue the reconciliation of interests in forest-related matters according to the requirements provided by the Round Table. The Forest Forum is also responsible for updating the Work Programme of the Austrian Forest Dialogue, for evaluating the measures taken, and for addressing new issues of importance. In addition to the meetings of the Forest Forum, thematic workshops are held to implement the Forest Programme and to update the Work Programme.

At the beginning of the Forest Dialogue, all participants jointly elaborated the rules of co-operation and the principles of process structure and procedure and adopted them by

* The Austrian Forest Programme website (only in German), including a short description of the Austrian Forest Dialogue which is also available in English.

consensus. These rules and principles form an important basis for the success of the process and the result-oriented work in the Forest Dialogue.

The *broader public* can access information on the Forest Dialogue website (*www.walddialog.at*), which also includes a web forum for public discussion. Furthermore, everybody can register for the Forest Dialogue newsletter, which is published about twice a year. At the beginning of the dialogue-process the public was invited to a public hearing in order to collect opinions and ideas and to make the public aware of the process and the possibilities for participation. 350 persons participated.

A public relations agency supports the initiative by organising press conferences, developing a Forest Dialogue logo, designing the website and providing information material. Scientific consultants were involved in facilitating the meetings and providing inputs to the programme.

Table 16.1. **Austrian Forest Dialogue: Key characteristics**

Costs	Monetary costs: About EUR 76 000 per year (2003-2008) Non-monetary costs: 2003-2006: Four Round Table meetings, 25 working group meetings (approx. 216 meeting hours), 35 preparation meetings (approx. 120 hours) 2006-2007: Three Forest Forums (extended working group meetings) and 9 workshops (in total: approx. 85 meeting hours, 21 hours for preparation meetings)
Risks	Some challenges were identified in running the Austrian Forest Dialogue: The Austrian Federal Ministry for Agriculture, Forestry, Environment and Water Management is both process manager and stakeholder. This dual role is carefully monitored by external consultants in order to avoid possible clashes of interest. The application of new and innovative methods of participation also helps to minimise the possible conflicts of interest. Some interest groups lack money and time for continuous participation. Traditional structures in public administration are not always compatible with new open and inclusive approaches of policy making (new working styles, communication skills and internal structures are necessary).
Benefits	At the Round Table a broad consensus on the Austrian Forest Programme could be reached. However, two environmental NGOs and the Green Party have consented with reservation. A broadly supported vision on how to secure Sustainable Forest Management is available now, which enables the structured implementation of measures regarding forests and their services. As another result of the initiative, the co-ordination and co-operation amongst the stake-holders involved and between the stakeholders and the public administration was enhanced. A better understanding of the different interests and positions and a new and more constructive spirit to tackle issues of common concern were established. Former prejudices could be overcome and a new culture of co-operation could evolve.
Inclusion	Regarding the interest groups affected, the Austrian Forest Dialogue is quite inclusive, because all relevant federal organisations take part (in total 81 organisations and institutions). Regarding the broader public, there is a lack of inclusiveness. Up to now, no specific tools have been used to engage a wide variety of citizens. However, everybody could attend the public meetings, submit written comments and participate through the web forum. Furthermore, everybody can access information on the website and register for the newsletter. Apart from 350 persons who took part in the public meeting, only a few individuals took advantage of the offers. One reason for this could be that the broader public is not always interested in strategic plans like the Austrian Forest Programme, where it is not clear whether they are individually affected or not. Sometimes they also lack time and capacity to participate in processes that run over several years.
Evaluation	An evaluation is expected to start at the end of 2008.

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Austrian Federal Ministry for Agriculture and Forestry, Environment and Water Management, The Austrian Forest Programme website, *www.walddialog.at*.

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PART II

Chapter 17

Standardised Surveys on Voter Behaviour, Switzerland

by
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Short summary of case

After each popular vote at federal level (with three to four votes held each year on 10 to 12 proposals), a standardised survey has been conducted since 1977 with a representative sample of voters on their interests, motivation, and competence on matters relating to voting and on politics in general. To make the surveys comparable, the variables have been standardised (about 430 variables). The cost of the surveys amounts to about EUR 120 000 per year. The time spent by government officials to administer the mandate is negligible. The results of the surveys are made available to the media.

Introduction: votes in Switzerland

One particularity of the democratic system in Switzerland is the extensive political rights at local, cantonal and federal level. By means of different co-decision tools – at the federal level, principally the **referendum** and the **popular initiative** – the people can effectively take part in the management of the State. At the federal level these political rights are exercised in votes usually held four times a year, with decisions on up to ten to 12 items. Citizens can propose amendments to the Constitution by means of **popular initiatives**. Before such a proposal can be submitted to a popular vote, the signatures of at least 100 000 eligible voters must be gathered within an 18-month period. In some cases, the authorities respond to popular initiatives by submitting an alternative plan or counter-proposal to the people and placing it on the same ballot. For either the popular initiative or the counter proposal to be accepted, a double majority is required (majority of the people and majority of the cantons). **Referendums** are a form of veto, which allow citizens to respond to Acts of Parliament. Decisions concerning amendments to the Constitution or Swiss participation in certain international organisations are, by law, always subject to referendum. In these cases, a double majority is required (majority of the people and majority of the cantons). All other decisions are subject to optional referendums. These decisions are voted on when at least 50 000 eligible signatures are gathered within 100 days of publication. To veto a parliamentary decision in an optional referendum, only a simple popular majority is required. Prior to each vote, every adult citizen receives documentation on the relevant topics and ballot papers by post. The participation rate is usually between 40 and 50 per cent.

Vox surveys

Since 1977 "Vox" surveys have been carried out after every federal vote. These surveys are conducted in the form of representative samples of roughly 1 000 eligible voters (700 voters until 1987) and take place during the two or three weeks following the vote. The surveys focus on the interest, motivation, and awareness of the citizens on voting matters and on politics in general. The principal points covered during interviews include: general political opinions and habits, political and social affinities, degree of understanding of the

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items put to vote, the various aspects relating to the decision on how to vote on these items, how the individual's opinion was formed and, finally, the individual's appreciation of the importance of what is at stake.

The Vox surveys benefit from the financial support of the Swiss Confederation and private groups and are carried out by a partnership which includes: a private research institute (gfs.bern) and the political science institutes from three universities (Bern, Geneva and Zurich). The private research institute is responsible for the collection and preparation of the data; the analyses of the data are carried out by each of the university institutes in turn. A Vox report giving the results of these analyses is published after each survey. The Vox reports are one of the best developed demoscopical products in Switzerland. They are well-known by politicians and public and widely accepted.

Standardized surveys and VoxIt database

Over time, the Vox surveys have changed significantly. This change has been substantial enough to create problems for a user wanting to compare surveys carried out several years apart. The standardised Vox surveys are the result of a project to harmonise Vox surveys carried out after each federal vote since 1977. The work to standardise the most significant variables was begun in the early 1990s in the Department of Political Sciences at the University of Geneva. The final work, named VoxIt, produced standardised files and generated a documentation of questions. A system is in place which allows the integration of new surveys as and when they become available.

To cover all standard Vox surveys, more than 430 variables have been defined. While any given survey will contain no more than half of these variables, this number demonstrates the successive changes made to the original Vox surveys. From the point of view of the standardisation process, these variables can be divided into three categories. The classification is principally based on the differing sources of the integrated data.

The VoxIt data combines information from several sources into one file. First, the data integrates and standardises the most significant variables in the Vox surveys. The second type of variable includes specific characteristics of votes and items (*i.e.* popular initiatives or referendums), such as the date of the vote, the results of each item, participation rates, slogans of the federal government and the principal political parties. Finally, the standardised surveys include a third type of variable. These variables were designed specifically to synthesize data and to make comparisons from across the range of the available surveys possible.

Taken as a whole, the standardised Vox surveys constitute a relatively complex database. There are at least three reasons for this complexity: first, the data includes a large number of surveys which, from small adaptations to more substantial alterations, have changed considerably over time; second, each survey brings its own surprises (missing variables, inaccurate data, etc.) which further confuse the issue; and last, the process of standardisation itself can at first present a certain amount of complexity.

Use of the results

The standardised surveys provide information on voter behaviour. Since every important reform has to be approved implicitly or explicitly by the citizens, detailed information on their voting behaviour is essential for everyone involved in politics (government, administration, parliament, business interest groups, civil society

organisations, individual citizens, etc.). When a reform has been rejected by the citizens, the administration, the Government and Parliament have to know the reasons if they are to draw up a second draft with better chances of success. The surveys also show whether citizens have properly understood what is at stake in a vote. This helps the Government to improve its information policy.

Table 17.1. **Vox surveys: Key characteristics**

Costs	The annual cost of running a standard Vox survey after each popular vote at the federal level is about EUR 120 000.
Risks	n.a.
Benefits	The standardised Vox surveys provide valuable information on voter behaviour. For example, understanding why a given proposal was rejected is essential if the public administration, the Government and Parliament are to draw up a second draft with better chances of success. The surveys also show whether citizens have properly understood what is at stake in a vote which helps the Government improve its information policy.
Inclusion	The participation rate in popular votes at the federal level is usually between 40 and 50 per cent. The Vox survey takes representative samples of roughly 1 000 eligible voters during the 2 or 3 weeks following the vote.
Evaluation	The Vox survey has been conducted regularly since 1977 and provides longitudinal data for the evaluation of popular participation at the federal level.

Public consultation prior to decision-making

The **consultation procedure**, derived largely from the "facultative" (or optional) legislative referendum of the 19th century, has become an important stage in the legislative process. It is an efficient means of involving the Cantons, political parties and stakeholder groups (civil society organisations, citizens) in the shaping of opinion and decision-making process of the Confederation. It is intended to provide the public at a sufficiently early stage with information on the material accuracy, feasibility of implementation and public acceptance of federal projects. There is accordingly both an informative and a participatory dimension to the consultation procedure, which falls within the scope of the Constitution (Article 147) and the Federal Law on the Consultation Procedure. In addition, there are numerous provisions in the relevant legislation that make it mandatory to consult stakeholders before drawing up standards. There are other forms and instruments for consulting/involving third parties, as well as scope for dialogue between the federal authorities and third parties (including round tables, popular discussions and public forums), but these are not the subject of explicit regulation.

Extraparliamentary procedure: By sitting on extraparliamentary commissions, many organisations on the political/economic scene and in society at large (civil society organisations, citizens) can directly influence the work of government and thus defend their interests effectively.

Groups of Cantons: In the Swiss Federation, under the Constitution (Art. 46), the Cantons implement federal legislation. Article 45 stipulates that, in cases specified in the Federal Constitution, the Cantons participate in federal decision-making, particularly regarding legislation.

Consultation of small- and medium-sized enterprises (SMEs): The SME compatibility test provides information on the problems that SMEs might face under new legislation. The idea is to ask SMEs about the implications for them of draft legislation. An average of five or six tests are conducted every year for legislative amendments with a potentially major impact on SMEs. The SME Forum is an extraparliamentary committee of experts, comprising company directors and government officials; it discusses Bills or draft Ordinances with a potential impact on SMEs.

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For more information

Federal Votes and Swiss Politics: The Federal Chancellery's website is an essential reference tool for everything relating to votes, political rights and the structure of government organisations in Switzerland (see: *www.admin.ch/index.html?lang=en*). Political party slogans come from a database that is updated by the Political Science Institute of Bern University (see: *www.ipw.unibe.ch/content/index_ger.html*). A Berne-based research institute in political, communications and social research called gfs.bern is responsible for the collection and preparation of the Vox data (see: *www.gfsbern.ch/e/index.php*). See also the VoxIt Database: Swiss Information and Data Archive Service for the Social Sciences SIDOS (*http://voxit.sidos.ch/index.asp?lang=e*).

Direct Democracy: The website of the Research Centre on Direct Democracy (C2D) is a very useful resource on this subject (see: *www.c2d.ch/?lang=en*). The website *Plate-forme Eurocité* includes a file in which the primary aspects of direct democracy in Switzerland are simply and clearly described (see: *www.eurocite.ch/dossiers/ddirecte/*). Other useful sources include: the Institute of Political Science, Bern University (see: *www.ipw.unibe.ch/content/index_ger.html*), the Department of Political Science, University of Geneva (see: *www.unige.ch/ses/spo/index_en.html*) and the Institut für Politikwissenschaft, University of Zurich (see: *www.ipz.unizh.ch/index.html*).

References

All data concerning the votes, such as: participation rates, voting results and the Federal Council's recommendations, come from the *Federal Chancellery*. The official results of federal votes since 1848 can also be found there. See *www.bk.admin.ch/themen/pore/index.html?lang=fr*.

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Building Capacity and Tools for Engagement

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PART II

Chapter 18

The Online Participation Project, New Zealand

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Introduction

The New Zealand State Services Commission (SSC) Online Participation Project was launched in 2003. Its purpose was to examine the scope for e-government to improve the opportunities for the public and businesses to participate in government.

A major output is the 2007 Guide to Online Participation that provides agencies with advice on the principles, strategies, implementation and evaluation of online participation projects.

The Online Participation Project aimed to put participation into practice from the outset. This has meant applying the principles at each stage – from exploring issues in face-to-face workshops, to working with a diverse community of practice to develop the guidance, through to trialling online tools that will enable participation.

This case study presents a unique example of government engaging online to draft a policy and guidance in collaboration with a variety of people.

Context

To meet future challenges, government, at all levels, will need to use all available channels to draw on a wider range of knowledge and ideas than ever before. Technology is one small part of the picture.

New Zealand has set ambitious goals for transforming government. These are expressed as concrete development goals for the State Services[1] and as milestones in the E-government strategy[2] that aims to ensure that:

> By 2020, people's engagement with the government will have been transformed, as increasing and innovative use is made of the opportunities offered by network technologies.

Table 18.1. **The Online Participation Project: Key characteristics**

Costs	The costs of designing and launching the ParticipatioNZ wiki consisted mainly of staff time, domain registration and server space on the SSC's server given that a free open source software (Mediawiki) was chosen to run the application.
Risks	See box below for a full account of risks and mitigation measures taken.
Benefits	The main benefits were in terms of policy quality (*i.e.* substantive improvements and original contributions to the SSC *Guide to Online Participation* made by ParticipatioNZ wiki members) and sustainable networking (*i.e.* creation of a community of change-makers across and outside government).
Inclusion	Efforts to overcome barriers of distance and time were relatively successful, given the online and asynchronous nature of the wiki platform. However, efforts to ensure a wider range of perspectives and representatives of New Zealand's diverse communities (*e.g.* Māori, Pasifika, Asian) were less successful.
Evaluation	An initial evaluation of the impact of the wiki soon after launch provided input to real-time adjustment of the platform. A simple set of evaluation questions for tracking the wiki's use and development over time was drafted and posted on the wiki.

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Community building

As a first step towards this ambitious goal, the SSC launched a Community of Practice (CoP) in December 2006 to share knowledge and ideas on participation. The CoP played an active role in developing and drafting a Guide to Online Participation (hereafter referred to as the Guide) and soon grew to over 200 members including public servants, academics, members of civil society and the private sector located in New Zealand and internationally. This group has met through:

- Workshop sessions in December 2006 and May 2007 initially to shape, and subsequently to review, the draft Guide.
- Regular lunchtime presentations at the SSC in Wellington to support networking, share knowledge and maintain momentum around online participation.
- The ParticipatioNZ wiki,[3] where members could contribute to drafting the Guide to Online Participation and could share news and knowledge.

The main focus of this case study is on the use of this innovative, highly interactive online space in drafting a piece of policy guidance.

Box 18.1. **Why use a wiki?**

A wiki website is a set of web pages where anyone with access can provide comment and add content directly. Governments can use wikis to seek public input to legislation, policy and service design. The SSC project team considered that a wiki would provide:

- An appropriate method for government agencies and ministries to gather information to inform policy and service design and delivery.
- A transparent process that is not interpreted through journalists' or other intermediaries' eyes.
- Sequential reporting to provide transparency and completeness (similar to a parliamentary transcript) where New Zealanders can enter their own comments, or comment on the views of others.
- An opportunity for participants to enter considered thoughts compared to immediate responses they might give in a physical public forum.

Box 18.2. **Wikis in government: Potential risks and mitigations**

Risks	Mitigations
Offensive edits/comments might occur	• Publish a clear and well-defined commenting policy on the wiki on what is not appropriate. Offensive or malicious comments will be deleted; criminal activity can be reported. • Realise that there are more editors in a community that want to make it right than there are those who want to make it wrong (as for Wikipedia).
Responses are not timely	• Wiki hosts should post content regularly and be prepared to engage people when it suits them. This may mean checking comments or making edits after work hours and on weekends.
Understanding of social media such as wikis to engage public is low	• Use existing government networks to improve awareness and understanding. • Demonstrate increasing public uptake and expectation for government to engage through these technologies. • Promote the *Guide to Online Participation* to support agencies' development of online tools to engage public involvement in policy and service design.

Launch and learn: the ParticipatioNZ wiki in use

The SSC project team wanted to provide the Community of Practice with an online space. One where members could share knowledge, views and contribute content about public engagement with government.

The SSC project team considered what functions were needed to support policy development and sharing of knowledge in an online environment. They then looked at the tools that could support those functions. A wiki was chosen as the most suitable online option for members to collaborate, view and create content. The project team described it as a whiteboard where members could put up ideas, comments and diagrams, as you would in planning or developing a project, policy or service.

The process of designing and building the ParticipatioNZ wiki (see: *http://wiki.participation.e.govt.nz*) started in January 2007 and a beta version was launched on 30 March 2007. The wiki was demonstrated to the Participation Community of Practice at one of the regular, face to face lunchtime sessions before it was launched.

Who is using the ParticipatioNZ wiki?

Members of the community of practice with access to the ParticipatioNZ wiki are a diverse range of people drawn from academia, government, business and civil society, as well as international experts who are interested in public participation.

Full access to the wiki is open to a community of practice members only who are provided with a password by the project team. Members are required to login with their own names and encouraged to add a short biography that all members can access. This is intended to create an online space characterised by high levels of mutual trust and joint ownership.

At the same time, each member is free to invite anyone they know who has an interest in the issue of online public participation. This is to ensure that membership remains open to anyone with something to contribute and to guard against capture or "groupthink". The wiki is similar, in this sense, to a social networking tool. The success of this approach is reflected in membership numbers: within six months of its launch on 31 March 2007 membership had grown from an initial 100 members to around 300 members. As membership grows and diversifies so will the issues raised, to the benefit of all members.

A number of factors were considered when developing this "hybrid" approach to membership management (*i.e.* password protected but invitations open to social networking):

- The trust that needs to be established within the community of practice – everyone needs to know who is at the party and understand on what basis everyone is contributing.
- How public servants could interact in an online space on the understanding that their opinions and ideas are not committing their agency to policy positions.
- The more limited investment in moderation required for a trusted space compared to a public space.
- The experience of other online communities (*e.g.* groups registered with Democracy.org).

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How did the SSC project team use the wiki?

The SSC project team was charged with developing a "Guide to Online Participation" for the state services within a relatively short timeframe (eight months). Instead of adopting the classic policy consultation cycle (of draft, consult, redraft, publish), the project team opted to "draft naked" and produce a "living document":

- **Drafting naked:** Content for the Guide to Online Participation was written directly on the ParticipatioNZ wiki where members could see the text in "real time". There was no "cut and paste" from a word processing document – where it could be refined in-house – before being released to the Community of Practice. All members were free to make edits directly on the draft text or to raise issues for discussion on the associated discussion pages for each section. All revisions to the guide are transparent thanks to the "history" function of the Mediawiki platform which shows the individual names of who those who make edits, which greatly increases the granularity of who contributed what and when.
- **Living document:** The SSC project team decided early on that the *Guide to Online Participation* would be "locked down" after launch to establish a first edition, but that it would not be printed on hard copy. This meant that the Guide would remain a user-friendly online resource offering significant navigating power given its dense cross-references and links between the various sub-sections. The SSC project team also proposed that the Guide be subject to "road testing" by a number of agencies after its launch in order to test implementation of the principles and policy advice contained within its pages. The results of this testing, together with continued discussions within the Community of Practice, would then feed into a future edition of the Guide. In this way the Guide was promoted as a distillation of constantly evolving practice and experimentation with online tools – rather than a definitive "rule book" issued by a central agency.

Initial evaluation of the ParticipatioNZ wiki

Two weeks after the launch, an initial evaluation of the tool was undertaken. Members were contacted and invited to provide their views, initial impressions and experiences. This feedback provided very useful insights regarding the platform and how users approached it. Members felt that they got value out of: "being part of the group" even if they are not actively contributing at the moment; being "kept in the loop" and knowing that SSC is taking the lead in launching such a platform. On the basis of feedback from members the main page was redesigned to improve navigation.

An evaluation framework was designed and posted on the wiki to allow members to react to the criteria and data sources proposed. Regular data collection provides a sense of how the wiki is being used and how it is evolving.

In terms of outcomes, the ParticipatioNZ wiki has to date led to:

- A transparent and participative process in developing policy and guidance.
- Broad involvement beyond the capital city of Wellington (*e.g.* members from rural areas and the South Island) and internationally (*e.g.* New Zealanders abroad or members from Canada, Australia, UK).
- Increasing domestic and international interest expressed by New Zealand's public agencies, other governments and the press about using social media such as wikis to support public participation, particularly with young "digital natives".[4]

Lessons from experience

The SSC's initial experience raises a number of strategic, technical and cultural issues which government agencies in other countries may also wish to consider when setting up a wiki for public engagement:

Strategic

- Recognise that technology is just an enabler – the first step is to identify what functions are needed to support public engagement and then consider the technology options that are available.
- Choosing an appropriate name for the wiki as well as its design, presentation and branding (with advice from your communications team) to reflect that it is a government space.
- Risk analysis and mitigation measures are required (*e.g.* when moving from an "internal" laboratory, testing environment to a publically available version of the wiki).
- The need to follow your organisation's information management requirements and ensure that relevant data hosted on the wiki (*e.g.* text, uploaded files) are captured at regular intervals.

Technical

- The greater resources required to support public *versus* limited access wikis (*e.g.* monitoring users' input on the wiki to ensure compliance with the terms and conditions).
- The terms and conditions of membership (which should be reviewed with your legal unit).
- Hosting requirements, registration of the domain name, defining the helpdesk resources required to support the wiki (*e.g.* one person with back-up in case of absence) and production of guidance on navigating and editing the wiki.
- Linking between the various social media used to engage with the community (*e.g.* the wiki, a project blog, e-mail, podcasts, video) so that ongoing conversations are as connected as possible.
- Providing a way for users to select relevant sections of the wiki and print the results as a single formatted document.

Management

- Adopt a multi-channel approach to communications, using both online and offline means (*e.g.* marketing to alert potential members about the wiki space could use e-mail, regular face-to-face meetings, phone contacts).
- Welcome new members and encourage them to comment, discuss, edit or post articles on the wiki – particularly if they are unfamiliar with this co-drafting space.
- Involve members in designing and refining the wiki at each stage to better meet their expectations and needs (*i.e.* participation in practice).
- Realise that not everyone will interact in the online environment, as per the "one per cent rule". In most online environments, typically just one per cent of users will contribute 90 per cent of your content. About 10-20 per cent will contribute occasionally. The rest will watch, and contribute if you make it easy for them.

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- Provide opportunities for different voices to be heard and consider various ways to respond to those voices.
- Be transparent by enabling participants to access and share information and comment as policy is developed.
- Build community and a sense of trust by providing opportunities for members to get to know each other (*e.g.* encouraging them to post information about themselves on their wiki user pages, organising face-to-face events, workshops, and celebrations to mark specific achievements).

What next?

The *Guide to Online Participation* was launched in November 2007 as the first step in an evolving area of theory and practice. As such, it will be tested and refined. Consistent with the Statement of Intent and 2006 E-government Strategy, the State Services Commission will continue to:

- Promote online participation as one of several ways to incorporate public ideas and comments on policy and service design and delivery.
- Research and test online participation strategies and engagement tools.
- Promote and test the Guide to Online Participation with agencies, including how to use social media such as wikis.
- Add resources and case studies, such as the Police Act wiki, to share with State services.
- Respond to increasing local and international interest in online tools and methods for public participation.
- Demonstrate leadership of the State Services Development Goals, in particular accessible, co-ordinated, networked and trusted State services.

Notes

1. See *Development Goals for the State Services* at *www.ssc.govt.nz/development-goals*.
2. See *Enabling Transformation: A Strategy for E-government 2006* at *www.e.govt.nz/about-egovt/strategy*.
3. See *http://wiki.participation.e.govt.nz/wiki*.
4. For example, "NZ Looks to Wikis for Public Engagement", *Australian CIO Journal*, 21 June 2007 (see full article at: *www.cio.com.au/index.php/id;1799575026;fp;4;fpid;21*).

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PART II

Chapter 19

Developing Professional Standards for Citizen Engagement, The Netherlands

by
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Introduction

Since the 1960s, the issue of how the Dutch government can engage citizens in policy making has been on the agenda. At the local government level especially, citizens are requested to actively contribute to policy implementation and new policy design. And national government is pursuing direct dialogue with citizens more and more actively. Simultaneously, there is an increase in the number of initiatives from citizens to achieve certain societal goals, for which they seek co-operation with government. Over recent decades, the approach to citizen engagement has shifted from an ideological one to a more pragmatic one: how to use knowledge that is available in society, and how to gain and maintain social support, without losing speed or momentum?

A lot of experience with different types of citizen engagement has been gained at all government levels in The Netherlands. Absent so far is a common standard for the quality of the design and execution of the citizen engagement process. Also, there is no clear picture of the extent to which citizen engagement has a noticeable impact on decision making.

Citizen engagement: The Dutch perspective

In 2006, upon the request of the Dutch government, a team led by Professor Pieter Tops set out a vision for citizen engagement in the spatial and economic policy area. The main message of this vision is that citizen engagement can be more effective if it is reorganised, made to measure and professionalised. It helps politicians make better decisions; the input is more useful; citizens are more understanding towards decisions; and they have more trust in the value of citizen engagement. The vision does not imply radical changes in policy, but complements other government goals such as good decision making, reduction of bureaucracy and putting the citizens' preferences at the forefront. All these developments are already becoming visible in policy, legislation and practice.

The envisaged approach to citizen engagement is comprised of two steps that converge towards decision making:

1. In the policy preparation phase, citizens are consulted to make use of the knowledge and creativity that already exist within society. Here, citizen engagement provides input for a draft decision or decree.
2. In the decision phase, a **final test of interests** takes place, in accordance with the usual public participation procedures. This final test of interests acts as a safety net for issues and interests that were overlooked, and for citizens who feel their interests are disproportionally disregarded or harmed. The test of interests is the final stage of citizen engagement and the beginning of the judicial test.

Because emphasis is put on the beginning of the process, where there are still many different policy options, the knowledge and creativity available in society can be put to maximum use. This does require a made-to-measure citizen engagement process.

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"Made-to-measure" here means that an approach is well-adjusted to the specificities of the policy problem at hand, the power relations between government and society, the policy options available, etc. The quality of the engagement processes is secured through **professionalisation**. This professionalisation consists of: a code of conduct with "principles of good consultation" and an interdepartmental organisation that can support civil servants (*e.g.* by providing a platform for knowledge exchange and a regular benchmark of the quality and effectiveness of citizen engagement).

The vision has been adopted by the Dutch government as "intended government policy". The goal is to transform developments that are already underway in actual practice into a common standard for a professional procedure in citizen engagement. This standard will be developed by the interdepartmental consultation organisation (*Inspraakpunt*). Once sufficient proof that the proposed procedure is beneficial for citizens, policy makers and politicians has been accumulated, it will be implemented in all policy areas at the national government level. A supervisory board will monitor its implementation.

Developing a professional standard for citizen engagement

In order to develop a professional standard for citizen engagement, the Dutch government has requested the *Inspraakpunt* to put the procedure proposed by Tops' team into practice in seven exemplary projects. It is, of course, only in practice that the proposed procedure can be researched and proof can be found for its claims to obtaining more effective and satisfactory citizen involvement. Partners+Pröpper, a consultancy and research organisation for policy, will support the operationalisation of the professional standard for citizen engagement by monitoring and evaluating the seven projects. All seven projects are in the domain of spatial planning and economy, and include the long-term mobility problems in Middle Netherlands, the restructuring of a military airfield, identification of public bathing areas and planning studies for crucial national highways. The seven exemplary projects are currently all in different phases. Monitoring will only cover a small part of the entire decision-making process. Each exemplary project will therefore only provide an incomplete picture. But the depth per segment is large, and the overall picture will give an impression of the implementation of the proposed procedure in all stages of the policy-making process. Referring to this research proposal, the supervisory board of the Inspraakpunt has explicitly expressed the wish for Partners+Propper to execute a quantitative analysis in addition to the evaluation and monitoring of the seven projects. In this analysis, a significant number of engagement procedures will be evaluated against the research base (secondary analysis) that has already been developed. A web-based questionnaire will be distributed to several hundred project leaders. Ten pairs of projects, in which engagement was or was not used, will be compared.

To perform the monitoring, Partners+Propper and the Inspraakpunt have devoted significant energies to the development of a professional standard for citizen engagement that functions as a research framework. This framework sets out in detail the professional standard and impact of citizen engagement in operational terms. The monitoring is being carried out now and will be finished by mid-2008. This case study is based on the preliminary results as of the first quarter of 2008.

From code of conduct to measurable standard

The code of conduct developed by Professor Tops' team was the starting point for the professional standard for citizen engagement that is used in the monitoring research. The code of conduct states:

- Determine who has final responsibility and commit this person or organisation to the process.
- Build a process plan in advance and make it public. Transparency of the rules of the game makes the process transparent for everyone and provides clarity about expectations.
- Know and mobilise all stakeholders. Every question demands a specific target group and poses specific demands to the recruitment and selection of participants.
- Organise knowledge. Learn from others and open knowledge to others. Evaluate every engagement process.
- Be a reliable interlocutor.
- Communicate clearly, at the right moment and with up-to-date information.
- Be clear about different roles and about what will be done and what results are expected.
- It is okay to make demands. You can demand from others what you demand from yourself.
- Account for what has been done. A fitting feedback of results and decisions shows respect to the input of those involved.
- Don't consult for the sake of consultation. Don't involve citizens for legitimacy of the decision. Consultation is only meaningful if it can contribute to the quality of the decision making.

Partners+Propper and Inspraakpunt have developed this code of conduct into a more detailed and measurable research framework. It can be considered as a second version of the professional standard for citizen engagement. The research framework consists of 35 characteristics that are more or less apparent in citizen engagement processes. The research framework thus provides a tool to "score" and analyse engagement processes. The research framework is summarised below.

To successfully utilise the creativity and knowledge of society, a few basic conditions have to be met:

- The policy problem at hand must have a certain "impact" and be considered important to the parties involved.
- It is an absolute necessity that there are policy options in order for those involved to have a useful discussion about the applications and necessity of the policy and/or possible solutions. By no means can it be a "race that's already been run."
- There must be political and administrative commitment. Politicians and administrators need to commit themselves to the design, the process and the results of the citizen engagement and formulate clear substantial preconditions.

To be successful and ensure impact, the engagement process must be professionally undertaken. Professionalism means that:

- Project leaders have good knowledge of the conditions mentioned above.
- Project leaders evaluate the necessity and desirability of citizen engagement on the basis of this knowledge.

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- Project leaders will do their utmost to favourably influence the conditions for successful citizen engagement.
- Project leaders will deliver tailor-made process designs that are adjusted to the specific traits of the policy issue at hand.
- Participants in the engagement process have clear, understandable and objective substantial information at their disposal.
- Project leaders and government leaders manage the expectations of participants. They explain to participants exactly what their input and influence entails, and they account for what happens with the results of the citizen engagement.

Clear insight into the impact of citizen engagement

The proof of the pudding is in the eating. Can it be proven that professionalism and made-to-measure processes really make a difference to the quality of the results of citizen engagement? To answer this question, the impact of citizen engagement has been made measurable through the research framework. A distinction is made between substance and process impacts and objective and subjective impacts. And a combination of these yields four types of impact (see table below).

Table 19.1. **Mapping four dimensions of the impact of citizen engagement**

	Objective	Subjective
Substantive	Useful input from participants. Substantive enrichment of the proposed policy.	Satisfaction of politicians, policy workers and professionals in relation to substantive results. Satisfaction of participants in relation to substantive results.
Process-related	Involvement of stakeholders in the policy process. Societal support. Acceleration of the policy process.	Satisfaction of politicians, policy workers and professionals in relation to the process. Satisfaction of politicians, policy workers and professionals in relation to the process.

Four types of impact of citizen engagement

1. Substantive-objective impact:
   - Citizen engagement yields useful input from participants. Useful means within the policy options, feasible and creative.
   - Useful input from participants is in practice noticeable in the qualitative improvement of vision, a white paper, a policy plan or a draft decision.
2. Substantive-subjective impact:
   - Politicians, policy makers and professionals are satisfied with the substantive results of the citizen engagement.
   - Participants are satisfied with the substantive results of the citizen engagement (they recognise the result).
3. Process-related-objective impact:
   - Citizen engagement reaches a large number of stakeholders. This group is representative of the entire population that has a real stake in the problem at hand.
   - There is support in society for the policy plan or draft decision at hand.

- Reduction of the time the entire policy process will take and the total decision making costs, as a consequence of a reduction of formal participation and appeals.

4. Process-related-subjective impact:
   - Politicians, policy makers and professionals are satisfied with the process of citizen engagement.
   - Participants are satisfied with the process of citizen engagement.

Professionalism pays off: Results from 36 Dutch cases

In the secondary analysis, 36 past examples of citizen engagement were scored on all the characteristics of the research framework. Statistical analyses were conducted on the effects of professionalism on impact. The initial results are promising.

A professional approach works, especially if the basic conditions are favourable

A professional approach appears to lead to better impact of citizen engagement. The more the standards for professionalism are met, the higher the scores of subjective and objective effects. An important nuance is that this particularly true in case of where preconditions are favourable. If, for example, the policy options are limited, or commitment from the political level is low, the effect of a professional approach towards impact will be considerably lower.

Good communication is crucial

Good communication leads to greater impact. Participants are more satisfied with the process and the results if there is clear communication about the influence participants have, if what happens with results is clearly accounted for. Also, support from the community for the decision finally taken will, in general, be greater.

Professional processes work

If project leaders ensure that the process is made-to-measure to the problem at hand, all those involved are more satisfied with results. Support from society for the solutions will be greater, in accordance with the extent to which the process is made-to-measure.

Administration and representatives play an important role

Of all preconditions, political commitment particularly stands out. Impact is generally greater in processes where responsible politicians are supportive of citizen engagement. This is equally true if these politicians are visible to participants during the process and operate as a unit to the outside world.

Table 19.2. **Developing standards for citizen engagement: Key characteristics**

Costs	n.a.
Risks	The lack of a common standard for assessing the quality of the design and execution of citizen engagement processes. No clear measure of the impact of citizen engagement on decision-making.
Benefits	Higher professional standards in public engagement ensure greater impact. The higher the professional standards achieved, the higher the scores for the subjective and objective effects of the engagement processes.
Inclusion	n.a.
Evaluation	The project includes the in-depth evaluation of seven projects and a quantitative review, via a web-based questionnaire, of several hundred project leaders. Finally, ten pairs of projects, in which engagement was or was not used, will be compared.

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Investing in professional standards

Important steps have been taken in the formulation and evaluation of a professional standard for citizen engagement. Professionalism and made-to-measure processes constitute an ongoing process of implementation, knowledge gathering, evaluation and adjustment. The aim is not to reach "perfection" in citizen engagement, but to establish professional standards for these processes. Such standards are dynamic, never "finished" and demand constant attention.

The *Inspraakpunt* has identified several key points for further standardisation to guarantee progress:

- An important condition is that policy workers and project leaders can make use of an overarching centre of expertise that provides advice on how to shape the process of citizen engagement and supports the elaboration thereof.
- Minimum conditions in the professional standard offer conditions for successful citizen engagement, but no guarantees. Building a "collective memory" consisting of tried and trusted methods and best practices is essential.
- To establish an overview of these best practices, Inspraakpunt will conduct an ongoing monitoring of citizen engagement nationwide. Monitoring will include how politicians and policy workers treat citizens and what citizen engagement has contributed to the quality of the decision making.
- Citizens should be helped to contribute to the engagement process in the best way possible. To this effect, budget should be allocated on the basis of clear criteria for proposals for further research or further elaboration of the alternatives that citizens propose. In this way, the importance of citizen engagement is made visible, and input is followed up straight away.
- Evaluation should be conducted regularly, with a report to parliament.

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PART II

Chapter 20

Building Government's Capacity to Engage Citizens, United Kingdom

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Introduction

High-quality inclusive public engagement is important in a modern representative democracy. Engaging and empowering citizens to become involved in decision making not only contributes to better policy outcomes and improved public services by tapping reservoirs of experience and creativity but, on a more fundamental level, also helps build civic capacity and trust in government.

However, UK citizens are not always effectively engaged around issues they care about. For instance, the fourth *Audit of Political Engagement* (2007)[1] conducted by the Electoral Commission and the Hansard Society revealed that while around 70% of British citizens wish to have say in how the country is run, less than 30% believe they currently do. While people don't necessarily want to engage with the government all the time, they do want to know that they **could** be involved should they wish to.

The *Audit* also showed that many citizens feel they don't have the knowledge and skills required to be able to participate effectively (only 39% believe they do), or that their involvement would make a difference to policy outcomes (only 33% believe it will).

The *Sciencewise: Public Dialogue Research and Scoping Study (2006)* identified other challenges or barriers to involving the public by canvassing the views of civil servants, professional practitioners and academics. For public officials, these included lack of time, budget constraints, insufficient knowledge and skills, lack of confidence, resistance to change across the civil service and difficulties associated with weighting and reconciling public, stakeholder, expert and Minister's views.

Other factors may limit the ability of officials to effectively engage the public. One of these is failure to develop strategic oversight of multiple participation exercises and thus identify gaps and eliminate any overlaps. This lack of co-ordination limits the opportunity for shared learning and can contribute to public cynicism and "consultation fatigue".

Many public servants are unaware of the range of public engagement support tools available, and do not know where to turn for help. Engagement exercises are seldom formally evaluated, examples of good and bad practice are not captured and disseminated, and skills and experience are lost as key staff members move on.

But it is by no means all doom and gloom. In recent times, public engagement has moved up the political agenda, and officials increasingly recognise the importance of involving the public in decisions that affect them, in ways that are sensitive to their particular needs.

The Prime Minister's commitment to reinvigorate the democracy by "changing the way government does business" is set out in the *Governance of Britain* Green Paper, published in July 2007.[2] One of the main challenges going forward is to put the high-level political imperatives into action by providing citizens and public officials with the opportunities, encouragement, skills and practical support they need to engage in meaningful dialogue. The sections that follow highlight examples of some of the innovative work underway to help address the barriers to participation outlined above.

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Table 20.1. **Building capacity for engagement: Key characteristics**

Costs	n.a.
Risks	Engagement exercises are seldom formally evaluated, examples of good and bad practice are not captured and disseminated, and skills and experience are lost as key staff members move on.
Benefits	Online resources, in-service training, access to free, bespoke coaching support from expert participation practitioners, face-to-face networking and e-mail bulletins ensure public servants are better equipped to engage with the public. As a result, public servants are better able to identify when and how to consult, how to commission, monitor and evaluate public engagement exercises.
Inclusion	Strong evidence exists to suggest that many citizens – particularly those from socially excluded or disadvantaged groups – feel they lack the knowledge, skills or confidence to participate in public engagement exercises, or political activities more generally. Consequently, a number of initiatives are underway to up-skill, encourage and empower citizens to participate, and demystify political processes by making them far more accessible and "user friendly".
Evaluation	n.a.

Building capacity in officials

The *Sciencewise* report highlighted the need to support policy makers across government to identify when and how to consult, and how to commission, monitor and evaluate public engagement exercises. The key resource or support sought by respondents was **access to other people and their knowledge**, with the establishment of peer groups and one-to-one mentoring clearly favoured.

The Democratic Engagement Branch of the Ministry of Justice developed several programmes and initiatives in direct response to these findings.

One of these was a "Community of Practice" for public engagement – a network designed to help policy-makers within central government make contact and communicate with each other. Regular meetings and events satisfy the need for face-to-face networking and frequent e-mail bulletins ensure members are aware of innovations, best practice and training opportunities in the public engagement field.

Several resources were developed to provide officials with a source of practical help and advice. One of these is People and Participation.net (*www.peopleandparticipation.net*), an innovative online tool designed to assist anyone who wishes to take a collaborative approach to developing ideas and/or public policy. The site features an interactive tool to help users choose the best participation method based on their specific circumstances, along with comprehensive methods and case study databases and an "Ask an Expert" function.

The Ministry of Justice also responded to the call for one-to-one support to help officials navigate through the process maze and identify the appropriate engagement tools, by launching the "Participation Partners" initiative in 2007. Participation Partners, which is currently in its pilot phase, offers policy teams across the UK the opportunity to access free, bespoke coaching support from expert participation practitioners in planning, designing, delivering and evaluating public engagement exercises.

Rather than the experts taking the lead, the goal is to educate and empower policy teams so they have the skills and confidence to run their own engagement exercises and disseminate these skills throughout their organisations. The initial response has been encouraging, with policy teams across the UK seeking help to engage the public on a diverse range of issues including production of an equality scheme for disabled people, deciding who should bear the costs of animal health issues (including Foot and Mouth Disease), and new rights and responsibilities for citizens.

Innovative use of modern technology for better citizen-government relations

Innovative use of modern technology to encourage the public to get involved and improve the citizen-government relationship is a reoccurring theme that is explored further in the following sections. The Digital Dialogues project, funded by the Ministry of Justice and undertaken by the Hansard Society, aims to promote awareness of and increase online engagement skills and techniques across central government.

This initiative investigates the use of online technologies such as blogs, webchats and forums to promote dialogue between central government and the public. Examples have included webchats and blogs by Ministers, and an on-line discussion forum on the openness of family courts. The most recent report, published in September 2007 (*www.digitaldialogues.org.uk/secondreport*) contained a set of recommendations for central government in relation to its online engagement strategy, based on 14 case studies from across government agencies, departments and ministerial offices.

The Central Office of Information (COI) offers consultancy support and advice to all government departments and has extensive experience in working on deliberative projects. These range from large-scale citizen summits to much smaller citizens juries and reconvened workshops, as part of a formal consultation or as a standalone project. COI is currently working on a guide to deliberative techniques and the key principles that should underpin them, to support government practitioners, and actively seeks to optimise knowledge sharing and experience between the departments with which it works.

The National School of Government (NSG) (*www.nationalschool.org.uk*) provides a range of training courses specifically designed to meet the needs of government policy-makers, including engagement and communication skills and skills for working with key stakeholders and institutions. The Sustainable Development Commission (SDC) is currently working closely with NSG to develop new public engagement courses and ensure there is a consistent and joined-up approach to engagement across all related courses. This is part of the SDC's work to see an institutional shift in how engagement is considered and delivered across the civil service, in line with Prime Minister Gordon Brown's vision for a "new type of politics".

Work is also currently underway to improve the Government's Code of Practice on Consultation (first published in 2001).[3] Meetings have been held across the UK, as well as an online discussion forum, to give the public the opportunity to share their views on how the Government consults and where improvements could be made. The new Code will form an important part of an overall approach to engagement and will be accompanied by more and better guidance on reaching different sectors of society, improved oversight functions and better support mechanisms.

The need for government to adopt a more "joined up" approach to public engagement and ensure key lessons are captured and shared is well known. In response, several websites have been developed to provide "one-stop-shops" for various aspects of public engagement. These include the "Policy Hub" (*www.policyhub.gov.uk*) which includes links to a range of public engagement toolkits, Sciencewise (*www.sciencewise.org.uk*) which aims to develop policy-makers ability to effectively engage the public on emerging areas of science and technology, and Participation Works (*www.participationworks.org.uk*), a single access point for information on all aspects of children and young people's participation. In a similar vein, the Commission for Patient and Public Involvement in Health, an independent public body sponsored by the Department of Health, was established in 2003 to ensure the public is involved in decision-making about health and health services in England.

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Building capacity in participation practitioners

"Training the trainers" is important to ensure educators have the necessary confidence, skills and tools at their disposal to convey important democratic principles and encourage students to become actively involved in the democratic process.

For instance, the English Secondary Schools Association (ESSA) (*www.studentvoice.co.uk*) provides training, guidance and resources designed to support and promote the involvement of young people in decision-making processes at a local, national and international level. The distinctive feature is that ESSA is a student-led organisation, run by and for students aged 11-19 years. With support from Ministry of Justice, ESSA recently trialled citizens' juries in schools (designed to model a democratic process) and released an online toolkit for students and teachers in late 2007.

A number of organisations have a broader mandate and attempt to build capacity within the private, community and voluntary sectors, as well as across all levels of Government. For instance, InterAct (*www.interactweb.org.uk*) – an alliance of practitioners, researchers, writers and policy-makers – uses its combined experience and influence to promote effective public engagement practices to private, public and third sector practitioners and academics. They also work alongside writers, press or media that wish to participate in pilot initiatives, cover or contribute to debate on key issues.

Involve (*www.involve.org.uk*), one of the fastest growing "think tanks" in the UK, believes that today's challenges can only be met if society works together to develop shared solutions to shared problems. In addition to their extensive research programme, Involve delivers training and host workshops tailored to the needs of practitioners across all sectors, and provides consultancy support to government, academics, the private sector and international organisations.

As well as promoting best practice, the Consultation Institute (*www.consultationinstitute.org*) organises professional networking events for anyone engaged in public or stakeholder consultation and encourages membership of their consultation community. The Institute also runs a very comprehensive training programme, including courses on engaging the "hard-to-reach", older citizens, children and faith groups.

Building capacity in citizens

Strong evidence exists to suggest that many citizens – particularly those from socially excluded or disadvantaged groups – feel they lack the knowledge, skills or confidence to participate in public engagement exercises, or political activities more generally. Consequently, a number of initiatives are underway to up-skill, encourage and empower citizens to participate, and demystify political processes by making them far more accessible and "user friendly".

One of these is *Take Part* (*www.takepart.org*), a project led by the Department for Communities and Local Government. This initiative provides programmes of active learning to enable people to gain the skills, confidence and knowledge they need to make an active contribution to their communities and influence public policies and services.

On 19 October 2007, the Department for Communities and Local Government (CLG) published *An Action Plan for Community Empowerment: Building on Success*.[4] The *Plan*, which was produced in partnership with the Local Government Association, set out 23 actions

that CLG is taking to enable people to play a more active role in the decisions that affect their communities. These include Participatory Budgeting Pilots intended to give local people some say over public spending in their communities, development of more Local Charters (voluntary agreements between Local Authorities and communities), measures to empower young people and strengthen the role of local councillors.

The Ministry of Justice currently funds a number of projects through a dedicated "Innovation Fund", to develop new tools that can facilitate easy dialogue between the government and citizens, and between citizens who share the same interests and concerns.

One example is "Fix-my-Street" (*www.fixmystreet.com*) developed by mySociety in partnership with the Young Foundation. This online web-mapping tool makes it easy for people to talk to their local authority and other local people about issues in their neighbourhood, ranging from graffiti and barking dogs to broken paving slabs and street lighting. The tool aims to transform the act of reporting faults, turning a private one-to-one process into a public experience and lowering barriers to communication between local government and communities.

Some initiatives respond to a need to build capacity in certain citizen groups. For instance, evidence suggests that young people are increasingly disengaging from formal political processes, with two out of three 18-24 year olds choosing not to vote in the 2005 UK general election and 16% of under-25s failing to register. To reverse this trend, and capitalise on the willingness of many young people to get involved in "single issue" civic activity, a number of projects have been specifically designed to give young people a voice, and better equip them to engage in dialogue with relevant civic leaders, politicians and authorities.

For instance, the Hansard Society works with young people in schools and colleges through its *Citizenship Education Programme*, to educate them about parliamentary democracy and develop innovative way to involve them in participatory democratic activities.

One example is the *HeadsUp* online forum (*www.headsup.org.uk*) which provides a space for young people (11-18 years) to discuss political issues, while developing the analysis, negotiation and debating skills needed to participate in democratic processes. The site also provides politicians with the opportunity to engage and interact with young people around topical issues of the day, including "Do we need a constitution?" "Who benefits from globalisation?" and "Should the voting age be lowered?" A detailed evaluation of the initiative revealed that 60% of under 18-year olds said they were more likely to vote after taking part.

The Radiowaves "Voice It!" online forum (*www.radiowaves.co.uk*) encourages young people to become citizen journalists by providing MP3 recording kits that enable them to interview decision-makers about issues of interest using web podcasts. Podcasts are then published on the Radiowaves website where they can be shared with a global audience. Recent podcasts cover a diverse range of topics such as bullying, smoking and regulation of junk food, as well as young people's response to news items that have recently hit the headlines.

Building capacity in politicians and political institutions

Democratic institutions and processes can sometimes appear formal, bureaucratic, impenetrable, off-putting and irrelevant. Recent studies suggest that "politics" suffers from an image problem, with many citizens finding it difficult to trust or relate to politicians and political processes.

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In an attempt to make parliament and political institutions more accessible and relevant to the people they serve, electronic and mobile technologies are increasingly being employed to break down perceived barriers and inject greater immediacy into citizen-government engagement.

For instance the 10 Downing Street (official website of the British Prime Minster) (*www.number10.gov.uk*) and Scottish Parliament (*www.scottish.parliament.uk*) websites now allow members of the public to create or sign e-petitions, which are submitted automatically once the closing date is reached. This innovative use of online technology makes petitions and supporting information available to a potentially much wider audience than traditional paper petitions, and allows government to respond directly to signatories. In the Scottish example, each e-petition also has its own discussion forum where interested parties can discuss and debate the issue online, thereby encouraging the creation of issue-specific community forums.

In a similar vein, the *www.hearfromyourmp.com* website, designed and operated by mySociety, allows constituents to log their interest in a range of issues with their British Member of Parliament (MP). When the number of constituents who have expressed interest in a particular issue reaches a predefined level, their MP is sent an e-mail to suggest setting up an e-mail circulation list on this topic, with links to a discussion forum. This represents the beginning of a conversation between constituents and MPs and allows MPs to more easily "take the pulse" of constituent concerns. Currently, around 47 000 members of the public have signed up for this service, in 650 constituencies.

The Hansard Society runs online consultation exercises on behalf of Parliamentary Select Committees and All-Party Groups, through the "TellParliament" website (*www.tellparliament.net*). Members of the public are encouraged to use this online forum to contribute to and ask questions about current inquiries, and respond to points raised by others. The Select Committee on the Modernisation of the House of Commons commissioned an online consultation exercise in 2003, and the resulting report made a number of recommendations intended to help the public understand the work of Parliament, and make the Commons more accessible to interested visitors and citizens wishing to be more involved.

Many of the recommendations have since been implemented, including a radical upgrade of the British parliamentary website (*www.parliament.uk*). Among other things, members of the public can now use the website to subscribe to e-mail alerts, view live video and audio feeds for debates and committee proceedings, access information about lobbying and petitioning and contact their MP.

The Hansard Society also produce free information packs designed to help teachers, students and elected representatives make school visits as interesting and productive as possible.[5] Different versions of the pack have been developed for members of the English, Scottish and European Parliament and Assembly members at the National Assembly for Wales, including translations in Gaelic and Welsh.

Notes

1. See:*www.hansardsociety.org.uk/blogs/parliament_and_government/pages/audit-of-political-engagement.aspx*.
2. See: *www.justice.gov.uk/publications/governanceofbritain.htm*.

3. See: *http://bre.berr.gov.uk/regulation/consultation/code*
4. See: *www.communities.gov.uk/communities/communityempowerment/actionplan/*.
5. See: *http://hansardsociety.org.uk/blogs/citizenship_education/archive/2007/09/28/Helping-schools-to-develop-better-links-with-their-elected-representatives.aspx*.

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PART III

Practitioners' Perspectives: Why Now, How and What Next?

Introduction

Many visions, many voices

Following the analysis of comparative data and a set of country case studies, this report concludes with a collection of "voices". Building open and inclusive policy making is a journey, not a destination. It is an ongoing discussion, with no single "right" answer. So there are many legitimate perspectives, many of which are reflected in our 18 contributors: senior civil servants, elected officials, commissioners from oversight institutions, researchers, civil society organisations and youth operating at the local, national or international level.

The "voices" gathered in these pages were collected in 2008 and belong to some of the world's leading practitioners of a new approach to public governance – one which puts citizens at the centre. All offer important lessons from practice and thought-provoking opinions about the future. These authors have all given generously of their time to share their thoughts in the hope of engaging a wider public in what is, after all, an ongoing conversation.

An important stage in the preparation of this report involved the organisation of an International Workshop on Building Citizen Centred Policies and Services in Ljubljana, Slovenia on 26-27 June 2008 (see Box 1.1, Part I). The event reflected the OECD's commitment to ensuring wider input into the process of shaping this report. It was co-organised with government and civil society partners and drew over 80 practitioners from government and civil society from 21 OECD countries and 12 OECD non-member countries. Three different perspectives on the event are included here and their presence is itself a concrete example of feedback – a demonstration to participants in the Ljubljana workshop that their numerous valuable contributions and suggestions have been incorporated in the final report.

Why, how and what next?

The first four authors ask "why?" and answer this crucial question each from their own perspective – as an experienced senior civil servant, an advisor to government on public engagement, a mayor and a former senior government information officer. The next set of authors explain "how" government efforts to engage citizens in public policy making and service delivery can be made more effective through attention to institutions, communications, new technologies and privacy. The inclusion of an essay by a high school student gives a fresh perspective on how governments can better reach out to young people.

The next group of authors provide rich insights from their own practice at the national and local level as public servants, civil society leaders and members of independent oversight institutions. Three reports on various aspects of the International Workshop on Building Citizen Centred Policies and Services held in Ljubljana, Slovenia (26-27 June 2008) follow. Finally, the last set of authors tackle the challenging issue of "What next?" each shedding their light on the path towards public engagement of the future.

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Why Now? The Case for Citizen Engagement

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PART III

Chapter 21

Why Should Governments Engage Citizens in Service Delivery and Policy Making?

by
The Honourable Jocelyne Bourgon P.C., O.C. (Canada)*

* This contribution is based on a keynote presentation by Hon. Jocelyne Bourgon to the OECD Public Governance Committee Symposium on "Open and inclusive policy making" held on 16 October 2007 at the OECD Paris.

Citizen engagement at the forefront of future public service reform

The Public Governance Committee and the OECD Secretariat have launched some very important projects on citizens' engagement as a result of the Ministerial meeting in Rotterdam in November 2005. Personally, I believe that citizen engagement in Government will be at the forefront of future public service reform in many countries, and as a result of the work of your committee, the OECD will be well positioned to assist member countries.

Over the past 25 years we have acquired a vast experience of public sector reforms. In the mid-1980s some reforms were driven by the need to restore the fiscal health of governments; others were aimed at rebalancing the role of government in society after a long period of expansion that started in the early 1950s. Various measures were introduced to improve the quality of service, performance and productivity. All governments introduced modern communication and information technologies in support of public service missions. These initiatives took on many names and many shapes including, E-government for services provided on-line; integrated service delivery among departments and among governments; single windows providing a range of integrated services based on citizens' life cycle or targeting specific target groups. Finally, all OECD countries introduced measures to promote openness and improve transparency and accountability.

All these initiatives have laid the basis from which public reforms will take shape in the future.

During this period, important changes have taken place in the world. We have witnessed an unprecedented process of convergence toward a governance model that includes market economy and democracy, or at least some democratic principles. This model has emerged as the most efficient way of ensuring a simultaneously high standard of living and high quality of life.

We learned about the importance of good governance and understood better the interconnected roles of the private sector, public sector and civil society. In effect we came to understand the importance of shared governance (Bourgon, 2003). In our global societies, no one has all the power or controls all the levers to bring about complex and durable results. To serve the collective interest in the 21st century requires an effective public sector, an efficient private sector, a dynamic civil society and an active citizenry.

Past public sector reforms have focused on performance, efficiency, and productivity. Future public service reforms will focus on citizenship, democracy, responsiveness and public accountability. These reforms will prove no less challenging than the ones we have managed in the past.

Past public policy reforms focused on fiscal and taxation reforms, regulatory reforms and various measures aimed at creating an enabling environment for wealth creation in an expanding global market economy. Future public policies are likely to give greater attention to people as economic, social and political agents. They will focus on productivity through

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innovation, which means people's capacity to innovate and to transform ideas into new assets. They will explore new forms of global solidarity to ensure a more equitable dispersion of benefits and the broadest possible participation in the global economy. They will pay greater attention to the role of citizens as "agent" in shaping and implementing public policies which depend more on a collective change of behavior than on the legislative authority of the State.

Public sector reforms and public policy reforms over the coming years may very well converge; both will focus on people. The countries which will be most successful will be those able to create a culture supportive of innovation and reasonable risk taking; to develop new forms of social solidarity to harness human and social capital; to ensure the active participation of citizens in the workplace, in the community and in society.

Why should government engage citizens in service delivery and policy making?

The question that the organisers of this Symposium have put to me is: "Why should government engage citizens in service delivery and policy-making?" The OECD Secretariat has circulated as a room document an article entitled: *Responsive, Responsible and Respected Government* it can be used as a reference document for many of the questions we will not have time to address today (Bourgon, 2007).

To address the theme of the Symposium, I have decided to use some of the arguments most frequently raised "against" citizen engagement, or if you prefer I will start from the case against in order to make the case in favour. This will allow me to reframe some of the arguments in favour of citizen engagement without overstating the benefits which would run the risk of undermining the credibility of a promising avenue for future public service reforms.

I would like first to propose a definition. Citizen engagement includes:

> All measures and/or institutional arrangements that link citizens more directly into the decision-making process of a State as to enable them to influence the public policies and programmes in a manner that impact positively on their economic and social lives (UNDESA, 2007).

Does citizen engagement conflict with representative democracy?

One concern that has been raised about citizen engagement relates to the role of Ministers in representative democracy. Put simply, it is questioning whether citizen engagement is compatible with our system of representative democracy or if it leads over time to some form of direct democracy with all the dangers that this entails.

A related argument is that once Ministers are elected every four or five years, they are free to determine the public interest and their decisions amount to serving the public good. Therefore, according to this view there is no need and no role for citizen engagement. It would simply delay decisions, create expectations that the government may not be able to fulfill or reduce Ministers flexibility for action.

Taken to the limits, this view is reductive of the role of Ministers, government, citizens and democracy. It also fails to take into account the changing nature of public policies and public sector services over the last quarter century.

Citizen engagement can only take place in the context of the legal and constitutional laws in place in a country. In that sense, it cannot be in conflict with representative

democracy. It does not diminish the political will, nor does it change the doctrine of Ministerial responsibility. Some countries have introduced in their constitution some measures of direct democracy. It is for instance the case of Switzerland that must hold referendums on various questions. These measures do not constitute a commitment to citizen engagement per se.

The important point to remember is that **having a vote** is different from **having a say**. Democratic societies guarantee citizens' right to vote to select their representatives. This right does not imply that people are **given a voice** on matters that interest them most or that they have a role in the decisions that affect them most directly.

Today public policies are increasingly complex and require increasingly complex interactions inside and outside government to get the best available information; marshal the best evidence; to understand the impact of alternative options; and to reduce the risk of unforeseen consequences. Furthermore, an increasing number of public policies require the active role of citizen as "agent" in implanting public policies, in particular when issues require a change of societal behavior or where the legislative authority of the State is insufficient to bring about a desired outcome. It is the case for issues such as global warming, environmental protection, disease prevention (obesity, diabetes) and so on.

A previous century gave us the principle of "no taxation without representation", a modern version may be "no commitment to actions without participation". At a minimum level, citizens should be **given a voice** in the matters where they are expected to play an active role as "agent" of public policies.

Ministers decide which initiatives will be most deserving of public support. They alone can decide how the political capital that they have earned through a democratic electoral process will be invested to serve public interest. That being said, there is more to the role of Ministers than the affirmation of political will. Ministers set the agenda for change; forge broad base consensus in support of the Government agenda; bring key players and stakeholders to the table; forge strong partnerships to ensure the harmonious functioning of the private sector, the public sector and civil society.

Citizen engagement opens the prospects of modernising and enriching the practice of representative democracy. In my experience, Ministers generally take comfort in citizen participation because, when it is done well, it broadens the base of support and reduces the political risks associated to ambitious new initiatives.

Citizen engagement is not a panacea. It is not in conflict with representative democracy and it is no substitute for political will. An active and dynamic citizenry will be increasingly needed not because Ministers are somewhat lacking, but because the active role of citizens as players in policy formulation and policy implementation will be increasingly central to creating new common public goods.

Is there a demand for citizen engagement?

It is sometimes argued that the proponents of citizen engagement "romanticise the citizen" (Pollit C., 2007). According to that view, the vision of participating, choosing citizens rarely exists in practice. Most people find it difficult enough to make a living and to look after their family. They do not want to spend their time in town hall meetings or filling questionnaires. At the same time, it is argued that government should not discriminate in favour of those who get actively involved and should respect the decision of those who choose not to participate.

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No one is interested in everything. People have not demonstrated an inclination to do the jobs of the elected officials they have selected to represent them or of the professionals paid to serve them. I would readily agree that people have no interest in spending their week-end in town hall meetings; why should they? However, I would hasten to say that these practices are not tantamount to citizen engagement; they are more representative of traditional consultation practices.

Put simply, people want to know that they could participate if they wanted to and that their voice would be heard.

In practice, public servants are not confronted with a lack of interest but with the difficulty of managing a process of engagement that balances various interests and responsibilities. The issue from a practitioner's perspective is not whether people want to participate – they do – but rather how to encourage citizen's participation in a manner that balances the diversity of interests, while avoiding being hostage to special interest groups. Some participants have an explicit role and responsibility in the decision process; some bring expertise necessary for making a decision that engages their professional responsibility; some have powerful power bases; others are beneficiaries and have a direct and personal knowledge of the potential impact of a decision.

From a practitioner perspective, citizen engagement opens up the possibility of a disciplined and structured way to respond to the pressures exerted by citizens demanding to have a say in the decisions that affect them most.

People "want in". Closing our eyes to this reality may simply lead to further erosion of confidence in government and public sector institutions.

Are the costs too high?

There is a concern that citizen engagement may be too costly. Consulting takes time, involving people even more time. Citizen engagement may delay necessary decisions. Furthermore, there is no compelling evidence that citizen engagement leads to better results at a lower cost.

All this is true, and yet these may not be the most significant costs to consider. Since the early 1960s there has been a steady decline in trust in government and public sector institutions. For a while, some countries with long traditions of civil engagement and active non-governmental organisations resisted the trend. Today, this trend is apparent in every developed country and in every segment of the population irrespective of income, education or age.

It is a disturbing phenomenon. Building trust in government was the subject of the 7th Global Forum on Reinventing Government in Vienna organised by the UN and hosted by the Government of Austria in mid-2007.

An unprecedented period of growth and economic prosperity did not reverse the decline in trust in government. Twenty-five years of public service reforms aimed at improving the quality of service may have improved *user satisfaction* but it did not translate into higher trust in government. Measures such as access to information, codes of conduct, ombudsman, and new controls may have improved *transparency* but did not reverse the decline in trust in government.

Declining trust is a cost to government and society as a whole. No country is rich enough to pay the price of distrust.

Distrust in a government may lead to a change of government through the democratic process, but it may also lead to social tensions. Low trust reduces the scope for public initiatives, in particular when the benefits are in the medium-term and are not equally distributed. In the absence of trust, governments become timid; and the costs of government services increase as layer after layer of controls are added, which further erodes trust. Declining trust in public institutions may lead to low voluntary compliance; tax evasion; corruption; social unrest; instability and even violence.

In my opinion, there has been a growing disconnect between the public service reform agenda of the past 25 years and citizens expectations. Citizen engagement brings us back to basics and to the very purpose of government and public sector institutions.

Citizen engagement is not a new kind of public service reform or the fashion of the day. It is a view, in fact a very old view, of the role of government in society that has implications for the way we develop policies and deliver programmes.

Citizen engagement may not be able to reverse the trend in the declining trust in government. Trust is not an input but an outcome of good government. It comes at the end of a long chain of deliberate and sustained actions.

At first, the tangible results may simply be more openness and greater public accountability, which in turn elevate the public discourse and public debate. Over time, results are more responsiveness and a greater awareness of citizens, needs or expectations. Only then may we see the early sign of increasing trust in government and public institutions. In the meantime, public confidence has been undermined.

The role of government

Governments are the primary instruments of democracy in our society. Their role is to preserve democracy; defend and expand citizen choices; create the space for public debates; and encourage civic participation and community building. A characteristic of good government and good governance is the existence of an active and literate citizenry; without it, democratic institutions can easily fall prey to the next dictator, benevolent or not.

Citizens are all at once citizens of the world, of their country and of their chosen communities of interest. In a global environment, the role of government is to carry the voices of its citizenry in an international forum and to exert influence on their behalf. Citizen engagement enhances the legitimacy of a government's action beyond its borders.

Governments have a key role to play in encouraging citizen engagement while at the same time avoiding misunderstanding and false expectations. The first responsibility is to create an **enabling environment**; the second is to clarify the **rules of engagement**.

An enabling environment encourages civic participation. Citizens are more than constituents, voters, or clients. As citizens, we reconcile our conflicting individual interests as taxpayers, workers, parents, or users of public services**.** An enabling environment helps to remove the obstacles to the participation of groups most frequently excluded: the youth who have no right to vote but are frequently saddled with disproportionate costs for the services provided to the generation in power; the poor whose voices must be heard on issues of fairness and social justice; those affected by special barriers due to age, handicaps, distance, literacy, etc.

The rules of engagement are specific to a domain of activity, a service, or an organisation since the diversity of circumstances implies a diversity of approaches. Some

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areas carry deep responsibilities for law and order; others require a high level of expertise; or are aimed at protecting rights. The rules of engagement help clarify how the commitment to citizen engagement is given shape in practice in the decision-making process of an organisation.

Citizen engagement is hard work; it is neither a panacea nor a romantic vision of the ideal citizen. Citizenship is the cornerstone of the democratic system and of democratic institutions. Giving citizens a voice in the matters that affect them most will be central to future public sector reforms.

Conclusion

Citizen engagement has both an **intrinsic** and **instrumental** value. It has an intrinsic value because it leads to a more active citizenry. It elevates the public discourse, enhances transparency and accountability. It increases the sphere within which citizens can make choices.

It has an instrumental value by encouraging debates that lead to broad based consensus in support of government initiatives. In that sense it increases reduce the political costs, and improves the likelihood of success of government actions.

It is a vision of the role of government within society which impacts on the way we develop policies and the way we provide services. Seeking citizens' participation from time to time, when it is convenient or on issues of interest to the government of the day can be met with cynicism if it is not part of a broader commitment which recognizes the value of citizen participation as a matter of course and on matters that interest them most.

The OECD is ideally positioned to advance this body of work and to provide timely advice to member countries on **how to remove the barriers** and **how to create an enabling environment**. There are many unresolved issues but one thing we know for sure is that the reform agenda of the next ten years will not be the simple extension of the past agenda. I believe it will be about *people* as economic, social and political agents in a global economy and global society.

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PART III

Chapter 22

Public Engagement Is a Must in a Multi-Stakeholder World

by
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The Public Engagement Initiative

New Brunswick is a Canadian province of 750 000 people. In April 2007, its government launched the Public Engagement Initiative to learn more about how to engage communities, stakeholders and citizens more effectively.

The initiative consisted of five pilot projects that developed and tested a new model of public engagement.[1] In addition, we held a dozen workshops across the country to share the learning with other governments and get their feedback.[2] Our final report, published in April 2008, describes the new model, its rationale and some of the findings from our pilot projects.[3]

A key conclusion is that effective governance requires a new relationship between citizens, communities and stakeholders, on the one hand, and government, on the other. The basic reason is that many public goals – such as protecting the environment, ensuring safer streets, renewing the workforce, or building healthy communities – cannot be achieved by government alone. The public have a role to play. If they do not assume a new role in making choices, developing plans and taking action, goals such as these will not be achieved. **Public engagement therefore is not just desirable; it is a condition of effective governance**.

Our model provides a systematic approach to realigning the relationship between governments and the public. It helps stakeholders, communities and citizens assume these new responsibilities. As space prevents us from fully describing the model here, we will confine the discussion to why traditional consultation is fast becoming an obstacle to good governance and why an approach based on deliberative dialogue is needed to overcome this. Finally, we will conclude with some comments on what an effective engagement model for the future must achieve.

The consultation model

If we are proposing a new model of public engagement, some people will reply that there are already many models out there, from local town-hall meetings to public hearings; from government chat-rooms online to telephone surveys. Do we really need another one?

But this is deceiving. Notwithstanding all the different *tools* for engagement, there is basically one **model**, which gets used for just about everything. It works more-or-less as follows.

Some sort of government panel is given the task of finding solutions to an issue. The public is invited to express their views. This can happen in many ways, from town-hall meetings to online chat-rooms. Once the submissions have been made, the panel reviews them, deliberates, reaches conclusions and finally makes recommendations to government, which then decides how it will respond.

We can call this **the consultation model**. If it has served us well enough over the years, it now often does more to divide the public than to contribute to good decision making. Consider a consultation on tax reform. If I represent small businesses, my basic goal will be

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to convince the committee that my position, say, cuts to payroll taxes, will best serve the public interest and so it should act on my advice. Other groups seeking to influence the committee can quickly become my competitors, such as anti-poverty organisations, who fear that such cuts will weaken social programmes. To convince the committee that my views are the real priority, it is in my interest to create a sense of urgency or even crisis around the issue, seek out studies or shocking statistics that support my position, sharply distinguish it from others, and bring competing claims into disrepute.

The guiding principle is clear: the squeaky wheel gets the grease. This, in turn, creates distrust, tensions and rivalries between the different groups.

The use of such tactics has intensified in recent years, especially around big public issues. In part, this is due to the influence of communications experts who advise organisations and individuals how to make their views heard. Consultants like these have learned that the process often rewards bad behaviour – especially on high-profile issues. Exaggeration and grand-standing attract media attention, which puts pressure on governments to respond.

They have also learned that the process rewards intransigence. Because each speaker's role is limited to stating their view, there is little cost in holding firm to it, even in the face of conflicting evidence or counter-claims. Advocates know it is unlikely they will actually have to defend it. On the contrary, when the media want a counter-argument, they turn to someone else. The two positions are then presented as equally viable possibilities that the viewer must choose between.

From the media's perspective, this looks like unbiased reporting. From the advocate's view, it is a reward for intransigence. As a result, advocates see little gain in modifying their position in response to evidence or argument. Most have come to view their job as one of getting their message into the public space at every opportunity. They are not there to engage in genuine debate or to discuss, but to broadcast a message.

There is yet another consequence of the model. Not only is it making real public debate all but impossible, it is undermining government's relationship with the public. In effect, the committee leading the consultation ends up with a shopping list of recommendations and positions, many of which are incompatible. So when it sits down in private to deliberate, choose between them, and make recommendations, someone's ox will be gored. Committee members know all too well that when they announce their decisions, many of those same advocates will open the curtain on Act II of their communications script and lash-out at the committee for ignoring their demands.

Not surprisingly, committees are increasingly secretive about their rationale and defensive about their choices which, in turn, makes the public even more suspicious of the process and the advocates more strident in their criticism. The clear lesson is that, when it comes to controversial issues, our over-dependence on traditional consultation is becoming a downward spiral that too often works well neither for the public nor government.

Dialogue as an alternative

In assessing this situation, we should be careful not to confuse the symptoms with the cause. The problem is not just the communications consultants or the media. The real problem is the process. It creates a competition for influence that pits one interest against another. Consultation is a zero-sum game where one group wins only if another one loses. This encourages exaggeration, grandstanding and intransigence.

There is an alternative. Government does not always have to present itself as the impartial decision maker sitting at the front of the room, especially when the issues are ones that cannot be solved by government alone. When governments are dealing with complex issues, such as economic growth, low unemployment, a skilled workforce, safer streets, a healthier population, a tolerant society, or clean air, land and water, they should start by declaring their inability to solve them on their own.

Instead, they should focus on their ability to provide the kind of **leadership** needed to get a group of stakeholders or a community or province working together to achieve these goals. In such cases, it may be far more helpful for **government to engage in the process more as a facilitator** than as the problem-solver.[4] In this new role, government's primary task is to get the stakeholders or citizens **engaging one another**, rather than competing for influence. They need to listen to one another and learn about each others' views, discuss their similarities and differences, weigh evidence and arguments for the various claims, and work together to find common goals and joint priorities, make choices and compromises together, and propose common measures. The process thus rests on the recognition that the public (or some subgroup within it) has a real stake in the issue and some role in resolving it.[5] It aims to bring them together around their common interests, rather than divide them by making them compete for government's ear.

Finally, we must note that in such a process dialogue and decision making often will not be enough. For the solution of many complex issues, the participants must move to the next stage- **action**. Thus, if the issue is how citizens can promote wellness in their families or communities by reducing obesity rates, they need to do more than discuss or deliberate, say, on the importance of exercising. They need to get on their bicycles or go to the tennis courts. In practice, this means once the participants have reached agreement on goals, the dialogue must continue so that participants can develop and commit to a **plan of action** aimed at achieving those goals. Moving to and completing this critical next stage in the dialogue process allows for the transfer of responsibility and ownership needed to ensure productive action takes place.

Public engagement: a systematic approach

Now, given what has been said, it may sound like we are simply opposed to traditional consultation or that we think deliberative engagement is always a good thing. Neither is correct. Let us be clear. **There is nothing wrong with consultation processes**. Many consultation processes still do very good work on a wide range of issues, from searching for and testing new ideas to showing responsiveness.

The real point of our comments is to underline just how blunt an instrument consultation is in the search for solutions to complex issues. The fundamental flaw lies in its failure to recognise the public's role in solving these kinds of issues. Indeed, it sends the reverse message. By assigning the tasks of deliberation, decision making and action to government, it sends the message that the problem belongs to government and so the solution too must come from government. This is wrong and needs to change. There is a role for the public in making choices, developing plans and taking action for the achievement of important social goals, and government needs to sit down with them and work it through.

This is what we did in our pilot projects. We did not set up a table at the front of community halls around the province and invite the public to come and advise us on what government should do to prepare New Brunswick's workforce for the future, revitalise the

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communities of the region of Miramichi, or promote wellness in towns and villages. Instead, we asked them to sit down with us and **discuss** what each of us – government, citizens, stakeholders and communities – could do to resolve the issues. We asked them how we could learn to work together better. In short, we tried to engage the public in ways that required the stakeholders, citizens and communities we met to assume **ownership** of some of the responsibility – and therefore the action – required to achieve the outcomes.

Our goal now is to take the next step and recommend the approach become the basis of government policy in New Brunswick so that it will become the normal way of doing business on complex issues. While it is true that in New Brunswick and elsewhere, there have been good examples of this kind of engagement in the past, it is equally true that they usually appear and disappear like shooting stars. Successes tend to be short-lived, few and far between. More often than not, they are led by some remarkable individual with the right combination of disposition, vision, will and leadership skills to make collaboration work – often in spite of huge countervailing forces. Unfortunately, once that individual moves on, the arrangement usually falls apart.

If a more deliberative approach to public engagement is to become government policy, we need a model that can be systematically applied across a government to change how it interacts with communities, stakeholders and citizens. Such a model cannot be a simple cookie-cutter. There is no single answer to the question: How should government engage the public? On the contrary, this is a complex, multi-faceted task. Unlike consultation, such a model must be:

- Able to resolve complex issues into simpler parts.
- More respectful of the interests that may be at stake in finding solutions.
- More mindful of the fact that stakeholders and citizens often have a role to play in making the solutions work.

At the same time, if the model is to be applied across government, it cannot be so complex that it requires years of study and high levels of expertise to master. An adequate model therefore must be:

- Relatively simple to understand and apply.
- Robust enough to truly realign public relationships, without tying the hands of government.
- Flexible enough to accommodate very different circumstances.

We know of no jurisdiction where such a model is being applied across the whole of government. The model we have developed for the Government of New Brunswick through the Public Engagement Initiative, and which is set out in our final report, aims to fill this gap. Insofar as we are successful, we hope it will be of interest and of use to governments elsewhere.

Notes

1. The five projects are: Skills Development: Reckoning with the New Economy; the Wellness Project; the Climate Change Action Plan Initiative; the Miramichi Action Committee; and Sustainable Communities in a Self-Sufficient Province: Planning our Future Together.
2. The PEI is itself based on a recent book entitled *Progressive Governance for Canadians: What You Need to Know,* by Don Lenihan *et al.* The study contains the distilled learning from a ten-year, national research and consultation project on governance entitled *Crossing Boundaries*. It is available for download free-of-charge at *www.crossingboundaries.ca*.

3. The report entitled "It's More Than Talk: Listen, Learn and Act – A New Model of Public Engagement" is available on the Government of New Brunswick's website at *www.gnb.ca* and at *www.ppforum.ca/en/crossingboundariesgovernanceprogram*.

4. We recognise that government also brings important powers and resources for the solution of these problems to the table. In our model, it therefore plays not only the role of a facilitator, but also a **participant in the process and an enabler of solutions**. This relationship between facilitator, on the one hand, and participant and enabler, on the other, is complex and goes beyond the scope of this contribution.

5. In our model the public is not a monolith, but a complex entity made up of different subgroups, including governments, stakeholders, opinion leaders, ordinary citizens and communities, all of whom can and should be engaged for different purposes. Moreover, if the public is a complex entity, so is public dialogue. Different kinds of dialogues should be used for different tasks; and different subgroups are suited to different kinds of dialogue. At present, all these things get entangled in confused and confusing ways – sometimes intentionally. As a result, public dialogue is often far less ordered, coherent and disciplined than it could be. A satisfactory model of public engagement must provide us with a systematic way of disentangling these threads.

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PART III

Chapter 23

Calling All Politicians: Take Your Citizens Seriously, or Be Marginalised

by
Jacques Wallage, Mayor of the City of Groningen, The Netherlands

Why public engagement in policy making is so important for governments

On the surface one might argue that not very much has changed. I started my career in the 1960s in the middle of a movement against authority and the establishment.* Before that, after World War II, people also believed that politics would never be the same. And yet, the discussion about the existence of a small ruling elite is still going on. We still have more or less the same parties in a reasonably functioning democracy. And electoral turnout, at least on the national level, is high, at about 80%. The general level of trust in government has declined somewhat overall, but now seems to be recovering a bit. So, what exactly is the problem?

If you ask people in Groningen about the service from the government, they will be quite positive, but much less so about the way they experience responsiveness from local politics. About their actual say in local policy making, they are quite negative. Government does not have a problem as a service organisation, but it has a huge problem in terms of being a democratic organisation.

I believe the problem now is the discrepancy between the content of the political discourse in the media and the mind frames of the people in the street. If their everyday problems are not mirrored in parliamentary debate or in the policy measures of government, they will turn their backs. Of course, problems are different on the local level than the national level. But it is essential that people have a say in public affairs. In the Netherlands, forms of direct democracy are swiftly being left behind (systems of elected mayors and referenda are being abandoned by the present government). Most of the time, politics finds it very difficult to handle direct influence by the people. At the same time, the technological possibilities and the group that wants to participate are larger than ever.

In Groningen, we organised a public Internet vote about the selection of the architect and the design of the FORUM building – a centre for information and history. This raised a lot of interest. Many people came to see the exposition of the scale models; they did so because they were given the opportunity to give their say. In the end, more than 20 000 people voted on an issue most experts had qualified as a technical matter for professionals only. The success of this example shows that more people are willing and able to participate than is often believed and that government should take advantage of the modern facilities to mobilise the public's interest and commitment.

It is not easy for politicians to escape the ongoing macro political debate and media sensationalism, eagerly looking for a scandal or a row. Government officials can hardly communicate authentically anymore. The answer, however, is often paradoxical. Politicians react defensively and show great fear of the crowd. Political parties realise that their position is no longer automatically legitimised as it used to be, but their response is

* Currently Mayor of the City of Groningen, The Netherlands, Mr. Wallage is a former MP (leader of the Parliamentary Labour Party) and Secretary of State, Chairman of the Dutch Commission for Government Communication.

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again exactly the reverse of what it might be. They use "spin doctors" and hire public relations bureaus to manage their permanent campaigns. The result is that people observe their leaders as more interested in their votes than in their problems. The urgent need for change is evident.

Changing pattern of demand, the side of the citizens

For our report about Government Communication, we had an inquiry done by the bureau Motivaction. This showed the obvious fact that the "average citizen" does not exist. There are numerous subgroups. Besides constructive and law abiding citizens, there are two interesting categories I want to point to. These are the cynics and the critics. The cynics have long ago said goodbye to politics and government matters and mainly complain or throw mud. The critics evaluate government behaviour on its merits and its behaviour.

What is essential is how the government reacts to these people. If the "average citizen" does not exist, then there cannot be a single communication strategy.

"Angry Cynics" need to get the best possible service and yet you will still get their hate mail. At this point government officials should take care – as long as these unpleasant messages are not anonymous, they should be answered properly. I always do and most of the time I get reactions of surprise: "You are still a scoundrel, but at least you have the decency to reply. And, by the way, could you also tell me this…" In my view the top priority for governments is to equip itself with the necessary capacity to answer all e-mails and letters, to show citizens that they will be taken seriously as long as they sign their messages with their name and address.

"Critical Activists" must be offered more opportunities to participate and to voice their opinions. We must not be afraid to do so. Here is another example:

Our former alderman René Paas (now president of the national Christian Labour Union) initiated a large programme called "The Back Yard" in order to select locations for homes for drug users, youth resorts, etc. Most civil servants thought it a waste of time to consult inhabitants of the neighbourhoods under consideration about this. Because he presented the whole package at once, however, it was clear to everyone that these buildings had to be located somewhere and that they would be spread all over the city. The reactions he got from citizens were conditional: "OK, if you adjust your plan so and so, we might add this and that." In the end all the facilities were located successfully and relatively little protest was heard in the Council house when the plans were decided on. Again, people are not only negative and selfish, in contrast to what officials think.

Why are governments so hesitant when it comes to public consultation?

I believe that most of the hesitation is due to insufficient professionalism. Politicians often think they know all the answers from their political programme or, worse, they consider their knowledge to be superior to that of other people. For example, two or three civil servants may be appointed to write a policy statement on health care, but they simply ask a few NGOs they know. I am certain that 500 general practitioners would be glad to sacrifice some of their scarce time on a Sunday morning to give comment via the Internet. But these officials would never consider consulting the doctors in the field for a reaction to their draft report – it might just produce trouble and dissent. The core problem is that our politicians and senior officials consider themselves competent and representative. In other words, they think hierarchically. And many feel disdain for citizens.

When I was Secretary of State for Education, I asked the deputy secretary general to arrange a weekly visit to a school. I wanted to hear directly from people and to ask what they thought about the feasibility of our policy proposals. He replied: "What do you really think you might learn there we cannot tell you? Of course we investigate all that."

What we need is a real paradigm shift in politics. It is so much focussed on products, while it should be focussed on processes.

Political life is short and so it is understandable that many politicians consider it the chance of their lifetime to create a certain product for society. One result of their eagerness is that they forget to take care of the appropriate process, to let contingent opportunities do the work and to be sufficiently detached from power and control to present themselves as authentic trustworthy persons. It is amazing that this shift in attitude, which reached the boardrooms of large companies long ago, does not seem to have reached most of our political leaders yet. With fragmented authority nowadays and overestimation of professional expertise and interest in products over process, political democracy really threatens its own sustainability and seems unaware of it. It sees openness and participation as a threat. We, with our feeble legitimacy, should be glad when people show some interest, but instead we show disdain for individual ("average") citizens and limit participation because we see it as "interference".

Closer look on the opportunities for governments to engage citizens

So many opportunities for democracy to mobilise valuable new forms of active citizenship are just thrown away now. Why don't we establish a day in the week as polling day? At the same time every week, a relevant policy matter may be put before the population (or specific groups). This would, without a doubt, produce additional information for the policy makers.

Outside the realm of government policies, I see hopeful initiatives from civil society where otherwise governments would intervene. In a networked society, people and companies are getting used to forming all kind of alliances, and many of them express social responsibility. I have great confidence in these developments.

A professor explained to me an upcoming semi-collective system in the struggle against climate change, involving home-owners in a certain area. These people are able to buy shares in a private company that distributes emission rights for energy-use. Excessive use of energy is possible at a price. Revenues are invested in sustainability projects. Houses that are fit to install solar panels do so for the benefit of the whole block, including houses with flat roofs.

What lessons can we learn from failures? What are the limits of citizens' engagement?

After the positive examples above, I will now discuss a failed example of citizens' participation.

The university recently wanted to create office buildings on the grounds of the former botanical gardens. The people from the neighbourhood were opposed. In the course of the interactions, it became clear that the municipality was operating within a frame of reference that favoured building. As a result, the officials were rightly considered to be partisan in the discussion between the university and the citizens. The municipality paid a high price, also in terms of citizens' trust, for these tactics.

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The lesson I draw is that governments would better just avoid engaging citizens in consultation than doing so with the intention of getting a predetermined outcome. There must be room for discussion and for new light to be shed on existing plans.

There are limits in both the topics that are feasible for consultation and in the methods that are used. The say of citizens should be limited to the scope of their interests. A neighbourhood cannot block facilities with a regional function. That must be made clear. Also, we must be aware of demagogues and other misuses of power in interactive policy making. Democratic rules for deliberation also hold in civil society. Finally, I would expand the idea of citizens' participation to all kinds of private initiatives that pursue (quasi) collective goods without government interference. Opportunities for this kind of self-organisation are growing fast and generally I welcome them, especially when these initiatives support solidarity and equal rights for all. However, I would also discourage citizens' actions that jeopardize solidarity and equal rights for all on essential protections and services. If rich people take care of their own communities, education and healthcare, and leave the provision of public goods for the poor to the government, this is not my kind of society. I would not accept the hollowing out of the core business of the state. At the same time I realise that these developments cannot be stopped if governments are unwilling to introduce more openness or to leave more room for clever bottom-up solutions that are adapted to the situation. So it is important that governments open up, and at the same time design frameworks for citizens' participation.

What remains of the role of the elected representatives?

Citizen engagement generally takes place in the realm of the administration, but that is not to say that we can dispense of elected politicians. No one wishes to go back to pre-medieval marketplaces, where whole communities were gathered for collective decision making. Many decisions will remain on the agenda for councils and parliaments. But their focus should shift from product-orientation to process-orientation. Here I see a role for elected politicians. They should feel ownership of the process architecture. Not only in controlling the administration, but as every new subject comes up, their focus should be: "go and consult stakeholder groups, we will watch carefully to see that you investigate ideas in certain areas and keep other preconditions fixed. Then come back to us with your report." If this lesson is not learned quickly, the dynamics of the network society will develop outside the sphere of politics and democracy.

Role of organisations like OECD

Institutions that are reflecting on governance have two important tasks. First, they derive their strength from the possibility to show the way, analyse best practices, and stimulate governments' enthusiasm about alternatives. Yes we can! Secondly, knowledge institutions can also direct their efforts to the citizens and intermediary organisations to empower them with know-how and inspiration.

Challenges for the future

The main challenge clearly lies with politics and with support for a paradigm shift that would make processes more important than products. The paradox is that, in the end, only detachment from power and control can provide hope for positively influencing the developments in society. If politicians don't take their citizens seriously, their role will in the end be marginalized.

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PART III

Chapter 24

And the Winner Is Trust and Credibility

by
Arne Simonsen, former Director General of the Central Information Service, Norway

Open and inclusive for whom?

Trust is in trouble. Trust between citizens and government, between ethnic and religious groups, and between genders. It is in trouble in many countries in Europe and in the rest of the world.

Trust is a cohesive element in multicultural societies, supplying and supporting necessary ties that can bind a society together. One way of creating trust is to have open and inclusive policy making. And trust is crucial to getting people to take up the government's invitation to participate in open and inclusive policy making. So what comes first?

Maybe a good start for governments is to re-evaluate and revitalise its communication. Too many governments engage too much in public relations and not enough in communication. In a world of spin, there is no place for real communication. When governments spin, communication gets squeezed out. And so do openness and inclusiveness.

We have to ask: Open and inclusive for whom? Too many groups feel marginalised in the policy making processes in the society they live in, even at the local level. (And some groups often feel stigmatised too.) How can we reach those who normally don't engage in anything, particularly not in policy making? Or are we content simply to include those who always do participate?

Open and inclusive policy making faces challenges in terms of trends that may cause worries but also hopes. One of them is the demographic "bomb", the dramatic increase of elderly people. Another is the climate and environmental challenge, a third is migration and constantly growing multicultural populations. These are all complex topics for policy making.

Trust and credibility

Communication, trust and credibility are the foundation for open and inclusive policy making. Primarily, trust is between "citizens and government". A credible government is one that does not pretend to be better than it is, but that delivers on its promised products and services.

The public service, as well as government agencies, needs to have legitimacy and be supported by the citizens. The public must have faith in the government. This depends greatly on the entire government's reputation. It is in the contact between the public and the government that the reputation emerges. Reputation is the impression that remains in the public's minds after contact with the government. The image that government agencies wish to present must be in accordance with their behaviour, how it acts towards its users, clients and customers.

If not, credibility weakens, trust is eroded and reputation is damaged. Then, an invitation to engage in an open and inclusive policy making process may seem rather

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hollow. All of this is in accordance with findings from research on the credibility of organisations. There must be a match between words and behaviour, between image and reality (McCroskey J.C., 1997).

When participation projects are "just for show" and not followed up by the government, that too can lead to loss of credibility and public trust. As pointed out in Part I of this report, we need to stop conducting consultations or promising participation on issues that cannot actually be changed – solely in order to "tick the box"… Concentrating efforts and resources on designing meaningful public participation that is delivered to high professional standards would be a good start.

Open and inclusive: How?

What kind of openness are we talking about here? The usual understanding of this is access to and insight into government documents. Another equally important aspect is openness in the form of being frank and honest, playing with the cards on the table and not having a hidden agenda.

According to the so-called Nordic model of government, citizens are to be involved both in policy making and in the implementation of policy decisions. Before policies are developed and policy programmes are carried through, the affected publics shall have the opportunity to express their opinions. The citizens should also be involved when programmes are drafted in concrete terms before the actual implementation. This way the authorities can carry out the programmes and services in a way that is as close a fit as possible to the citizens' needs and requests.

Open and inclusive policy-making processes must be assessed against the background of representative democracy and its decision processes, authority, and right and duty to make decisions. It must be made clear to the participants in open and inclusive policy-making projects that in the end the outcome will be evaluated or assessed by the relevant decision-making body, and that in most cases the role of such participative policy making projects is consultative or advisory. This may represent a motivation problem in the long run.

Information – communication – participation

An important condition for open and inclusive policy making is good communication. Trust is dependent on credibility, and they both depend to a great extent on good communication.

We must decide what it is we really want to achieve with communication. Do we merely wish to inform the public and increase knowledge on a matter, or do we want the public to take action, do something for themselves and for society, for example, participate in policy making? The answer to this question will determine the methods of communication.

If we want participation in policy making, we must use methods of communication that allow active participation in the communication process itself. Representatives for the target groups we want to reach must take part in the development of goals and target group analysis – how to reach them, messages, strategies, choosing communication channels and production of information materials. The way we inform and communicate becomes a part of the message we want to convey to the citizens.

If the goal is participation, then the medium is the message, to use Marshall McLuhan's well-known phrase. But all too often public information is massage.

If we employ methods of communication that do not give the public the opportunity to participate in the communication process, this will indirectly give the impression that we are not really interested in their participation in policy making.

In participation processes, several methods can be used, for instance ongoing fora for dialogue between citizens and government, and administering opinion polls amongst users of public services. The most effective method is to use the social network method, or mouth-to-mouth information sharing. People influence people. We can inform and communicate via people's social networks. One kind of network method is to use "ambassadors" who seek out or visit groups that we want to include, but that would otherwise be hard to reach and engage. The ambassadors may or may not come from the groups we want to reach. Many people consider how, and by whom, they are informed to be just as important as the content of the information received. Therefore, it may be a good idea to let the information flow from those concerned to those concerned. Let youth inform and communicate with groups of youth; let retired persons inform and communicate with other older citizens about participation in open and inclusive policy making.

Dialogue – that is, two-way communication – is a principle underpinning the Norwegian government's communication policy:

The principle of communication has a close connection to openness and inclusiveness. The principle of communication means that government communication is a two-way process in which sender and receiver should be on equal terms. Dialogue may be initiated by citizens as well as by government. The main goal is to secure active participation in the democratic process.

This principle is intended to advance participatory democracy by giving the individual a greater sense of closeness to decision-makers and of ability to influence decisions. Confidence is created among other things by keeping citizens informed of the background for government decisions, and by showing that they can influence decisions.

Awareness raising

Public authorities use information as an instrument for achieving results and specific goals in relation to groups of citizens. The aim is to achieve awareness or even a change in behaviour; often the case with social campaigns. It can be awareness of new traffic rules, changing attitudes towards immigrants, new dietary habits, etc. These are acceptable goals, but if there is an overemphasis on these kinds of aims, it can be an obstacle to influence and participation. This is because it is in a way treating human beings as objects that are to be moved in certain directions. It is as if the government is saying: "Trust is good, but control is better."

Instead governments ought to make more use of "action goals" that is, getting the citizens to think and make up their own minds, react critically, seek more information, discuss, develop their point of view and participate (Nowak K *et al*., 1971). To achieve that, the government must arrange for dialogue and possibilities for feedback from the citizens to the government, and ascribe importance to the views and statements coming from the various publics (Dozier D.M., Grunig L. and J. Grunig, 1995).

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Internet communities

A special challenge is where and how to reach younger people and get them interested in participating in policy making projects. We have to be where they are, in their social meeting places, which are Internet communities to a large extent.

Today Internet is more and more of a meeting place for the young (and the not-quite-so-young) where they "hang out with their mates". It is no longer primarily a channel to surf and seek information and entertainment. It is a universe and a world to live in for many individuals. Large numbers of people spend hours on the Internet every day, and many are members of net communities, assemblies of friends and other who share their interests. These social network communities have a potential for being useful in connection with open and inclusive policy making.

For instance, on Facebook, MySpace, Linkedin, Friendster, among others, it is possible to establish groups who can discuss and work with policy making in fields that relate to them or just interest them. Usually an individual lays out a personal interest profile on these net communities to generate friends. The government can do the same thing with policy issues, for instance making a "consequence profile" for certain political issues related to policy for the climate and environment, for the future situation of youth, student policy, and so on. Members of the net community can be invited to check if a profile matches their own interests. If yes, then they can be asked to participate in the policy-making process.

Municipalities (and other public authorities for that matter) who are at the beginning of a planning process in a specific field, for instance, sports and culture policy, urban development, school policy, etc., can start a blog where the citizens can comment on policy proposals, present views, make broader contributions, and this in a continuous manner. The municipality can also open a chat room on Internet where representatives from the municipality can converse with citizens in real time. There are of course many other possible ways to use the net communities.

Consensus model?

The concept of open and inclusive policy making may seem based on a consensus model. Some will say that seeking such a thing is naïve, especially in a multicultural society. But is there any other way? Sometimes the best we can hope for is to get a clear disagreement on the table. That may prove useful and be a good start for open and inclusive policy making.

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How? Engaging the Public Effectively

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PART III

Chapter 25

Participate, but Do so Pragmatically

by
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Political leaders and policy makers across mature and developing democracies have gained a newfound appreciation for citizen participation in both the making of public decisions and their implementation. In their more candid moments, however, public officials frequently confess many suspicions about engaging citizens. They worry that unschooled citizens will make rash and unwise choices or that they will be too demanding. They worry that increasing public participation will actually *harm* the quality of democracy. Whereas most people vote in elections, methods of direct citizen participation and consultation, such as town meetings, citizen juries, and public hearings, can engage a highly select and unrepresentative set of individuals who are the "usual suspects" in political participation.

Tension between representative government and participatory government

At a deeper level, there is a tension in our political culture between representative government and participatory democracy. Almost everyone who supports greater citizen participation sees citizen input as a complement to representative government. This superficial harmony, however, belies real tensions and conflicts. Citizen participation – especially in its boldest and most promising forms – encroaches upon the prerogatives and authority of elected politicians and professional policy makers. Participatory budgeting – at least in the original flavour that was developed in Porto Alegre, Brazil – works **because** it transfers authority over public investment decisions **from** public officials *to* citizens who participate in neighborhood meetings and the other institutions of the participatory budget.

Politically speaking, what should be done by politicians and other officials, and what should be done – and decided – by citizens themselves? I think that the tension between representative and direct, popular rule by citizens is marked especially by the following trade-off. On one hand, citizens in modern democracies are busy people – they have jobs, families, and numerous other concerns. Though we usually don't think of it this way, one of the main advantages of representative government is its efficiency. Elected officials and civil servants do the hard work of making laws and policies and implementing them so that the rest of us don't have to. On the other hand, the institutions of representative government sometimes produce poor decisions and actions. In such cases, it may be that consulting citizens or even endowing them with public powers can improve the quality of democratic governance. A pragmatic approach to democratic governance would use the comparative advantages of citizen participation where representative institutions are ineffective, confused, or unjust.

There are many issues, for example, on which citizens lack clear views and opinions. Many of us would like low taxes and good services, a clean environment and fast growth, and good schools for all but the very best schools for our own children. If the popular "inputs" to the democratic process – citizens' preferences over parties and politicians – lack firm grounding, then the rest of the democratic process stands on feet of clay.

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Fortunately, practitioners of citizen participation have developed a range of deliberative methods that effectively inform participants and create the kinds of discussion and reflection that can help them to form sound judgments that are consonant with their own values and lived experiences, as well as with complex factual realities.

On other issues, citizens know what they want, but the machinery of electoral accountability is too weak to tether the self-interest of politicians or civil servants. In such cases, public officials act to advance their own interests at the expense of the public good. When legislators make decisions about where to draw the boundaries of electoral districts in the United States, for example, they frequently do so in order to maximise their own chances for re-election. The interest of most citizens, on the other hand, lies in electoral districts that will produce competitive elections, responsive representatives, or other values of a just electoral system. To take another example, the central purposes of the participatory budget in Porto Alegre included stemming the corrupt use of public monies and redistributing those funds to poor areas of the city. To achieve these ends, the force of popular participation countervails tendencies of some politicians to divert public funds for patronage purposes.

Finally, there are a range of issues for which the machinery of government – with all of its taxing power, authority, and expert agencies – lacks the resources, legitimacy, or know-how to accomplish agreed-upon ends. Public health, for example, is produced not just by doctors, drugs, and access to health services but also through the informed and responsible choices of individuals. The effective education of children depends not just excellent school facilities and skilled teachers, but also attentive parents and engaged students. In crime-ridden neighbourhoods, maintaining safe streets depends upon the many co-ordinated efforts not only of police and various city services, but also residents themselves.

These are some of the "democratic deficits" of representative government. In many cases, a healthy dose of citizen participation can help to mitigate these deficits. It is unfortunate that the most common methods of engaging citizens in public affairs are so often ineffective. Public hearings and notice-and-comment provisions, for example, often attract small and biased segments of the larger public, and the link between what happens in these venues and officials' decisions can be thin to non-existent. In recent years, deliberative entrepreneurs have developed a range of novel and much more promising methods of public engagement. These methods include citizen juries, twenty-first century town meetings, deliberative polls, participatory budgeting processes, and citizen assemblies. Though their designs vary widely, these democratic innovations show how modern societies require contemporary technologies and methods of participation to keep the practice of democracy vital and relevant. The machinery of national political representation that was developed in the eighteenth century has begun to show its age.

Finding the right balance

The question, therefore, is not whether we should have a representative or direct democracy, but rather what mix of expert, representative, and participatory decision making and public action best advance the values of **democracy** overall. When citizens and officials alike treat the question of political institutions from that pragmatic frame of mind, they will discover that realising the ideals of democracy requires moving flexibly between a wide range of methods that include both representation and direct public consultation.

Indeed, modern democrats should abandon the ideological and defensive terms in which existing political methods are often championed. Instead, they should favour a probing assessment of the problems inherent in the democratic institutions we have inherited and pursue a wide-open search for alternatives that can do better. Many of these alternatives are likely to incorporate forms of direct citizen engagement.

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PART III

Chapter 26

The Next Challenge for Citizen Engagement: Institutionalisation

by
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The value of citizen engagement: the example of New Orleans

Two years after Hurricane Katrina devastated New Orleans – decimating the city's infrastructure and exposing deep racial and economic disparities – the city remained without a recovery plan to guide rebuilding efforts and leverage government recovery funds. Early planning efforts were met with anger and protest as the community struggled to distribute resources and revive an entire city in an environment where the public's trust in government had been severely abused.

In December 2006, thousands of current and former residents of the city were invited to an unprecedented Community Congress that took place at 21 meeting sites across the United States (half of the residents of New Orleans had not yet been able to return home). More than 2 500 people, representing the demographic diversity of pre-Katrina New Orleans, took part in the deliberative forum. Linked together by satellite and the Internet, residents struggled with the tough choices facing the city and articulated a set of collective priorities for rebuilding their home city.

One month later, 1 300 people came back together to review a recovery plan that had been developed based on their priorities. Support for the plan was overwhelming; ninety-two per cent of participants agreed that the plan should move forward. For the first time, community leaders had a public mandate to act. Building off this support, the city's recovery plan was soon approved by the city and the state and has begun to be implemented.

Whether you look to this experience in New Orleans or the countless other examples that have occurred around the world, the value of authentic citizen engagement has become abundantly clear. The issues that confront all of us in the 21st century can no longer be dealt with by government, or the private sector, on their own. To find and implement sustainable solutions to our most urgent problems, the public needs a seat at the table.

The good news is that after decades of experimentation and research, we know a remarkable amount about what works; about what it takes to convene diverse groups, to support informed deliberation, and to position public discussions so that they can make an impact. Citizen assemblies, participatory budgeting, citizen juries, deliberative polling and 21st century town meetings work. They have proven track records and are being used around the world.

Finding ways to institutionalise deliberative practices

The sobering challenge before us is to take these practices that have been employed episodically and find ways to institutionalise them. The way the public's business is done needs to become more inclusive and participatory as standard practice, especially at the national level. Only by institutionalising these practices will we rebuild trust in our governing institutions and transform what it means to be a democracy.

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More so than almost anywhere else, Europe is home to a wide and deep set of cases where government has actively sought to bring the public into the governance process. For example, the European Union has invested substantial resources into experiments with public participation and electronic governance. Great strides have also been made in Britain recently to provide citizens with opportunity to be involved at the local and national levels.

Unfortunately, however, successful examples of the institutionalisation of public deliberation are few and far between. The Danish Board of Technology has served as a mechanism for soliciting public opinion on critical issues in Denmark for more than a decade. Participatory budgeting has enabled tens of thousands of Brazilians to shape local budget priorities since the early 1990s. In the United States, most institutionalised participation is limited to small communities, like the New England Town Meeting. A proposal to create regular national discussions was recently made by a major candidate for the Presidency, but such an idea remains just a proposal.

In order to meet the challenge of institutionalisation, it will be critical to raise the visibility of the successes that have been achieved at engaging the public in governance in order to recruit more advocates to the cause of open and inclusive policy making and build a constituency for the policy reforms that must be put in place. Only when people understand what is truly possible will there be a great enough demand to realise our goals.

We must also do more to fully conceptualize the infrastructure that will be required to sustain participation over time. Embedding public involvement and deliberation into the policy making process will require a host of formal policies and institutions. But, it will also require shifts in the culture of our communities and the creation of informal organisations to educate the public and ensure that the public process maintains its vitality. The time to begin to comprehensively think through what this infrastructure will look like is now.

As we work to transform our governing institutions and practices, it will be critical that we remain aware of the failings of past reform efforts. We must write into the legislative statutes that authorise these mechanisms processes of cyclical review to ensure that they remain evergreen. At the same time, we must create safeguards to prevent these new venues for public voice from being captured and co-opted by special interest groups.

The global movement to create open and inclusive policy making has come a long way over the past decade. Opportunities to transform our governance processes that I never thought I would see in my lifetime now seem to be within our reach. It is truly an exciting time for those of us who care deeply about the state of democracy. I am hopeful that in the coming years we will all have a chance to experience democracy as it was envisioned so many years ago; as a government of the people, by the people and for the people.

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PART III

Chapter 27

Internal Communication: The Problem and the Solution

by
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Open and inclusive policy making is the response to a growing concern about the position of governments in our countries. If policy processes are not developed together with a diversity of citizens, the result of these processes runs the risk of becoming ineffective. Governmental measures that are ill-adapted to social, cultural and economic realities are not accepted by citizens. Implementation falls short, and government becomes unproductive.

There are many ways to overcome this problem. One way might be to change the democratic process of voting and representation through which citizens feel close to their political leaders. Another way is to invest in education. Citizenship is not just a bundle of rights and obligations, it is related to real work: activities in the neighbourhood, the community beyond, and society as a whole. Children and young people have to learn to practice citizenship. This way they will become more involved in the welfare of the social system and will participate more easily in the democratic process that follows on naturally from these activities.

External and internal communications

Another route to improving citizen and government relations is related to communication. A lot has been said about government's external communication. New technological tools (*e.g.* Internet) require new ways of thinking and oblige the government to relate to the public more in terms of consultation and interaction, and less in terms of delivering messages. We do not discount the merits of these new communication opportunities, but we would like to comment upon their practicality. A government that decides to design new policies in an interactive way has to rethink its strategy not only in terms of its external communication. We think that government's internal communication is often a limiting factor.

Take, for example, the basic task of a policy advisor in a ministry who is drafting a policy proposal. This advisor should be thinking not only about the subject matter *per se*, but also about the people involved. Who is the policy advisor thinking about? The answer should be: the relevant actors in society, how they relate to problems and solutions, how they suffer or how they may need to change their behaviour in a particular direction in a given social, cultural and economic context. The policy advisor needs to know what their perceptions are, or their expectations, what they may have already done to solve the problem, and what has hindered them in their attempts, or how they actively create obstacles to solutions. The policy advisor should also know about the dynamics of the process between societal actors and what is happening in their interactions.

In practice, however, this type of thinking does not occur often enough. Policy advisors are often much more oriented towards their colleagues, their superiors, and to the policy process that is going on above their heads.

This internally referential thinking is quite understandable. The policy advisor is in regular contact with fellow civil servants, even if he or she is alone in an office drafting a

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proposal. His or her thinking is like an internal dialogue, following or anticipating interactions with colleagues and superiors. Compared with these co-workers, "the citizen" is an abstract phenomenon, a vague subject, far away, and not directly available.

The working environment also has a strong influence in terms of direct sanctions. Co-workers can praise and punish, they can include or exclude a policy advisor in formal or informal meetings about relevant internal developments. It is here that "political correctness" counts; you either belong to the dominant circles, or you do not.

Internal communication needs to change

Open and inclusive policy making can only flourish if the internal communication is changed in order to reduce the degree of self-referentiality of the policy process. Contacts with groups of citizens are helpful for a better adapted and accepted policy plan, but these voices have to be heard somewhere, in the place where those plans are to be implemented. The external communication platform needs an internal platform, where policy advisors are actively engaged to share their experiences, based on their encounters outside. These experiences have to be explored, analysed, interpreted, questioned, compared, combined with other information sources, synthesised and translated into practical recommendations.

What is still lacking is this internal discursive work. Policy advisers are too often focused on one part of the issue. They are accountable for a specific subject, and not for the problem or solution as a whole. Speaking openly about issues encountered in the course of policy work, on the basis of the information one has got, is simply not done. What is perhaps most lacking is an internal free discussion forum.

Governments are considered to be "out of touch" with society. Intensive communication with citizens is the solution. But this can only happen when there is an internal mechanism within government to more openly carry out this communication and share the results.

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PART III

Chapter 28

Leveraging Technology to Engage Young People

by
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* Matthew Dodd is part of a group called "Tech Execs" which supports the work of the Wellington City Council Communities team. Members of the Tech Execs are young people from the high schools of Wellington with a particular interest in how Information and Communication Technologies affect our work, education and daily lives.

Tena koutou, tena koutou, tena koutou katoa (Greetings, greetings, greetings to you all)

As obvious as it may sound, it must be stressed that an open and inclusive government cannot truly exist without including youth. A government cannot hope to be inclusive in the future if the youth of today – future voters and future contributors to open policy – are already being "disengaged" by systems that seem outmoded and irrelevant to their lifestyle. The antidote to disengagement is to identify technologies that young people use on a daily basis, provide us with government services in a form that we are used to and then back it up with legal structures that demonstrate that government is able to adapt to our technical innovations. To a young person, the fact that putting music from a CD they own on to their iPod is still illegal (in New Zealand at least) is a clear reason to believe that government has no relevance to their daily lives. To appear relevant, and be truly inclusive, government must not allow itself to fall behind change in the way voters live.

Building trust with youth

An open government is also a necessity for young people. Today's technology means people can and will bypass official sources of information, and efforts at censorship prove ineffective when faced with the relative anonymity and cross-border nature of the Internet. Internationally, revealing e-mails and information have ended up on political blogs long before elected politicians or government officials have made any comment on the issue. It has sometimes been said that youth distrust authority, but in fact what we distrust most are hypocrites who only feign interest in our affairs. Openness in all steps of decision making, as far as is practical, allows youth to be assured that consultation is not merely salutary but builds trust with youth, which is invaluable. A simple demonstration that our wishes have been reflected in concrete, completed legislation and policy might go a long way in curing the scourge of "disaffected youth" that newspapers seem to love writing about.

Sending a text message to government

The applause we gave to politicians branching out into blogs and YouTube in 2007 is symptomatic of the fact that we are accustomed to having policy thrown at us but very little of our input incorporated into the finished product. It seems that this is a paradox of accessibility and effectiveness. While civil service in this country seems open and eager to consult, it appears largely faceless and powerless to us as youth. Conversely, politicians have the charisma and power that can carry an issue to public awareness, but only the most committed young New Zealanders would bother to visit their local MP on the one day a week they are in their electorate office.

This is where technology once again becomes important. By virtue of being servants of the public, politicians have a duty to make themselves as easily contactable as possible. For young people like me, the keystone of an inclusive government in New Zealand is the

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growth of communications infrastructure. Technology has provided young people with a wealth of tools which we have integrated into *our* lives. The problem is that policy makers have not yet integrated them into their work. When direct contact with government or any corporation becomes as simple as an everyday activity like sending a text message to your friends, then neither physical distance nor generational differences will impede open policy making and open government. I believe that an easy and effective access to government would encourage all of us, but particularly youth, to keep voting and to keep participating in government in the future.

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PART III

Chapter 29

The Privacy Implications of Public Engagement

by
Malcolm Crompton, former Privacy Commissioner of Australia 1999-2004,
and Managing Director, Information Integrity Solutions P/L

Is there a problem with privacy and what's so different about government?

"Who said it? Why did they say it? Where do they live? How did they vote last time? What are their interests and concerns?"

No, this is not from the film "The Lives of Others", George Orwell's "Big Brother" or even Ben Elton's recent book "Blind Faith".

It's the kind of questioning an elected politician and candidate in a modern democracy is expected to answer and record in the databases of their political parties' after every contact with constituents who visit their electorate office or phone in. Political parties are the most comprehensive, aggressive direct marketers on the planet. In some democracies, they even have special laws that allow them to collect more personal information from more sources than any other civilian organisation in their society and then keep it secret from their citizens.

The operations of political parties are supposed to be separated from those of government in a strong democracy. However, lines blur and more importantly, the citizenry does not always know where the boundary lies or even believes there is one. More importantly, this is a case where the facts don't matter: it's perceptions that matter.

Citizen concerns about government may have increased for at least three other reasons:

- The unique power government has in society, such as the power to pass laws that require data sharing between its agencies or other governments, be they for law enforcement, national security, service delivery improvement or policy analysis.
- The lack of choice citizens may have, for example, paying taxes, updating electoral roll data, or receiving essential health, housing or welfare services, each of which may diminish the power of citizen control as a trust mechanism.
- The lack of regular contact citizens may have with some government services. This makes it more difficult for citizens to learn to trust a service through direct experience.

For these reasons and more, democracies are required by their citizens to go to great lengths to provide a secret ballot in the ultimate consultation: general elections.

In the world of Government 2.0, the difference compared with traditional government will be the increased ability to track behaviour. Whether or not it involves "personal information" no longer matters – the impact on personal lives can be the same.

Governments will have enormous opportunities to use wiki processes to develop policy, blogs and online forums to gain feedback or social networks to generate mutual assistance between citizens. Whether they will be able to do so will depend critically on assurance of anonymity when sought and fairness in treatment in all circumstances.

Social networks moved into mainstream life extremely rapidly in 2007, followed by the desire to monetise the value so created. Then came consumer reactions to initiatives that individuals found offensive or undesirable. It all showed how powerful these tools are and how much risk they create.

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In short, the question is this – how can the citizen be sure that it is "safe to play"?* How can they be assured that government will be trustworthy? Within this, "privacy" or "data protection" is a key component but not the only issue.

A new frame for generating trustworthiness

In seeking to create trust, three areas emerge as critical: *control, fair risk allocation* and *accountability*. No single one of these elements matters more than the other. What makes them powerful as a frame for thinking about trust is the way they interact. They work together in a constantly changing pattern of mutual influence and support.

When individual citizens say they don't trust an organisation or demand "privacy", it is likely that these are the three things that actually concern them, even if they might not articulate it that way.

A dynamic system linking control, risk allocation and accountability

Control

First, citizens are concerned that either they will lose control over what happens to information about them or that they have insufficient control over how that information is demanded, collected and stored in the first place. Their sense of loss of control is heightened if they do not understand how organisations control any such information that they have. It is heightened a lot more if they fear new information will be used against them in their daily lives.

Risk and its allocation

The sense of unease will grow – along with the feeling that this is a game in which it is not "safe to play" – if citizens don't have enough knowledge about the risks of participating in a consultation and how the risks that do exist have been defined and allocated.

This is a very significant issue for governments. Citizens are becoming much more aware that they have been asked to shoulder an increasing proportion of risk in most parts of their lives over the last couple of decades. Will a new consultation lead to more?

Accountability

Finally, citizens are concerned that organisations which collect and use information about them, too often fail to accept full accountability. In particular, they fail to demonstrate full accountability for the way they manage risk or to accept responsibility quickly and effectively when risks manifest themselves as failures or breaches. While organisations manage failures affecting themselves with business continuity plans, the equivalent "citizen continuity plan" is often strangely missing for other stakeholders in a service provision relationship, especially the service user.

Lack of a good safety net for citizens when failure occurs is tantamount to allocating a disproportionate amount of risk to the individual, who is often least able to manage, mitigate or bear that risk compared with a government agency.

* This thinking derives from work funded by Cisco Systems. To read the full paper on "Safe to Play – a Trust Framework for the Connected Republic", visit *www.iispartners.com/Publications/index.html*.

The dynamics

These three factors are significant because they are interdependent. If issues in only one or even two of the elements are addressed, it's unlikely that the trust dimension will have been properly addressed. Sometimes they are complementary; at other times they are not. A common reaction to a perceived increased in personal risk, for example, is to demand increased personal control or anonymity. Another example is the way greater accountability can be used to reduce risk significantly. Each component must be addressed to achieve rising levels of trust.

Where to from here?

This analysis tells us one thing: governments have to act in a trustworthy way if they are to engage their citizens in meaningful consultation that is to be viewed as neither "spin" nor entrapment. The key to earning trust will be respect for individual citizens and the personal information about them through a particular focus on control, risk and accountability, viewed from the citizen perspective. When government consults through new channels that leave richer footprints, such as Web 2.0 tools, the need to address these dimensions becomes even more critical.

The final test, though, remains unchanged – old fashioned good public administration – listen to the outcomes of consultation and "say what you're going to do and do what you say" in response.

Some suggested principles

The following principles provide a practical guide for governments exploring new ways to build high trust into all dimensions of consultation and service provision:

Control

- Don't hide behind consent if the service user has no real choice.
- Be prepared to pay greater attention to mitigating citizen risks, accountability and a safety net where direct citizen control is not possible.
- Give citizens as many options as possible about how they manage their relationships in the online world. Make it possible for them to conduct these relationships as they would in the offline world if they wish to.
- Encourage a learning system. Enable people to understand and discover the capabilities and risks of a new service gradually and in a safe environment. Encourage adaptive solutions that use the "power of the edge".

Fair risk allocation

- Focus on risk for all parties, including the citizen. Identify, allocate and be clear and specific about ways to mitigate it. Align the incentives so that risk is managed by those who are best able and motivated to manage it. In particular, look after citizens when they are ill-equipped to look after themselves.
- Regularly review risk settings to make sure they evolve appropriately in line with the dynamic nature of the collaborative web environment.

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Accountability

- Be prepared to be more transparent.
- Have strong internal and external audit and review mechanisms to demonstrate trustworthiness.
- Ensure that there is a good safety net for citizens when service delivery fails them in some way. Credible restitution (for example, for identify theft) is worth more than over-promising a foolproof, perfect system.

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Where? How Context Shapes Practice

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PART III

Chapter 30

Social Partnership in Ireland: A Problem-Solving Process

by
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When examining the structures and process that exist in Ireland for involving citizens in a partnership relationship with the state, it would appear to an objective observer that we rank relatively well. Here, I will briefly describe those structures and systems and then move on to a personal perspective on whether they are delivering open and inclusive policy making. To a certain extent, there are no straight answers to these types of debates and the "perfect system" does not exist, and so ultimately I offer some recommendations for change, which I believe could strengthen the systems of policy making in Ireland.

Social partnership across four pillars of activity

In the Republic of Ireland, the main set of structures and processes which exist through which citizens can become involved in policy making at a national level – other than the parliamentary democratic system – is called "social partnership". This is essentially a space in which the state interacts in a structured way with representatives of society through a four "pillar" structure. In total there are 27 non-profit organisations across all four pillars involved in this system:

- Business and employers pillar: four representative organisations.
- Trade unions pillar: one representative organisation.
- Farming pillar: five representative organisations.
- Community and voluntary pillar: seventeen representative organisations.

Many organisations in various spheres of life have sought to become members of a particular pillar (*i.e.* become Social Partners), but it is only the Government which chooses the social partners from its own analysis as to which organisation(s) provides the best representation in the various areas.

The social partnership process was set up in the mid 1980s, when unemployment was so high that the shared objective of reducing it became a common objective. It brought the initial three pillars (the community and voluntary pillar only got invited into this process in the late 1990s) to the negotiating table with Government to create what became the first national agreement "A Programme for National Recovery". The ongoing purpose of the social partnership process has been the negotiation of a series of such "national agreements" – usually lasting three years each – between the pillars and the government. Originally comprising purely pay agreements, they now cover a very wide range of socio-economic policy areas that affect most of the citizens in Ireland. This reflects the changing reality of Ireland's economic development as well as the developing rationale behind each pillar's reason for engaging in this process.

Social partnership is, in effect, a problem-solving process that allows the various participants involved to influence policy making. It provides the space and structures for the four pillars – and the people they represent – to sign up to a shared vision. Key to identifying a shared vision is the publication every three years, immediately in advance of the commencement of the negotiations, of the "Strategy Report" by the state-appointed

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think-tank, the National Economic and Social Council (NESC). Membership of NESC is determined by Government, but each of the four pillars in social partnership is entitled to five seats. The development of the Strategy Report with all the social partners in non-negotiating mode, allows for a shared analysis of the current social and economic environment. This is then used as a basis for the ensuing negotiations between the pillars and Government as a national agreement gets negotiated.

Within the community and voluntary pillar, the 17 organisations are organised into strands which are defined by themes *e.g.* disability, older people, housing, labour market, poverty, networks/voluntary. Although a debate has existed within the sector as to the actual benefits to the more marginalised and vulnerable in our society of participating in the social partnership arena, it remains the most powerful avenue for associations of citizens to provide input to policy making. Therefore, any organisation invited by Government to become a social partner tends to accept. In the light of this, it is instructive to note that in 2003 two organisations in the community and voluntary pillar withdrew from the process as they felt that they could not sign up to the national agreement of the time, "Sustaining Progress", as they felt that nothing had been won for their respective constituencies in the document. Not signing up to the agreement lost them their status as social partners and with it their access to various policy-influencing committees to which only social partners have access. It also lost them the ability to participate in the ensuing (and current) national agreement, "Towards 2016", which is a ten-year framework agreement. The two organisations concerned subsequently applied to Government to come back into the process and they were duly invited back in, but only after a three-year period and subsequent to the end of negotiations on the current agreement. Their experience seems to have been that although it is a flawed process, it is better than trying to influence policy making "on the outside".

Community Fora at the local level

The system of social partnership at a national level has been somewhat replicated at local levels, although in a very different context. Decision-making by the state in relation to policy making and budgets is highly centralised in Ireland (which is one of the reasons why being a social partner carries with it such power in terms of access to policy makers). The structures that have been set up in every local government jurisdiction, which involve a similar range of social partners to that at national level, is more about implementation rather than actually influencing policy making. That said, associations of citizens' organisations have been formed in every local authority area and they are called Community Fora. Twenty five people are elected every three years onto the Community Forum by the community and voluntary organisations in that area. Members of the Community Forum sit on a wide range of strategic and implementation bodies that affect all aspects of life at local level, including the County Development Board. All of these Community Fora were set up by the Reform of Local Government Act in 2001 and although some of them were created by merging previously existing grassroots community representative structures, many remain in a kind of "limbo" where their only purpose as a representative structure is to provide the Local Authority with representatives so that it can complete its social partnership style structures.

All of the above refers, of course, to just one of the systems through which citizens can become involved in public policy making – the participatory democratic process. The alternative of the elected representative democratic process is also a key access route to

influencing policy. Over the last twenty years Ireland has had coalition governments and in all but three of those years the largest party, Fianna Fáil, has been the dominant coalition partner.

How open and inclusive is social partnership?

There is an irony in that Government claims that Ireland's innovative social partnership structure makes policy-making more inclusive. Yet, the opinion of the opposition parties, and indeed many government back-bench members of the Dáil (lower house in the parliament) is that social partnership is actually making policy-making more opaque and less inclusive. This is not just the gripe of parties that have been in opposition for 17 of the last twenty years, there is a valid point here because it has to be acknowledged that social partnership is not an openly democratic process as the people involved are not elected. The counter argument, of course, is that all social partnership deals are agreed with the elected Government of the people and therefore social partnership is democratically accountable.

Social partnership, in my opinion, is a positive step towards the distribution of democracy on a continuous basis as opposed to exercising democracy once every five years at election time. It succeeds in giving a voice and a say to those organised parts of society and civil society which are invited into the process, but obviously challenges remain. The main challenge is to ground the institutions of social partnership in an appropriately accountable framework. This would allow the civil society partners to become more representative without threatening or alienating the opposition parties and the appropriate role of the Oireachtas (the two houses in the parliament).

It must be noted that both the social partnership process as well as the elected parliamentary process are all based on the existence of intermediary organisations between individuals and the state. A different challenge in terms of open and inclusive policy-making is to involve citizens directly – without the need for intermediary organisations. In 2007 the Government-appointed independent Taskforce on Active Citizenship published a report with recommendations as to how citizens might be enabled to become more involved in their communities and all the recommendations were accepted by Government. One of the strongest messages coming through to the Taskforce from the thousands of people who contributed to its consultations was that people are sick of "cynical consultations" conducted by various agencies of the state just for the sake of it, so it is doubly disappointing to report that almost 12 months later the implementation group for the recommendations has not been appointed and much momentum has been lost. It would be a real pity if this report is not progressed in its entirety or if purely the "volunteering related" recommendations were to be picked up upon, leaving the more important element of empowering citizens aside.

In looking at all the various dimensions of the policy-making framework, one thing is clear from my perspective as CEO of an umbrella network for the community and voluntary sector: the Irish community and voluntary sector is a component in a healthy parliamentary democracy and not an alternative. The challenge for those of us involved in civil society representative roles is how we and the system can develop to enable us to better perform that role.

As mentioned earlier, one of the risks that are inherent in either making social partnership too strong and/or increasing the direct involvement of citizens is that of

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diluting the role of parliamentary democracy. In Ireland there are two houses in the Oireachtas (parliament), the lower house (the Dáil) and the upper house (the Seanad or Senate). The answer to the balancing act could potentially lie with the Seanad. Originally, it was conceived of being the forum in which civil society could debate and interact with policy and legislative developments. It is comprised of 60 members. Eleven members are nominated by the Taoiseach (Prime Minister), six members are elected by university graduates and 43 are elected from panels of candidates representing specified vocational interests: Cultural and Educational; Agricultural; Labour; Industrial and Commercial; and, Administrative. The way that it has developed over the years, however, has been along party political lines where the majority of members belong to political parties and the party whip is imposed. Therefore the Seanad does not perform the role for citizens and civil society that it was intended to.

Conclusion

In conclusion, I would observe that the access to policy making provided to organised parts of civil society is not bad in Ireland. However, the openness and transparency of the practice of actually influencing policy could do with some improvement. In seeking to make the Irish system of policy making more open and accessible, I would suggest that we need to ground social partnership by making it more open and accessible to a broader reach of civil society. We need to reform the institutions of parliamentary democracy to engage more with institutions of policy making in social partnership, as well as reforming the Seanad and its role within the parliamentary system. And we need to find better ways of engaging citizens by removing the barriers to their engagement in policy-making.

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PART III

Chapter 31

The Right to Know in Mexico: The Challenge of Dissemination

by
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Requesting public information from the government

The most relevant instrument for the effective implementation of the Mexican Law for Transparency and Access to Information (LAI), which was enacted in June 2003, has been the use of information technologies. Official Federal Institute for Access to Information (IFAI) statistics show that since the law was enacted, over 270 000 requests for information have been submitted to the Executive Branch; and over 13 000 appeals have also been filed with the IFAI.

The political culture in Mexico has led many citizens to distrust or even fear public authorities. So an important innovation of the LAI is that citizens are not required to identify themselves in order to request public information from the government. The system provides users with considerable protection against the perceived power imbalance between the government and the citizens, by allowing the submission of information requests through an electronic system where the user is in complete control over what personal information can be accessed by government agencies. In addition, this system eliminates the possibility of dwelling on questions of *who* is requesting information and *why*. An information request must be answered, when possible through the system, and the only means through which government agencies can deny access is if the information requested falls under narrowly defined categories of classification. These classifications are often reviewed directly by the IFAI, further ensuring that a denial of information is legitimate. Therefore, it is no longer acceptable for government officials to deny access for fear of the motivation behind the request.

Anyone, anywhere in the world can access government information in Mexico through these information technologies. However, an accurate profile of users is hard to get: information available to IFAI comes from the applicants themselves, voluntarily and without rigorous verification (65% of users have spontaneously provided this information). Taking this limitation into account, the available profile shows that the average applicant is a young metropolitan male, with an income and education higher than the national average: 64% of requesters are male, 55% live in the Metropolitan area of Mexico City, 54% are between 20 and 34 years old, 32% locate professionally themselves in the academic sector, 18% in the business sector, 12% are bureaucrats and 9% work in the media.

One important fact, and one which gives cause for concern, regards the concentration of the demand for public information. From June 2003 to December 2007, there were only 90 000 registered users and only five thousand of them accounted for 50% of the requests. Four hundred and fifty users made 25% of the total number of requests.

It is obvious that this concentration of demand undermines the positive effects of the right to know in Mexico to some extent. In general, it is accepted that freedom of access changes the behaviour of public authorities, because they know they can be observed or supervised by the general public. A large number of citizens applying for government information increase the social pressure on public servants to behave legally. However,

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such pressure has not yet come to bear on Mexican public officials, since 90 000 users cannot match the needs of more that 105 million inhabitants. Thus, dissemination of the right to information is one of the biggest challenges of the IFAI in the short run.

The positive impact of media coverage

Nevertheless, many cases related to information requests have reached large audiences though media coverage. These cases often involved journalists themselves or civil society organisations. In the public deliberation sessions at IFAI, five commissioners make up an administrative court of appeals. Having such cases on the front page of many national papers for a number of days has a clear multiplying effect on the impact of access. This has forced the government to correct or cancel some programmes once opacity, excesses or corruption were revealed. For instance, the Office of the President ceased buying expensive clothes for the First Lady and the shopping list of previous acquisitions was revealed, due to a request for information. Due to the publicity generated by another request for information, the itemised expenses of the budget to finance the transition between administrations are now public. There are also greater controls on grants and financial donations to unions and non-governmental groups. Access to information concerning the financial management of public trusts is now possible. Criteria and allocations of subsidies are now disclosed at the community level; military procurement is now public. These are only a few of the many success stories that were made possible thanks to media requests, coverage and follow-up.

Social pressure for disclosure of government records is a new element in the equation for fighting impunity and corruption, one we would like to help strengthen. In this sense, it is essential to encourage requests for information on the part of strategic social actors, as well as to help reporters involved in investigative journalism, civil society groups that could enhance their performance with access to government information, or business people involved with provision of goods and services to the government.

Dissemination of the right to know

Looking at the other side of the social spectrum, and driven by these concerns, the IFAI launched the *Proyecto Comunidades* in August 2005, with the support of the William and Flora Hewlett Foundation. This programme seeks to identify the best strategy for dissemination of the right to know and the use of the LAI within marginalised social groups, that is, social groups that under normal conditions would not be able to exert this fundamental right. After two years of activities, results of the Communities Programme indicate if adequate training and follow-up activities are established, that these groups can seek, gather and obtain the technical and human resources to request information. However, one necessary condition is that their efforts be accompanied by a grassroots organisation that they can trust.

Some of the experiences are worth mentioning here. In the city of Monterrey, *Ciudadanos en Apoyo a los Derechos Humanos* (CADHAC), is working with federal prisoners. A study from 2005 reports that 46% of the prison population do not have any information regarding their behaviour status and detected that the unit in charge of up-dating this information did not respond to requests, especially related to early release due to good conduct in prison. In this context, CADHAC helped prisoners to use the LAI and submit applications to request personal records containing the files of each of the prisoners and the status of the anticipated process for freedom. The Public Security Department denied

access to the requests, so the applicants filed a complaint to the IFAI. Thus, simply by using the LAI and obtaining IFAI's intervention, some of the procedures went forward after months and in some cases years of stalemate. Today, over 40% of the requesters have been liberated.

In the State of Jalisco, the *Colectivo Ecologista* supported a local community's efforts to obtain information regarding the territorial status of their land. In spite of pressure from commercial developers, the landowners decided to reject offers to sell, kept their properties and formed an association in order to sponsor projects dealing with protection of natural resources and ecologically friendly development.

The *Instituto Mexicano de Desarrollo Comunitario* in Jalisco requested information on federal concessions for the timber and wood industry. The responses they received allowed them to prove the monopolistic distribution of forest exploitation. This information was the seed for the development of a project for environmental protection and forest conservation that brought together landowners, community leaders, local government authorities and environmental groups.

In Veracruz, the *Centro de Servicios Municipales Heriberto Jara* requested information related to the allocation criteria of federal regional funds for municipal development. The information was obtained after appealing to IFAI, and this experience has set a precedent that has showed other municipalities how to get information on the distribution of federal resources for local development.

These examples point out some important achievements of the Communities Programme. Under certain circumstances, these groups have begun an appropriation process of the right to know. At the same time, there has been a strengthening of group identity through the search for solutions on the part of communities. In the process, the use of the LAI has proven to be an effective tool for empowerment. Finally, the organisations have learned how to use public information within more general strategies aimed at increasing the well-being of the communities and empowering them in their relationship with local and federal authorities. Nevertheless, one should bear in mind that this is just the beginning. These efforts need to include flexible training strategies and create social networks of organisations in order to reach many more communities.

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PART III

Chapter 32

Participation at the Municipal Level in Italy: The Case of Bologna

by
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Why would local government invest in inclusive policy making?

The inclusion or involvement of citizens in the decision-making process and in designing (and monitoring) service activities is increasingly mandatory if the quality of public policy is to be enhanced and the challenges of the information and knowledge society faced. The Municipality of Bologna is reshaping itself, moving from a mainly "hierarchical" and complex organisation to a more citizen-centered one. A "perspective shift" on the part of the public administration is underway from the delivery of services (e-government and distributive portals) to interaction and knowledge sharing, and from debate and dialogue to "listening". The traditional arenas of representative democracy are complying with their own institutional requirements and are equipping themselves with the means to allow for more direct citizen intervention and inclusion. This marks a quantum leap compared to the past. The aims are mainly to:

- Allow more direct citizen participation in consultation and decision-making processes.
- Renew citizens' interest in areas of dwindling political participation.
- Build a more solid consensus around the choices planned.
- Foster an ongoing dialogue to ensure balanced power and voices.
- Promote transparency in the public administration.
- Provide more direct and equal access to information, knowledge and services.
- Reduce discretionary administrative practices.
- Reduce the various "divides" and gaps in order to empower citizens' status and competences.
- Improve the quality of life and the economy.
- Inject social knowledge/capital into the public administration and counter the natural entropy of such complex and vertical organisations.

The commitment of Local Public Bodies is crucial to promoting inclusion, co-operation and shared visions of the future with citizens, thereby creating the conditions for a real "democracy of proximity" based on the widening and deepening of the "public sphere". Bologna aims to cultivate proactive citizens, so the Municipality is investing in citizenship and e-Citizenship at all levels. The Municipality has always been open to the use of ICTs both in the reengineering back office activities, as well as in citizen and community relations. Iperbole – Bologna's free civic network and community portal (with 500 000 hits daily) – was set up in January 1995 as a "telematic bridge" between the community and the city in order to build an "information and knowledge society at the local level" (*www.comune.bologna.it*, *www.iperbole.bologna.it*). Bologna was the first public provider in Italy, and the second in Europe after Amsterdam. Since 2006, Iperbole wireless has been created as an experimental service for the community. It provides citizens and also students of Bologna University with free broadband Wi-Fi access in public (outdoor and indoor) places within the area of the city centre of Bologna. Because reducing the digital divide is an important issue, Bologna strongly supports projects that aim to reduce the emergence of a two-tiered e-community, where

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electronic means could become another source of marginalisation and social injustice instead of being an instrument of cultural growth and emancipation.

An important requirement for the e-society is the chance for every citizen, both in professional and non-professional environments, to be able to use web resources intensively and in a critical, creative and productive way. The aim is to create a virtual environment in which you can learn the rules and to build a community where the least experienced can share opportunities with the more experienced. For these reasons, the Municipality has started to experiment with e-participation and mobile/wireless free connections, which improve the choices for the potential users. This project will implement and improve the interactions between citizens and the public administration, ensuring easy access to a wide range of facilities, paying attention to privacy policies. The Iperbole 2.0 project, an experimental platform allowing the implementation of new communication flows through the use of 2.0 tools (My Iperbole – *www.comune.bologna.it/lamiaiperbole*) has very recently been launched. The main features of the project are: interactivity, customisation and open source. Iperbole 2.0 is an open platform of services, multi-channel and easy to use. Everyone can customise the layout of the portal, choosing which contents to be displayed, adding links or RSS feeds.

Which tools, when and for whom?

The Municipality of Bologna is exploiting a wide range of tools to build negotiated consensus in the wider community around the choices planned in decision-making processes. Services, structures and procedures have to be available to citizens both in traditional and innovative ways in order to foster a constant dialogue and voices that are "balanced in power".

The objective is to involve citizens at all stages of the decision-making process so as to secure real interest and commitment. The risk is to engage citizens too late and to create a sense of meaningless participation. In order to generate consensus around participation processes, the first step is to have clear rules about the role of citizens and administrators, aims and outcomes of the processes.

The Municipality is also conducting so-called "laboratories of participation" on various topics and projects, mainly environment and urban planning, carried on both in meetings/working groups and on line platforms to determine at what level people wish to participate. So far, it seems that it is more suitable and easier to manage for participation processes at the district level. People feel the need to take care of their neighbourhoods, and they have the right skills and the experience to talk about that and also they commit themselves quite easily at that level. This generates a useful exchange of knowledge, ideas and proposals with the administration.

As technologies are evolving and changing, the City of Bologna has continuously developed new online services for citizens, keeping up-to-date with the new opportunities offered by the digital convergence of ICT. Over the coming years, the multi-channel communication strategy is intended to progressively offer the possibility and the opportunity to communicate and interact with citizens at any time and anywhere in a complementary way, using different channels (also the "traditional" ones) addressed to different targets, in different moments and contexts. One of the priorities of the communication strategy is the promotion of a new "electronic citizenship" for all, in order to spread information and knowledge of the new rights in the virtual sphere and make "netizens" aware of the potential of ICT, as well as support them in their interactions with and within these new channels.

The instruments to get citizens involved may vary from the collection of signatures to start popular initiatives, questionnaires, complaint channels or face-to-face meetings to electronic tools of e-Democracy (newsletters, polls, on line forums). The multi-channel and mobile approach (seamless communication) seems to be the most fruitful and easy for the citizens/users.

Strengths and weaknesses of online tools

Traditional channels for participation are the still the leading instruments for civic engagement today since it is easier to involve citizens, especially those people who cannot or do not want to access digital media. The digital culture is not so widespread, so people place greater trust in "live" face-to-face events, even if it is very difficult to encourage people to devote their time to participating. However, digital communications media could be new enabling factors for wider participative policy-making processes, since they make it easier (in terms of time, space, place, setting) for people to participate, thus widening the range of possibilities for participation (multi-channel interactions and platforms) and attracting new target populations (young people, for example).

Based on our experience, the main weak points to be tackled are:

- Involvement in e-participation on the political side.
- Commitment by administrators at every level of government, office and facility.
- Sustainability models for e-governance and e-democracy services.
- New skills and profiles within the administration.
- More efforts to simplify language and eliminate "jargon".
- Gender issues taken into account.

The main strengths on which to build are:

- Mediation/moderation by professionals.
- Availability of all the documents and information related to topics under discussion.
- Involvement of all kinds of local "social actors" and stakeholders.
- New communication and production models for ICT applications in collaboration with women's associations (*e.g.* on language, models and gender issues).
- Policies and actions in favour of "e-citizenship inclusion" of new citizens (*e.g.* immigrants) and their communities.
- Network of free access points (with on-site assistance) for disabled people.
- Free wireless access and connections in public places (indoor and outdoor).
- Open source and open contents/formats approach.

Overcoming internal and external barriers

The City of Bologna aims at promoting the real participation of those social groups at risk of exclusion, improving their quality of life and helping them to overcome every kind of barrier. In particular related to:

- **Disability:** Special measures adopted to support people with specific disabilities (sensory, motor or cognitive impairments) using the human and technological resources best suited to the physical context in which these citizens live and relate socially. In Bologna, for example, we have set up specific public access points to Internet for disabled people and we pay attention to the accessibility and usability criteria and rules in implementing e-services and the Iperbole website.

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- **Social gap:** Programmes exist for people at risk of social exclusion. In particular districts, support and help with policies and services are provided to vulnerable populations, for example, immigrants and elderly people.
- **Gender divide:** Innovative projects are fostered in co-operation with the network of gender associations to develop new communication and production models reflecting language, models/formats and gender issues. Since 1995, the Iperbole Civic Network activities and services have played a key role in empowering women in accessing and using ICTs. Due to this "public" engagement in Bologna, the "gender divide" is less strong than in other parts of Italy. In fact, 50% of the users of the public Internet points set up by the Municipality are women, and nearly 40% of the "netizens" are women, too. Now, we are working on a project (together with the Emilia Romagna Region and the Server Donna service-www.women.it) focused on e-services and gender issues, in particular the language and semantics used in Internet.
- **Knowledge:** Informing citizens about decision processes in a highly understandable way. Awareness-raising activities, information and communication "literacy" activities have to be further developed to facilitate participation and inclusion. Despite efforts to break down digital barriers, and even in a university town such as Bologna that was a pioneer in promoting ICT for citizen, parts of the population are at risk of being cut off from e-participation processes (due to age, gender, social-economic situation, etc.).
- **Digital divide:** A multi-channel approach to promote mobile and ubiquitous communication would enhance e-Inclusion, allowing citizens access to services and applications anytime/anywhere from the most suitable device. It is crucial to reach and involve all citizens with more targeted actions of e-literacy and training.

The points above are all in accordance with the Mandate Programme of the Administration and the Charter of European e-Rights of citizens in the Information and Knowledge Society. This Mandate Programme involves the Municipality in partnership with local stakeholders, taking part international networks. Drawing upon the lessons learnt from significant experience in implementing, deploying and evaluating services, applications and processes for inclusion/e-inclusion, we have decided to base our activities on these main e-rights:

- Rights to access to technological equipment and networks (also broadband), equal opportunities, privacy and personal data protection.
- Rights to education and training, providing each citizen with the content and knowledge she/he really needs.
- Information rights, through user-friendly, high understandable, complete, high quality and up-to-date public information.
- Rights to participation, reinforcing the fundamental rights of citizens and ensuring a public administration that is actively engaged.

People will participate only if the commitment of governments is real and sincere. There is a need to promote a culture of participation on the political side and an acceptance of engagement by administrators at every level of government. But the cultural obstacles to participation lie on citizens' side too and they will be overcome only through literacy actions and policies to support active citizenship. Even if at the local level it is – to a certain extent – easier to reach citizens and find suitable environments and solutions to facilitate inclusion processes, exclusion could remain a real condition for parts of population but could also be a kind of "conscious choice".

If all else fails, there is a need to rethink the process globally, first of all hearing the voices of all those who will be affected by the policy. Efforts to promote inclusion in decision making can benefit from the involvement of all kinds of actors, even if they are "outsiders" since they may bring innovative solutions and points of view.

Towards Web 2.0 for local government

As mentioned above, Web 2.0 platforms that allow bottom-up, social- and user-generated content, could help to promote participation, inclusion and sense of belonging to the community. As a Municipality, we are working – together with the Emilia-Romagna Region and other cities of the regional territory – on a project of a new model for an institutional portal (territorial). We will test the technological and organisational aspects related to production, editorial and communications methods/processes. This will be developed and shared amongst the partners, through the application of participatory and social web tools that highlight and give importance in particular to:

- Bottom-up aspects in the production of shared content.
- Participation and inclusion of social creativity and capital.
- Change in the method of interaction with citizens, so as to gather knowledge and skills on the web portal and put them back into circulation in an organised way.

The new participatory and social portal model we intend to pilot will have several distinctive characteristics. It will be:

- **Participatory:** Active users who enrich the collective knowledge through interaction with each other and with the administration.
- **Personalised:** Not only distribution of information and services as predefined by the editorial framework but also flexible consultation methods based on the user's adaptability to the requirements of the various target groups. These include professionals, citizens, businesses and simple readers or navigators. This too takes place in a participatory context defined by interaction with the users.
- **Inclusive:** Not just one language is considered but also the languages (and specific/sector based languages) of the users, who become co-producers. In fact, not only a few major languages, but many languages that "live" in urban communities, will be taken into account.

So, the innovation of Iperbole 2.0 implies a complex shift from a traditional, distributive, more broadcasting structure to a social sharing of contents too (wiki, blogs, user generated contents, etc.). This change requires a global rethinking about the role and the use of the public administration websites and communication models in general (editorial frame, professional profiles, back-office organisation, etc.).

The spirit of open and participative communities (such as creative commons and open source ones) can be applied to civic networks, opening a challenging phase of their evolution, since the rights to access are progressively changing into rights to participation and co-production. New spaces of dialogue, exchange and interaction will be experimented to create and promote new forms of horizontal, multi-lateral and polycentric interaction among citizens, public administrations and groups of interests. A key success factor is also inter-institutional, multi-level co-operation (at regional, national and international level), in order to achieve resource effectiveness, generate synergies, and standardise approaches and languages.

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PART III

Chapter 33

People's Participation in Korea: Formality or Reality?

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"The Republic of Korea shall be a democratic republic. The sovereignty of the Republic of Korea shall reside in the people, and all state authority shall emanate from the people." – Article 1, 1948 Constitution of the Republic of Korea

Introduction

Public participation in the policy-making or implementation process is both reasonable and essential in the light of the constitutional concept cited above. In recent years, various legal systems have been introduced to ensure people's participation in Korea.

However, most public participation systems in Korea are designed to legitimate many governmental policies that have already been established, rather than to make people's participation easier in the policy-making or implementation process. In this regard, it is crucial to find a way to facilitate more active and effective people's participation in the policy-making or implementation process in Korea.

This contribution briefly reviews some elements of the legal framework which fosters transparency and people's participation. It also raises some issues for future agendas and provides some suggestions for the enhancement of transparency in the conduct of public affairs and for the increase of people's participation in the policy-making and implementation process.

Korea's participation framework

The Freedom of Information Act, the Residents' Recall Act, the Residents' Suit Act and the Participatory Budgeting System are among the main laws and practices underpinning public participation in Korea.

- The Freedom of Information Act of January 1998 requires that the administrative institutions, local governments, and the like, should openly disclose their information and archives to the public. According to the 2006 Annual Report on Information Disclosure, a total of 150 582 items of information were requested of which 106 423 (70.5%) were disclosed.
- The Residents' Recall Act of May 2007 allows the public to claim a recall vote when local officials, mayors, provincial governors, or local assemblymen make unlawful decisions or when they are corrupt. The results of the vote determine whether they will be expelled from public office or not. The Residents' Recall Act took effect in July 2007 and the first recall vote was conducted in December 2007, in Hanam City, Gyung-gi Province. This vote led to two local assemblymen being recalled.
- The Residents' Suit Act of January 2006 also allows local residents to check any illegal budget execution of their local governments. It is based on public interest litigation and thus admits local residents as plaintiffs. Local residents are able to deal with illegal civic

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affairs in court, regardless of whether their individual rights and interests have been infringed. In this way, local residents can protect the common interests of the community from local governments.

- The Participatory Budgeting System ensures public participation in the budget preparation process of local government. It allows local residents to exercise the right to participate in local budget planning, which was once the exclusive preserve of local governments. In 2004, the Northern District (Buk-gu) of Gwangju Metropolitan City carried out the first case of Participatory Budgeting in Korea (see Part II for a detailed case study). To date, about 40 local governments have adopted this system.

Future agendas

Although some institutional changes have been introduced, it can definitely be said that the prerequisites for both participation and transparency are still far too complicated and strict. It is also true that people's participation has tended to end up more as a formality than a reality. It is, thus, necessary not only to adopt new institutional arrangements but also to complement and reinforce the current systems. The systems to be mended or to be newly adopted are as follows:

1. Strengthening Freedom of Information in practice

The 1998 Freedom of Information Act in Korea has greatly enhanced the transparency of the policy-making process. In spite of its remarkable success, much important and critical information has yet to be disclosed. This hinders transparent policy-making processes. The lack of information on the policy-making process especially thwarts people's participation. The scope of closed and secret information should be curtailed, and the Act's vague provisions on this crucial aspect should be reviewed.

2. Adoption of a Taxpayer's Lawsuit and National Participatory Budgeting

It is expected that a Taxpayer's Lawsuit would keep in check any unlawful budget execution of the central government. As mentioned before, it is also based upon public interest litigation that acknowledges the right of taxpayers to act as plaintiffs for the protection of the public interest. In addition, Participatory Budgeting has so far been practiced only at the local level. It should be extended to keep in check any waste and illegal budget execution of the central government. Finally, the conditions for the Residents' Suit must be lightened in order to ensure more participation of local residents.

3. Adoption of a National Recall Act

It is now possible to recall local assemblymen, mayors, and the provincial governors in Korea based upon the 2007 Residents' Recall Act. But the possibility of initiating a recall against the members of the national assembly has not yet been enacted. A National Recall Act would be an additional democratic measure that would partially address the imperfections of representative democracy. It is crucial to adopt the Act, not only to expand people's participation but to check corruption and unlawful decision-making by National Assembly members.

Conclusion

In Korea, several legal elements have been introduced to ensure people's participation and to improve the transparency of the policy-making and implementation process. However, in reality, the systems tend to bestow legitimacy upon governmental policies that

have already been formulated, rather than to ensure effective public participation in the policy process. It is clearly meaningless to solicit public input after the bureaucrats and the members of the National Assembly have settled all the important decisions. The most critical challenge is to change the attitude of the authorities in charge of the policy-making process.

In Korea, the adoption of complementary programmes is greatly needed in order to give greater substance to people's participation in the policy process. The substantial participation of the people must be guaranteed through the introduction of direct democratic measures such as those indicated above.

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Which? Exchanging Experience and Perspectives

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PART III

Chapter 34

Building Citizen-centred Policies and Services: A Global Snapshot

by
Directorate for Public Governance and Territorial Development, OECD

Current state of play

Openness in decision making is now a declared goal for governments in many countries and public access to information is well established in OECD countries and beyond. Governments increasingly recognise that to meet the challenges of the 21st century access to information on its own is insufficient and that citizens need to be actively engaged in developing and delivering public policies and services.

To explore how best to build citizen-centred policies and services, over 80 public engagement government and civil society practitioners from 21 OECD countries and 12 OECD non-member countries, together with representatives of the European Commission and World Bank, met in Ljubljana from 26-27 June 2008. This International Workshop on "Building Citizen Centred Policies and Services" was co-organised by the OECD[1] and the Government of the Republic of Slovenia with the support of the World Bank's Communication for Governance and Accountability Program (CommGAP), DECIM, the European Citizen Advisory Service (ECAS) and Involve.[2]

Benefits of public engagement are recognised…

There was a consensus that there are many benefits for governments in involving citizens in the design and delivery of policies and services and that public engagement is a key element of democratic governance.

Dr. Gregor Virant, Minister of Public Administration, Government of Slovenia, said in his opening speech that citizen consultation "is very practical for government. Much of the information is hidden from politicians – if you want to be well informed you have to ask those involved. It helps me see the possible conflicts and allows me to change or modify the proposal but also to have better arguments." Others emphasised that engagement is a key element of democracy and accountability and is essential to build trust between citizens and governments that has been steadily declining in modern democracies.

Participants argued that engagement with citizens helps deliver more efficient and effective services by preventing wasteful or inappropriate policy and service delivery that may have to be re-done. In the case of complex policy issues (such as biotechnology), consultation may prevent public hysteria that then has to be countered. Examples were given of how citizens can help drive service innovation, which is essential in the context of doing more with dwindling resources or responding to rising expectations and growing needs due to demographic changes.

… but practice lags behind commitment

So there are many compelling reasons for governments to engage citizens. However, if the case is so strong why does practice seem to be lagging behind commitment? Certainly many examples of good practice were presented, but there was also a sense that declared

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public commitment was not necessarily translating into ongoing and sustainable change in day-to-day governance and service practice. A number of obstacles were highlighted:

- Moving beyond "lip service" or declarations of intent to actual implementation.
- Identifying legitimate structural or organisational obstacles and "sticking points" (*e.g.* organisational accountability, democratic representation, administrative culture).
- Expecting change to be linear and straightforward. Public engagement needs to be understood as a journey which will be continually evolving and will be uncertain, often feel messy and will require experimentation, culture change and ongoing dialogue.

Today's challenges

A number of challenges were identified which need to be addressed if citizen engagement is to become part of everyday practice for governments. Participants also identified examples of how countries are rising to these challenges.

1. Political buy in

There was consensus that this can be difficult as politicians can be fearful of losing power or of upsetting carefully developed plans and may be uncertain about the value of engagement.

However, the large scale community engagement in New Orleans since the floods, undertaken by AmericaSpeaks, demonstrated how a major consultative process can be linked to politicians, and integrated into strategic planning. The design principle of "being linked to decision makers" is enshrined as a fundamental principle in all citizen consultations carried out by AmericaSpeaks. Minister Virant, when talking about Slovenia's success in promoting administrative simplification, also stressed the importance of politicians being open to citizen input.

2. Resources

Engagement cannot be undertaken without planning and resources and too often insufficient thought is given to resource allocation which can lead to tokenistic activity and lack of capacity to follow up. In short, successful citizen engagement follows proper resource planning. We heard about examples in New Zealand from Toi te Taiao, the Bioethics Council, of clear budgeting for public deliberation on complex and sensitive issues relating to bio-technology. We also heard about the City of Port Phillip (Australia), and how significant public engagement was planned and funded as part of the strategic planning process for the city. In a time of declining public resources, it is particularly important to plan strategically for consultation and public engagement, rather than fund separate one-off projects, and to integrate this into the longer term budget planning process.

3. Skills

To effectively and efficiently involve citizens requires new skills. A number of participants identified that training and capacity building are needed for officials to learn how to work in new ways – to listen, be open to new ideas and be flexible. These same skills were also highlighted as key to successful innovation, by projects in the UK undertaken by Young Foundation and the Innovation Unit. To make information understandable, for example so that citizens can engage in debates about budgeting, requires new ways of

analysing and presenting information. The region of Lazio (Italy), in its participatory budgeting programme, re-analysed its budget information to make it comprehensible so that citizens could make proposals about resource allocation. It was agreed that civil society also needs to develop its own skills to be a partner in the process of citizen engagement and in particular to be a potential link with particular communities or interest groups as well as with the citizens in general.

4. Scale and depth

The workshop participants identified the challenge of reaching sufficient numbers of citizens to achieve representative engagement and also to get beneath the surface of one-off views to explore issues in greater depth and understand how views can be debated and changed through deliberation. Participants highlighted the importance of using a range of techniques as part of a planned and systematic approach, drawing on quantitative and qualitative methods.

Countries reported rising interest in and increasing use of new technology including participatory web (Web 2.0) tools, and the workshop heard about innovative online campaigns in the lead up to elections in France and the USA which mobilised people who had not been previously involved and created self-activating communities of interest. Using such tools can achieve good value for money because they draw on existing infrastructures and networks and can reach significant numbers of people at little or no additional cost. They can also be used to involve communities or age groups who have not traditionally been consulted. The City of Bologna reported on its longstanding and sustained efforts to build a community online infrastructure so that all residents could be included in the online public sphere. We also heard how young people using social media platforms, such as those offered by TakingITGlobal, can reach large numbers of committed young people across the world and promote active involvement in a range of important social issues such as HIV/AIDS and climate change.

Whilst seeing the potential of these tools, governments and civil society practitioners also advised that they should be used alongside more traditional approaches such as meetings and discussion groups of various kinds to ensure a multi-channel approach and cater for those who prefer face-to-face contact.

5. Using a range of approaches

There is no one approach which fits all countries or the different levels of government within one country. The design of methods of engagement needs to reflect the particular national context and be fit for purpose. It is critical to first identify the purposes of the engagement and the mix of methods that will be appropriate. Public engagement can deliver the greatest value when:

- **Building trust** – When building trust, an ongoing dialogue may be required.
- **Developing visions and plans** – If developing a vision or a plan for an area, a range of qualitative and quantitative approaches *e.g.* surveys, scenario building, online visioning exercises will be needed.
- **Seeking significant change** – When there is a need to achieve significant change, for example of daily habits (such as for climate change), Austria's approach of dialogue with citizens and experimentation will be useful.

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- **Fostering innovation** – Creating regulation-free spaces for service users and communities to develop and try new forms of service delivery, can be important, such as the UK community schools programme,
- **Tackling complex or intractable issues** – Citizens can provide valuable insights and make complicated trade-offs, if there is a process that enables them to work through the issues.

To summarise the recommendations from one workshop session discussing how to engage young people:

> It is advised to combine an appropriate mix of methods – traditional and new media and go where the opinions already are. The mix should be based on the topic, the scale of those affected by policy, the type of participation – whether you seek just diagnostics on an issue, or proposals, or in depth decision making.
>
> Another group also advised when it is not appropriate to involve citizens:
>
> If a decision is already taken, if an issue is urgent and there is insufficient time to do it properly; if there are insufficient, resources (not just as an excuse) staff or finance; if you can get it done via a questionnaire or survey of satisfaction.

6. Evaluation

This is still an area of weakness with few countries reporting systematic evaluation of engagement initiatives. It is particularly important to rise to this challenge of evaluation as it will help solve some of the other challenges such as winning political commitment or obtaining necessary resource allocation. Both AmericaSpeaks and New Zealand's Toi te Taiao Bioethics Council build in evaluation to their public engagement initiatives and it may not be a coincidence that both were characterised by strong strategic planning and being properly funded for the range and types of consultation to be undertaken.

7. Inclusion

Inclusion remains as a significant challenge although there are examples of governments who are finding ways of reaching beyond "the usual suspects". There was much discussion about the importance of reaching young people and many ideas for doing this – although in too many countries there is not yet a planned approach to engagement of young people. We heard about the willingness of youth to be involved and that governments need to change mind sets and to improve their outreach in a way which understands their motivations and the new technology which is now part of their everyday lives. The importance of governments including young people in their ranks as employees and using young people themselves to carry out consultation was also stressed.

Working with a trusted third party such as a civil society organisation can help to reach a wider range of people and participants thought that more could be done to develop the brokering role of civil society organisations, alongside their more traditional roles of public scrutiny, advocacy and service delivery. In New Orleans consultation about re-building after the floods, organised by AmericaSpeaks, involved different ethnic groups and poor people and the the New Zealand's Toi te Taiao Bioethics Council engagement processes included minority communities *e.g.* Māori and Pasifica. This was achieved through targeted recruitment of participants and going to where communities are rather than expecting them to come to you, organising culturally sensitive activities and making sure that some of the staff doing outreach work were themselves from minority groups with appropriate languages.

Building the future today

This workshop highlighted that progress has been made and that there are many positive and promising initiatives underway in both OECD member countries and non-member countries. However, what now seems to be needed is a strategic shift so that citizen engagement in both policy formulation and implementation and in service design and delivery are mainstreamed. Public engagement needs to become an integral element of how government and public services work, rather than a series of separate or special activities. This requires a new level of professionalism and rigorous evaluation to provide evidence in support of the claims being made by practitioners as to the benefits of citizen engagement.

Practical steps

From the workshop, a range of practical steps were identified, all of which can support citizen engagement:

- **Ensure policy coherence** – To do this it important to win political commitment and have a clear strategic direction.
- **Skills for all (civil servants, civil society)** – Capacity building is needed to develop skills of active listening, managing non-linear and iterative processes and being able to identify and use different engagement techniques.
- **Designing decision making processes** – so that they reach different age groups and communities and using existing on line networks.
- **Champions and mentors** – It is important that someone takes responsibility for leading what is in fact a significant organisational change process. Building networks among public servants and identifying experienced mentors can significantly raise capacity.
- **Incentives and catalysts** – To achieve and sustain change requires resources such as seed funding, for events and for awards, to celebrate success and learn from failure
- **Managing risk** – Being willing to take risks is essential for any change and these risks can be managed by creating "safe" learning and innovation spaces and by sharing the up-front costs of new initiatives (*e.g.* between local governments in the same region).
- **Accountability and feedback loops (*e.g.* to political leaders, parliament, public)** – It is critical to develop and use a range of feedback and evaluation tools which enable a speedy initial response to participants and track overall impacts as standard practice.

Tools

The workshop highlighted the many tools that are being used to support the different building blocks of citizen engagement:

Public awareness raising:

- Online government information registers.
- Online/offline publicity of participation opportunity (radio, TV, local newspaper).

Dialogue:

- Deliberative techniques online/offline (*e.g.* deliberative polling).
- 21st Century Town Meetings (*e.g.* AmericaSpeaks) that bring together large numbers of citizens for debate and to establish priorities.
- Using civil society as a bridge and enabler to reach communities or particular groups.

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- Participative web (or Web 2.0) platforms and models (*e.g.* online communities, wikis, blogs, social bookmarking) whose hallmark is that they are networked and interactive.
- Participatory budgeting – To enable citizen to understand public resource allocation and contribute ideas about spending priorities, choices and trade offs.

Change:

- Creating/equipping champions in civil society and within government.
- Innovation spaces (*e.g.* temporal, regulatory, physical) to support experiment and learn more about what works and what doesn't.

Steering the "system":

- Developing the "back office" tools to support participation such as visualisation tools for data mapping and complex decision making in real time and tools for evaluation and reporting.

Participants stressed the importance of using a mix of tools, depending on local context and what governments and civil society are trying to achieve. There was agreement that the overall approach should be a mixture of "hard and soft" combining basic legal frameworks or standards, alongside strategies for "winning hearts and minds" and developing public servants' commitment and skills which they need to successfully implement change.

Principles and good practice guidelines

Within this context of diversity, there was support for the development of principles and good practice guidelines at the international level, as a framework that can be adapted according to the needs of different countries, levels of government, sector and organisation.

Participants strongly voiced the need for better mechanisms and networks for the exchange of good practice and learning in public engagement, locally, nationally and internationally. As Irma Mežnarič, the representative of the Ministry of Public Administration of Slovenia, said in the closing session:

"It is impossible to shape the future without citizens. We need to learn from each other and more about how to put theory or commitment into practice."

The 2008 International Workshop in Ljubljana provided important input into the OECD's ongoing work on public engagement and the ideas generated will be taken forward into a new phase within and across OECD countries and beyond. It is important to continue to learn across countries. As one participant said, the future is now and governments must engage with citizens to create policies and services fit for the 21st century.

Notes

1. The OECD Directorate for Public Governance and Territorial Development was responsible for the scientific secretariat for the International Workshop. This summary of the event was drafted by Irene Payne with input from Joanne Caddy and Christian Vergez.
2. For more information on the workshop please see: *www.oecd.org/govt/publicengagement* To watch the video of the workshop see: *www.youtube.com/watch?v=FI3LSgODqWs*

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PART III

Chapter 35

Democratic Innovations: Open Space Event

by
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Around 20 people from 13 countries met as part of the "Open Space" event held on the afternoon of Friday 27 June 2008, following the official closure of the OECD/Slovenian Government International workshop on "Building Citizen Centred Policies and Services." This event was endorsed by (but was not officially part of) the preceding workshop.

What follows is a personal perspective, as I cannot hope to capture the details of all the rich discussions that we generated in a short period of time. Several reports have already been uploaded to the website of the event *www.webjam.com/oecd_openspace* and I hope that others will follow and that the conversations started in Ljubljana will continue online.

Why hold an Open Space event?

The two reasons for holding the event were to expose the participants to a different – and more participative – way of working, as well as giving participants the chance to develop ideas they had as a result of the international workshop. An online forum was set up in advance of the day to identify key areas for discussion.

The stated purpose of the "open space" event was to: "provide a space for open and equal discussion between conference attendees and members of the Slovenian civil society organisations, allowing participants to take forward actions they have identified previously, develop partnerships of interest, and build ownership of conference outcomes."

The event was a partnership between Umanotera – The Slovenian Foundation for Sustainable Development and Involve – a not for profit foundation based in the United Kingdom. Umanotera's role was to co-ordinate with the Slovenian Ministry of Public Administration, identify Slovene participants for the event and run a meeting of Slovene participants in advance to present the OECD report, co-ordinate Slovenian input and motivate participants. Involve set up the online space where participants could log their ideas for sessions to run. We also facilitated the workshop on the day and wrote this brief report of the event.

Highlights

A wide range of interesting topics were proposed by the participants. In the end the following sessions were held:

- Exploring Instruments for Community Empowerment.
- E-Democracy Lessons from Slovenia and elsewhere.
- How to improve citizens' awareness of the implementation status of the Millennium Development Goals.
- Building Global Coalitions of NGOs for the 2009 Copenhagen Summit on Climate Change.
- Creating a Global Democracy Index.

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Box 35.1. **About "Open Space"**

"Open Space" Technology is a participative meeting approach, developed in the 1980s by Harrison Owen. A feature that distinguishes Open Space from many other methods is the amount of responsibility and power over the agenda given to the participants.

An open space event has a central theme or question, but no fixed agenda (in this case the theme was the same as the workshop, namely "Building citizen-centred policies and services"). The participants set the agenda based on their areas of interest and self-organise in breakout groups, reporting back at the end of the event.

Open space has four fundamental principles:

- "Whoever comes are the right people."
- "Whenever it starts is the right time."
- "When it's over, it's over."
- "Whatever happens is the only thing that could happen."

There is also one "law":

The "law of two feet". (If participants find themselves in a situation where they are not learning or contributing, they have a responsibility to go to another session, or take a break for personal reflection.)

These principles help create an environment where participants feel empowered to take joint responsibility for the successful conduct of the meeting. Open Space has successfully been used by hundreds of organisations across the globe, in the public, private and not-for-profit sectors.

For more information about Open Space, please see:

www.peopleandparticipation.net/display/Methods/Open+Space.

The discussions covered a broad range of topics. Groups ranged in size from two people to seven but in all cases participants appeared to have had very useful conversations. Indeed in some cases the smaller groups were most effective, as people with high levels of specialist knowledge could work together at the same level.

Some of the innovative ideas discussed on the day included "Dating for democracy" – the idea to draw on the successful principles of dating sites when designing online engagement, and the idea of involving citizens in monitoring implementation of targets – such as the Millennium Development Goals – by measuring how many years countries are lagging behind the UN targets.

Participants found the chance to share practical experiences across national contexts very useful; for example, the ways in which different countries are dealing with political apathy, public distrust and the digital divide when engaging online.

Other benefits were new contacts. Many participants mentioned that they would stay in touch after the event and develop joint projects together. It was also a good opportunity for local civil society organisations from Slovenia to interact with colleagues from other countries and from international organisations.

It was a privilege to be able to facilitate the session and I would like to thank all of those who took part in the Open Space Event and helped make it a success. I hope the event has contributed to building successful international partnerships for democratic innovation.

For more information please see:

www.webjam.com/oecd_openspace

www.involve.org.uk

www.umanotera.org

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PART III

Chapter 36

Are You Listening? Youth Voices in Public Policy

by
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Young people constitute an important and significant part of the global population – over half are under the age of 25 – yet this is not reflected in their level of involvement and inclusion in decision-making processes and public debates. Many governments are focusing their efforts on addressing the special needs and opportunities of youth, all the while tackling global issues such as climate change that young people view as pressing and urgent. In a time with ever-increasing technological process and greater access to information, the traditional impression of apathetic youth is being shattered. The question that needs to be asked is: how can we ensure that young people are engaged in public policy and addressing global issues?

E-Consultations with young people

Between May and June 2008, TakingITGlobal conducted two separate e-consultations on behalf of the OECD.* Each e-consultation ran for three weeks and presented a number of thematic questions for young people to consider. Are youth able to participate in shaping public policies and services? What do they think of their governments' response to climate change? Over 350 participants from over 75 countries participated in the e-consultations and their voices and opinions were enlightening, eye-opening and honest.

1. Building citizen centred policies and services

"[Politicians] need to listen to the views of the people who elect them – not only when they protest or complain but overall."

Voices and choices: designing public policy with youth

Most participants strongly agreed that young people are not sufficiently included in designing public policy, and many felt that policies are created for them without consulting them. Young people expressed that barriers to participation exist within cultures, within governments, and within young people themselves. Young people feel that governments and the rest of society do not consider them ready to contribute constructively to the design of policies. The stereotype of youth as apathetic and lazy still prevails among many adults, and there are few genuine opportunities for participation. Relevant information about designing public policies seldom reaches young people. Governments do not use the appropriate channels where young people can be reached, and the language and content of the communication is often in a form that young people do not respond to.

Still, by supporting the creation of institutionalised national youth platforms and encouraging leadership development, governments can take a proactive step towards involving young people. They want a common platform where they can meet, discuss and advocate their views, making it easier for governments to consult with a large and

* The full report was presented at the OECD's International Workshop on Building Citizen Centred Policies and Services in Ljubljana, Slovenia (26 and 27 June 2008) and can be downloaded from: *www.takingitglobal.org/resources/toolkits/view.html?ToolkitID=1633*.

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representative number of young people. Training and skill-building opportunities ensure that youth are aware and able to participate in shaping policy. Governments can also hire more young people as civil servants as a way to increase their understanding and input into policy-making.

Creating and using public services: experience and role of young people

Most participants agreed that public services do not reflect the needs and wishes of young citizens, although some also acknowledged that governments are trying, to the best of their ability, to respond to young people. Almost all participants agreed that governments need to simply listen to their citizens and put people in the centre of policies and services. Furthermore, some also noted that the quality and accountability of civil servants need to improve.

Lack of resources, priorities and youth friendly access to public services were raised by participants. For instance, there are difficulties for youth organisations to access public funds, due to bureaucratic requirements and the need to demonstrate a track record, which many may not have. At a very basic level, there is a need for more information and instructions in how to access and utilize public services.

If governments set more realistic policies and targets for public services, participants believed that this could lead to more citizen action and civic engagement in the political process. Many participants expressed frustration with the gap between official policies and the services that are actually offered. Realistic policies based on available resources means avoiding unrealistic and unmet expectations from citizens.

YouGov: how do youth want to use technology to interact with government?

New technologies give governments an unprecedented opportunity to make information about public policies and services available for their citizens. One-stop websites of available benefits and services are simple and cost-effective ways for citizens to access information. Participants were mostly optimistic about having a closer dialogue with governments, and expressed that as a very first step governments should facilitate young people's access to Internet and other communication technologies.

Many participants observed that governments tend to view technology as a one-way channel to reach out to new voters and to campaign for elections, rather than having a dialogue with young people about policies and services. Where governments have started to open up new communication channels with young people, more accountability and transparency is needed in how their suggestions and opinions are acted upon.

Young people understand and communicate with other young people, and should be involved in the planning and implementation of new technologies, particularly with the use of relevant media and channels. Websites like YouTube and Facebook create spaces that allow for free and safe expression of opinions and ideas. Governments cannot just ask for young people's opinions and then leave the dialogue. Active dialogue between governments and youth will result in serious engagement with youth.

Key recommendations

- Build the capacity of young people

Young people call for training and skill-building opportunities that prepare them for active participation in decision-making processes. Governments should support and

facilitate a discussion with youth-led national youth platforms, and hire more young people as civil servants. Training and exposure to the work of the government will increase young people's knowledge and capacity, and therefore their ability and interest in engage themselves and their peers in the political process.

- Involve young people in planning and implementation

When governments try to reach out to young people with information and opportunities, it is imperative that young people themselves are included from the initial brain-storming sessions until the delivery of messages. Young people know which communication channels should be used and how to phrase the communication and information in a way that young people can relate and respond to. Young people should also be consulted on how public services are made available – as they often have unique needs and challenges in accessing them.

- Demonstrate that young voices matter

It is very important for governments to go beyond tokenism and show that that youth opinions are taken into account; failure to do so can further disengage young people from the political process. Social networking websites give elected officials and civil servants an unprecedented opportunity to communicate with young people, and this can be used to have a fruitful, constructive two-way dialogue where both parties benefit. Finally, there needs to be transparency and accountability in how suggestions from young people are implemented, allowing young people to monitor and evaluate the process.

2. Climate change

"What can we do? If this continues for the next ten years, what do you think will happen?"

Adaptation: how have young people and governments responded?

All respondents observed that climate change is already impacting their communities in negative ways. Participants shared examples of how communities on every continent are already feeling tangible impacts from climate change. Whether slow and steady (desertification), or sudden and violent (extreme weather), these current consequences of climate change are being felt in very different ways. A connection was made between the urgent need to tackle climate change and poverty in a comprehensive manner. Though the impacts reported often differed in each region, the common need for adaptation to minimise negative effects on societies and economies was well understood by all participants.

When it came to policies around climate change adaptation, a large majority of respondents indicated that actions taken to date have been very reactive in nature. In other words, policies have been crafted after the fact in order to *react* to impacts already being felt. Given the current focus on *ad hoc* reactive approaches, it is not surprising the majority of respondents did not believe their governments had sufficient plans in place to adapt to climate change. Several countries have undertaken public education campaigns, but respondents also noted their impact has mostly been in urban centres and more efforts need to be made to spread their message to the provinces. Comprehensive, forward-looking plans for all effected sectors of the economy will help everyone cope better. The importance of ensuring these plans are implemented and enforced was also stressed.

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Mitigation: the role youth can play

All participants agreed that mitigation *should be* a priority of all governments, but many observed that industrialised countries bear a greater responsibility and ability to reduce emissions than do developing countries. Responses on whether or not participants' governments *did* take mitigation as a priority were more mixed and ranged the spectrum of addressing climate change seriously to more hands-off approaches. One issue that arose during the consultation centered on the difference between *talking* and *acting*. Many mitigation initiatives have not been well followed up, and in some countries policies to slow emissions have given major polluting industries a free pass. This illustrated the challenges that governments can have in dealing with emissions from important sectors of the national economy, such as forestry or agriculture.

Another important point raised was that there is often a difference in action between the different levels of government *within* a country. In other words, there could be a lot of action from a municipal or state/provincial government but low interest at the national level or *vice versa*. This is certainly the case in North America, where a lack of action from federal governments in Canada and the US has led to many cities, states and provinces moving forward on their own.

International co-operation: youth perspectives on the global effort

Climate change is a global problem that requires a global solution, and international co-operation is vital if we are to overcome this challenge. Co-operation leads to the sharing of best practices and the transferring of technology and resources. Not only will governments benefit, but individuals and civil society will share experiences and approaches on advocacy, community organising and positive action. It also allows for the gradual emergence of a global consciousness on this issue.

It was clear that respondents, no matter where they are from, expect their country to play an important part in forging a new global agreement post-Kyoto. Industrialised countries should pursue aggressive and binding emissions reduction targets for themselves. Rapidly industrialising countries could choose to adopt voluntary national targets or firmer commitments on a sectoral basis.

Respondents also made clear that youth can play the role of international leaders and network-builders themselves. Countless examples (regional youth networks, youth-led conferences, engaging workshops) that have been built by the initiative of young people demonstrate the potential of reaching across borders, motivating other young people to take action. Whether through technology like the Internet, the creation of safe discussion spaces, or the use of art, music and public demonstration, young people have the drive and creativity to reach a broader audience.

The role of youth in climate action

It was abundantly clear that young people around the world are ready to claim their voice as key stakeholders in the fight against climate change and are ready to work hard for positive change.

As **messengers and catalysts for community action**, youth can raise awareness, educate and promote positive change amongst peers, communities, and society as a whole. The call for environmental education and young "eco-citizenship" was overwhelming.

Greater integration of environmental issues into education systems will lay the foundation empowered youth to reach out and educate the public, especially their peers.

As **engaged advocates for policy change**, youth must both engage with policy processes to create change from within and drive them from the outside by building public support bold for policy visions. In cases where opportunities for discourse do not yet exist, stronger youth organisations linked together though international networks were seen as a key way to facilitate this.

As **enablers of practical project-level action**, youth could play a very important role in suggesting, planning and implementing community-based adaptation projects and long-term adaptation plans. The same was equally true for mitigation projects and longer term community planning. In both cases, the need for greater training and capacity-building was identified, along with the need to create more space and support for youth involvement.

Key recommendations

- Increase resources for education and outreach

Inadequate resources for young people on climate change issues prevent their ability to share knowledge and solutions with their peers and communities. The creation and dissemination of widely-accessible, compelling and understandable resources for youth, as well as the integration of environmental issues and sustainability into both urban and rural school programs were just a couple of suggestions offered by respondents.

- Provide training, capacity-building and financial support

Government programmes provide youth with opportunities to gain experience and contribute their creativity, knowledge and passion. Training programmes empower youth to be involved in community adaptation planning, disaster response or mitigation projects and policies – particularly those directed towards public education. Financial support in the form of small grants is also needed for youth projects and new youth organisations, as is *recognition* for the importance and successes of youth-led initiatives.

- Engage youth in the policy process

Youth must be recognised as major stakeholders and need a platform where their voices can be heard within government on issues that directly concern them. Token gestures from politicians are not enough and do not support the high potential of youth to contribute. Young people need to be engaged with climate policy at all levels – from its development and delivery – in a genuine way. Inclusion in policy making creates ownership and in few policy fields this ownership will be as vital as it is with climate change for successful policy delivery.

Globally, youth hold a tremendous amount of energy, passion and creativity, all of which are needed to envision and implement positive solutions to large issues like climate change, or national public policies. Participants in both e-consultations demonstrated a strong and genuine interest in being able to influence the shaping of public policies and services.

Governments must realise that young people are equal citizens, and it is imperative that they are involved at all steps of the public policy process. When it comes to the larger international challenge of climate change, their collective voice is a powerful catalyst. Successful governments will be the ones that embrace the means and channels for communication and dialogue, include youth in the development of policies, and actively implement solutions that benefit all their citizens.

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When it comes to using technology, governments need to understand the tools for engaging young people already exist. Innovative governments will be the ones that use Web 2.0 tools and social networks while embodying the spirit of transparency and accountability.

Young people around the world are making a difference already, but their potential to make a larger impact can be activated with support from the government. This e-consultation demonstrates that youth have vibrant ideas and innovative suggestions that need to be seriously examined and implemented into the public policy process.

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What Next? Shaping the Future Today

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PART III

Chapter 37

The Future of Open and Inclusive Policy Making

by
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Introduction

Governments are increasingly being called upon to be more inclusive and open when formulating policy and to have viable channels through which government institutions can be accessed by citizens. The issue of open and inclusive policy-making means that governments are transparent in decision-making processes that they can be easily approached and hence are accessible to their citizens and they respond adequately to the views and concerns of the citizens. This in effect calls for greater engagement between governments and their constituencies and such a relationship will enhance democracy, transparency, accountability, ownership of national priorities and development. It is becoming evident that governance is no longer the domain of national governments alone, but increasingly involves contributions from additional political actors and other stakeholders. One such stakeholder is civil society. While governments remain powerful, there are many ways for citizens to engage in decision-making processes.

In this brief contribution, I want to highlight a few disturbing trends or what I call democratic "deficits" that have constrained spaces for inclusion in policy-making processes, the responses by citizens and civil society to some of these trends and the prospects for the inclusion of citizens and civil society in policy-making.

Disturbing trends

The first disturbing trend relates to the fact that elections may be held regularly, but fewer and fewer people are choosing to vote; meaningful interface between citizens and the elected is minimal between election periods. Surveys reveal declining levels of citizen trust in public institutions and a shift away from regular engagement in democratic processes. In many democratic systems, "form" has largely overtaken the "substance" of democracy. The influence of monied interests in many traditional systems is also turning citizens away from traditional engagement in favour of new forms of participation. This waning of faith in traditional political institutions should not, however, be understood as a sign of citizen apathy. Citizens are finding new ways of becoming involved in public life and decision-making, marking a shift from representative democracy to new forms of participatory governance.

The second disturbing trend is that participatory governance processes are not inclusive enough, if one takes into consideration the three levels of governance processes which occur at the "macro", "meso" and "micro" levels. These three processes translate into governance policy, implementation, and service delivery respectively. Experience shows that most governments are comfortable with the micro role which is the delivery of services; even so, governments can do more to create more enabling environments in order for these micro-level activities to actually flourish and be more effective. Governments also need to engage civil society and citizens on issues at the macro-level, and it is important for governments to recognise that civil society can add value to improving governance

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processes, improving policy and also contributing to delivery. Failure to recognise these three roles and only acknowledging the delivery role makes a negative statement that the only thing civil society can contribute is cheap labour.

The third disturbing trend is that in the name of the war on terrorism, there has been a reduction of civic space and democratic space in many countries as certain governments use the war on terror as an excuse to pass legislation that restricts the rights (and work) of NGOs and fundamental rights to freedom of association, assembly and expression.

Responses from citizens and civil society

Civil society and citizens are actively coming up with responses to the challenges highlighted above. The erosion of national decision-making capacity through the process of globalisation has brought timely responses from civil society. Increasingly decisions that affect citizens are being taken by supranational institutions that are, in most cases, neither accessible to citizen engagement nor accountable to citizens. Though governments still serve as key political players in most countries, their primary centres of power are gradually being eroded. Because of the constraints inherent in participatory governance processes, citizens are increasingly joining civic movements to foster public participation, transparency and accountability in governance.

Historically, much of the work of civil society organisations has been at the micro-level, where they are involved in providing important services to vulnerable communities in areas as diverse as health care, education and professional training, humanitarian relief, the empowerment of women, technical assistance and environmental protection, to name a few. Increasingly, civil society groups have stepped into the uneasy vacuum of post-conflict situations and have compensated for the state – admittedly not without controversy – even though in the growing number of instances where vital public services have been rolled back, this has largely been as a result of macro economic reforms.

In the 1980s, the slogan "think globally but act locally" was made popular. Behind the slogan was a call that greater consideration needed to be given on how global discourse, global thinking, global processes and global institutions determined what was achievable at the local and national level. Ironically at this point in history when most countries have achieved or returned to electoral democracy, including countries in Eastern and Central Europe, Africa and Latin America, the real power around fundamental issues such as the economy, monetary policy, the environment and HIV and AIDS does not respect national boundaries. The reality is that even if we have national political leaders who are imbued with integrity, who strongly pursue anti-corruption agendas and are pro-poor in their orientation; the extent of progress that can be made is increasingly determined by policies and practices of global and multilateral institutions. In recent years, civil society groups have therefore recognised the need to rethink this slogan. Experience has shown that in and of itself, acting locally will not get to the root causes of many social and economic problems if the real locus of power remains global. There is thus the need to "think locally and act globally" as well. To this end, a growing number of civil society organisations have become actively engaged in transnational advocacy work, campaigning and policy formulation.

Prospects for the future

By not engaging civil society in their policy formulation processes, governments risk depriving themselves of reservoirs of information that can assist in the drafting of better

policy. It is self-defeating for political leaders to deprive themselves of the policy knowledge that civil society actors acquire from working directly with vulnerable communities. For example, civil society will be better placed to inform the drafting of a domestic violence law since it works with survivors of violence.

In many countries, there are high levels of interaction on specific issues between governments and their citizens. However, there is also increasing pressure on governments to involve citizens in the decision-making processes at all levels. As civil society has matured, its credibility with outside audiences has grown. This is most clearly evidenced by the fact that civil society groups generally enjoy a high level of public trust. A recent survey revealed that among 17 institutions, ranging from national governments to educational systems to media and the legal system, NGOs are the institution most trusted by average citizens after their country's armed forces. The work of civil society has moved from the direct provision of services to constituencies, at the local or national level, to advocacy aimed at addressing the policies which impact upon their particular area of work.

Conclusion

There is continued pressure on governments in most countries to be open and inclusive in the decision-making processes because this supports democracy, accountability and transparency, and fosters development. It is likely that this may be the way forward in the future but first the current governance practices have to be reviewed. As such, there should be renewed engagements between civil society especially and governments on the governance policy and implementation levels, and not just at the level of service delivery. Governments also need to be compliant by implementing the policies they formulate and adopt. With the transfer of decision-making processes from national to global levels, governments and civil society should increasingly be conscious of the fact that if they truly want to understand the underlying causes of the economic and social problems facing their citizens, they have to "think locally but act globally." If current governance processes can be reviewed, and both governments and civil society understand that they have to operate on the basis of global development trends, then we will witness a greater degree of inclusiveness in the formulation of national policies and implementation of government priorities.

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PART III

Chapter 38

Globalised Democracy

by
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The state we're in

It is ironic that we talk of a crisis of democracy today. After all, there have never been more nations on earth that allow their citizens regular, free and competitive elections than now. On paper, democracy has never been stronger. However, if the last decade of the 20th century saw the widespread adaptation of representative democracy across the world, then the first decade of the new millennium has been characterised by widespread concern that our democratic institutions are neither fit for purpose or indeed, democratic enough.

The long-term trend across most western democracies is that of declining involvement in formal politics and lower turnouts in elections.

Another stark paradox has been uncovered by the recent "State of the Future" report, produced by the World Federation of United Nations Associations. It is claimed in this report that as a global population we have never been wealthier, healthier or better educated but at the same time we increasingly feel insecure and out of control of our individual or collective destinies.

To this we need to add the new challenges that face us, and that cannot be solved by the state alone. These "wicked issues", such as climate change, the "obesity epidemic" and others require either consensual behaviour change amongst citizens as a whole; or much stronger leadership, or the kind you rarely see from western national governments.

These factors help explain why we see an increased interest in opening up policy making to different voices. On the one hand, this is because people believe this will increase the integrity and legitimacy of government; and on the other because it might drive greater efficacy on these critical wicked issues.

In the 20th century we built institutions to tackle the challenges we then faced: the Health Services to raise life expectancy, Highways Agencies to move us around, in the UK we even created a national broadcaster to keep us well informed and make sure our democracy worked properly.

Today's challenges are similar but increasingly complex. We now have an aging population, congested transport networks, and information overload. It is clear that the current institutions alone cannot solve the problems of the modern era.

The age of democratic experiments

We are currently living through an interesting period of intense experimentation as we strive to create new solutions, fit for the citizens of the new millennium.

The experiments are numerous and have taken varied forms, ranging in scope, scale and focus. Some involve thousands of citizens simultaneously, for example in the mass involvement mechanisms run by AmericaSpeaks in the US. Others take place on a more modest scale, such as the citizens' juries which the UK's Prime Minister Gordon Brown has

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supported in recent months. Some are closely integrated with the institutions of representative democracy, such as the participatory budgeting initiatives pioneered in Brazil and now used across the globe.

What is clear is that there is no one answer to the challenges of 21st century governance. Undoubtedly many of these experiments will fail, but the ones that succeed offer us a chance to both strengthen democracy and perhaps more importantly help us meet 21st century challenges.

Differences matter

This does not mean that the same experiments will succeed across the world. There are important differences between the OECD countries which influence how these new participative mechanisms work on the ground.

One such factor is where impetus for more participation comes from and the capacity of civil society to scrutinise this development. In the US, foundations and trusts are often key in funding and encouraging the use of participative mechanisms, whereas in the UK this role is largely provided by government. Consequently in the US public participation tends to prioritise giving citizens a platform to be heard; in the UK greater emphasis is ensuring the processes are compatible with government. In the US, there are high levels of innovation and limited political purchase, and in the UK *vice versa*. One commonality between the UK and US are the thriving independent civil society movements that underpin the participation sectors. It is these sectors that have thus far provided the public participation capacity across the anglosaxon world. A capacity that is less developed in much of continental Europe.

In France, had Ségolène Royale won the 2007 Presidential election, then we would have had the world's first President elected on a participation ticket, but in a country with very limited civil society capacity to deliver on the promise. There are different challenges in Germany and Scandinavia, where civil society groups are often state funded and thus potentially constrained in their role as citizen advocates.

That said we are now enjoying a time of democratic blossoming and growth across the world. The key is how we manage this "field"; how we ensure we innovate in ways that enable resolution of wicked issues; how we make good use of citizens limited time and how we learn effectively from each other.

Below we outline some of the key drivers, threats and challenges that we think will be key to achieving this.

Drivers

In the next decade the following trends are likely to drive and shape the development of more participation:

- On-going failure to tackle global challenges such as climate change, disparities in wealth and forced migration.
- The ongoing decline in collective identities which is lowering both membership rates of formal political parties and electoral turnout rates.
- An increasingly educated and vocal citizenry who have higher expectations of public services and their ability to influence them.
- The increasing importance of policy issues which are complex and require behaviour change from wider groups in society.
- Opportunities for increased participation provided by new technologies.

Threats

There are however a number of countervailing trends which can counteract the drivers for more participation. These include:

- Citizens are increasingly feeling stressed and "time starved", leaving them with less time and inclination to take part.
- The growth of opportunities without sufficient capacity and resources has often led to tokenism and bad practice, which undermines the legitimacy of public participation in the eyes of citizens across the board.
- Unfortunately conflicts between democratically elected representatives and the institutions of participative democracy are not uncommon, often elected representatives can feel threatened by these new initiatives.
- Increased public participation often challenges entrenched expert cultures within government. These cultures have strong incentives for protecting the *status quo*.

Key challenges ahead

If the above barriers are to be overcome there are a number of important challenges that need to be addressed. These are some of the key areas that Involve feels should be a priority in the years ahead:

- Increasing focus on doing better rather than just more participation. Realising that more is not necessarily better.
- Developing a clear focus and purpose for each initiative – one that is clearly communicated to the intended participants.
- Encourage elected representatives to work with rather than against new forms of participative democracy.
- To deal with the large scale issues that we face we need to develop larger scale and more visible processes of public participation.
- Developing a stronger evidence base of what works.

As an increasing number of issues that face us cut across national barriers it is likely that there will be increasing calls for participation at the level of transnational governance. There are significant barriers and problems with this, but in the longer term these will need to be overcome. The OECD's interest in the area of open policy making is therefore very welcome, both in terms of providing space for sharing good practice across counties but also as an arena for pioneering participation at a global level. And it is at the global level after all where so many of the real challenges lie.

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ANNEX A

*Legislation and Policy Measures for Open Government**

* Year in brackets indicates date of first passage of legislation in this field. For example: 2001 (1978). This means that the current law dates from 2001, and that legislation was first passed in 1978.

	Law on Access to Information and Documents	Law on Administrative Procedure	Law on Ombudsman/ Commissioner	Law on Privacy and Data Protection	Law on Electronic Data and Signatures	E-government policy
1. Australia						
Year	2003 (1983, 1982)	2000 (1977, 1975)	1976	1988	1999	2006 (2000)
Date				Nov. 88		
Title	Legislative Instruments Act Archives Act Freedom of Information Act	Administrative Reform Act Administrative Decisions (Judicial Review) Act Administrative Appeals Tribunal Act	Ombudsman Act	Privacy Act	Electronic Transaction Act	e-Government Strategy: Responsive Government – A New Service Agenda Government Online Strategy
2. Austria						
Year	1987	1991	1977	1999 (1987, 1978)	1998	2000 (1997)
Date	15 May 87			Dec. 99		Spring (Oct. 97)
Title	"Auskunftspflichtgesetz" obliges federal authorities to answer citizens' questions – does not give rights of access to documents	General Law on Administrative Procedure	"People's Attorney" introduced	Data Protection Act	Digital Signature Act	Information and Communication Project (Strategy and Action Plan for Information Society)
3. Belgium						
Year	1994		1995	1992	2001	1997
Date	11 Apr. 94		22 Mar. 95	8 May 92	09 July01	30 May 97
Title	Law on Openness of the Administration At the regional level: Parliament of Flanders Act on the Public Nature of Government (18 May 1999)		Federal Ombudsmen Act At the regional level: Parliament of Flanders Act on the Flemish Ombudsman Service (1998)	Law on the Protection of Private Life Regarding the Processing of Personal Data	Law establishing certain rules related to the juridical framework for electronic signatures and certification services	Federal Action Plan or the Information Society At the regional level: Government of Flanders decree on e-government (8 Dec. 00)
4. Canada						
Year	1982		1982	1982	2000	2000
Date					Apr. 00	25 Feb. 00
Title	Access to Information Act		Information Commissioner	Privacy Act	The Personal Information Protection and Electronic Document Act	Government On-Line: Serving Canadians in a Digital World
5. Czech Republic						
Year	1999	2004 (1967)	1999	1992	2000	1999
Date	11 May 99	24 June 04	8 Dec. 99	4 Apr. 92	29 June 00	31 May 99
Title	Act on Free Access to Information (No. 106/1999 Coll.)	Act on Administrative Procedure (No. 500/2004 Coll.)	Act on the Public Defender of Rights (No. 349/1999 Coll.)	Personal Data Protection Act (No. 101/2000 Coll.)	Act on Digital Signature (No. 227/2000 Coll.)	State information policy

	Law on Access to Information and Documents	Law on Administrative Procedure	Law on Ombudsman/ Commissioner	Law on Privacy and Data Protection	Law on Electronic Data and Signatures	E-government policy
6. Denmark						
Year	1998 (1993,1991,1985, 1970)	1985	(1953)	2000 (1987, 1978)	2000	1999 (1995)
Date	(30June 93, 6 June 91, 19 Dec. 85, 10 June 70)	Dec. 85		July 00 (June 87, June 78)	Mar. 00	Dec. 99
Title	Act on Access to Public Administration Files (Law No. 276, No. 504, No.572, No. 280)	Law on Administrative Procedures (Law No. 571)	(Under the Constitution)	Law on Processing Personal Data (Law No. 429)	Law on Electronic Signatures	IT Policy Strategy: "Realigning to a Network Society" (IT Policy Action Plan "From Vision to Action")
7. Finland						
Year	1999 (1951)	1982	(1919)	1999 (1987)	2000, 1999	1998 (1995)
Date	9 Feb. 51				01 Jan. 00	Dec. 98 (Jan. 95)
Title	Act on Openness of Government Activities (Publicity of Official Documents Act)	Administrative Procedure Act	(Under the Constitution)	Data Protection Act (Personal Data Act)	Act on Electronic Services in the Administration Act on Electronic Transaction	Second Strategy "Quality of Life, Knowledge and Competitiveness" ("Finland towards the Information Society")
8. France						
Year	1979 (1978)	1979	2000 (1973)	1978	2000	1998
Date	(17 July 78)	11 July 79	12 Apr. 00 (03 Jan. 73)	06 Jan. 78	29 Feb. 00	Jan 98
Title	Law No. 79-583 (Law No. 78-753 on access to administrative documents)	Law on the justification for administrative acts	(Law No. 73-6 establishing the Mediator of the Republic)	Act on Processing, Data Files and Individual Liberties (Law of 6.01.1978 on IT, files and freedoms)	Law on Electronic Signatures No. 2000-230	Governmental Action Programme "Preparing for the Information Society" (PAGSI); Ministerial Action Programmes (PAMSI)
9. Germany						
Year	2006	1976	1975	1990 (1976)	1997	1999 (1996)
Date	01 Jan. 06	25 July 76		20 Dec. 90 (27 Jan. 077)	13 June 97	Nov. 99 (Feb. 96)
Title	Federal Freedom of Information Act	Act on Administrative Procedure	No Ombudsman at the federal level. The Parliament's (Bundestag) petitions committee	Federal Data Protection Act (last amended in 2000)	Digital Signatures Act enacted as Art. 3 of the Information and Communication Services Act (last amended 2001)	Action Programme "Innovation and Jobs in the Information Society of the 21st Century" (Info-2000: Germany's way to the Information Society)
10. Greece						
Year	2000 (1986)	1999	1997	1997	1998	1999 (1995)
Date				Apr. 97		Feb. 99
Title	Right of Access to Administrative Document (Act No. 1599/1986 on Access to Information)	Law No. 2690/1999 Code on Administrative Procedure	Law No. 2477/1997 establishing the Ombudsman	Law No. 2472/1997 on the Protection of Individuals with Regards to the Processing of Personal Data	Law No. 2672/1998 on Information by E-mail	2nd White Paper "Greece in the Information Society: Strategy and Actions" (White Paper "Greek Strategy for the Information Society")

	Law on Access to Information and Documents	Law on Administrative Procedure	Law on Ombudsman/ Commissioner	Law on Privacy and Data Protection	Law on Electronic Data and Signatures	E-government policy
11. Hungary						
Year	1992	1991 (1957)	(1990)	1992	2001; 2003	2003
Date	(Combined FOI and Data Protection Act)		(Under the Constitution)	(Combined FOI and Data Protection Act)	29 May 01, 24 Nov. 03	Nov. 03
Title	Act LXIII of 1992 on the Protection of Personal Data and the Publicity of Personal Data of Public Interest	General Rules of State Administration Procedures Act XXVI (Act IV of 1957)	(3 Parliamentary Commissioners for civil rights; ethnic and national minorities; data protection)	Act LXIII of 1992 on the Protection of Personal Data and the Publicity of Personal Data of Public Interest	Act on Electronic Signature Act on Electronic Communications	Hungarian Information Society Strategy (MITS) 1126/2003. (XII. 12.)
12. Iceland						
Year	1996	1993	1988	1989		2004
Date				Dec.		Apr. 04
Title	Information Act	Administrative Act	Office of Ombudsman was established	Act Concerning the Registration and Handling of Personal Data		Resources to Serve Everyone: Policy of the Government of Iceland on the Information Society 2004 – 2007
13. Ireland						
Year	1997	1990	1980	1988	2000	1999 (1997)
Date	21 Apr. 97		14 July 80		10 July 00	Jan. 99 (Mar. 97)
Title	Freedom of Information Act No. 13	n.a.	Ombudsman Act	Data Protection Act	Electronic Commerce Act	Implementing the Information Society in Ireland: An Action Plan (Information Society Ireland: Strategy for Action)
14. Italy						
Year	2005 (1990)	2000 (1971)		2003 (1996)	2006 (2005)	2007 (2000)
Date	11 Feb. 05; 14 May 05	21 July 01		30 June 03	04 Apr. 06	Mar. 07
Title	Law No. 15/2005 (11 Feb) Law No. 80/2005 (14 May) (Law No. 241/1990 on Access to Administrative Documents)	Law No. 205/ 2000 Administrative Procedure Law (Law No. 1034/1971) Establishment of (regional) Administrative Court)	No Ombudsman at national level (only sub-national level). Since 1990, a government "Commission for access to administrative documents" ensures oversight.	Legislative Decree No. 196/2003 (30 June) Personal Data Protection Code (Protection of Individual and Other Subjects with regard to the Processing of Personal Data Act N° 675/1996)	Legislative Decree No. 159/2006 (4 Apr) Legislative Decree No. 82/2005 (7 March) Digital Administration Code	Directive of the Minister of Public Administration on information exchange among public administrations Toward the e-gov National Plan 2007 (E-Government Action Plan)

	Law on Access to Information and Documents	Law on Administrative Procedure	Law on Ombudsman/ Commissioner	Law on Privacy and Data Protection	Law on Electronic Data and Signatures	E-government policy
15. Japan						
Year	1999	1994	1984 (1966)	2005	2000	2003 (2001)
Date	14 May 99	01 Oct 94		1 Apr. 2005	24 May 00	July 03 (29 Mar. 01)
Title	Law Concerning Access to Information Held by Administrative Organs	Administrative Procedure Act	No parliamentary ombudsman [Administrative Inspection Bureau (Administrative Counsellor's Law) functions as a point of appeal]	Act for Protection of Personal Information Held by Administrative Organs	Law Concerning Electronic Signatures and Certification Services	eJapan strategy II 2003 (E-Japan Priority Policy Programme)
16. Korea						
Year	1996	1996	1994	1999	2001	2002 (1999)
Date	31 Dec. 96	31 Dec. 96	Apr. 94	8 Feb. 99	27 Feb. 01; 5 Feb. 99	Apr. 02
Title	Act on Disclosure of Information by Public Agencies	Administrative Procedure Act	Ombudsman of Korea	Act on Promotion of Utilisation of Information System and Protection of Information;	Electronic Government Act; Digital Signature Act	E-Korea Vision 2006 (E-Government Project; Cyber-Korea 21)
17. Luxembourg						
Year		1978	2003	2002	2000	2004
Date		1 Dec. 78	22 Aug. 03	02 Aug. 02 and 30 May 05	14 Aug. 00	12 Nov. 04
Title	Law on access to information currently being drafted by the Ministry of State (Sept. 2008)	Law on Administrative Litigation	Law establishing an ombudsman	Law on the Protection of Data Law on the Protection of Electronic Data and Communication	Law on Electronic Signatures, Electronic Payment and on the Creation of an Electronic Commerce Committee	Commission for the Modernisation of the State Commission for Administrative Simplification (in favour of SMEs) (created Dec. 2004)
18. Mexico						
Year	2002	1995	1992		2000	2001
Date	June 02	01 June 95	23 June 92		7 June 00	
Title	Federal Transparency and Access to Public Government Information Law	Federal Law on Administrative Procedure	Law of the commission of human rights	No specific privacy law (in the Constitution, Penal Code Article 214)	E-Commerce Act (covers privacy, e-signature and e-documents)	The National e-Mexico System
19. Netherlands						
Year	1998, (1992, 1980, 1978)	1998	1999 (1981)	2001 (1988)	2003	1999
Date	18 June 98	01 Jan. 98	12 May 99 (31 Feb. 81)	01 Sep. 01	08 May 03	Mar. 99
Title	Government Information Act Stb. 356 (9-Nov-78 St. 581)	General Administrative Procedural Law Act	National Ombudsman Act	Personal Data Protection Act (Data Registration Act)	Law on Electronic Signatures	Electronic Government Action Programme

	Law on Access to Information and Documents	Law on Administrative Procedure	Law on Ombudsman/ Commissioner	Law on Privacy and Data Protection	Law on Electronic Data and Signatures	E-government policy
20. New Zealand						
Year	1982	2001 (1969)	2003 (1975, 1962)	1994 (1993)	2002	2003 (2001)
Date			21-Oct-03			Jun-03
Title	Official Information Act	Administration Amendment Act (Administration Act)	Ombudsmen Act	Privacy Amendment Act (Privacy Act)	Electronic Transactions Act	government.nz@your.service
21. Norway						
Year	1970	1970	1962	2000 (1978)	2001	2002 (1999)
Date	19 June 70	10 Feb. 70		14 Apr. 00 (9 June 78)	15 June 01	May 02
Title	Freedom of Information Act	Public Administration Act	Act on the Parliamentary Ombudsman for Public Administration	Act N° 31 on the Processing of Personal Data (Act on Personal Data Registers)	Act 2001/81 on Electronic Signature	eNorway 2005 Action Plan (E-Government Action Plan)
22. Poland						
Year	2001	1999 (1960)	1987	1997	2001	2004
Date	6 Sep. 01	01 Jan. 99 (14 June 60)	15 July 87	29 Aug. 97	18 Sep. 01	Jan. 04
Title	Law on Access to Public Information	Act on Administrative Proceedings Code	Act on the Ombudsman	Law on the Protection of Personal Data	Act on Electronic Signatures	The Strategy on the Development of the Information Society in Poland
23. Portugal						
Year	1993	1976	1996 (1991, 1975)	1998	2003	2003 (2000)
Date	26 Aug. 93		14 Aug. 96 (9 Apr. 91)	Oct. 98	3 Apr. 03	Feb. 03 (22 Aug. 00)
Title	Law n° 65/93	Code of Administrative Procedure	Statute of the Ombudsmen	Law N° 67/98 on the Protection of Personal Data	Electronic Signatures Decree-Law (Decree-Law n° 62/2003)	e-Government action plan (Internet Initiative RCM No. 110/2000)
24. Slovak Republic						
Year	2000		2001	2002 (1998)	2002	2008 (2001)
Date	17 May 00		23 Feb. 01	3 July 02 (Feb. 98)	15 Mar. 02	
Title	Act on Free Access to Information		Constitutional Statute No. 90/ 2001 Coll. (constitutional amendment creating a Public Defender of Rights)	Act n. 428/2002 on Personal Data Protection	Act n. 215/2002 on Electronic Signatures	Strategy of the Information Society of the Slovak Republic 2008 (Policy for the Development of the Information Society in the Slovak Republic)

	Law on Access to Information and Documents	Law on Administrative Procedure	Law on Ombudsman/ Commissioner	Law on Privacy and Data Protection	Law on Electronic Data and Signatures	E-government policy
25. Spain						
Year	1998 (1992)	1999 (1992, 1958)	(1981)	1999 (1992)	2003	2003 (1999)
Date	13 July 98 (26 Nov. 92)	(26 Nov. 92, 17 July 58)		13 Dec. 99 (Oct. 92)	19 Dec. 03	Dec 99
Title	Law No. 29/1998 (Law No. 30/92 on Public Administration and Common Administrative Procedures)	Act on Administrative Procedure	(Under the Constitution)	Personal Data Act (Law on the Regulation of the Automatic Processing of Personal Data)	59/2003 Law on digital signature	Plan de Choque para el impulso de la Administración Electrónica (Strategic Investment Plan for IT)
26. Sweden						
Year	1994 (1766)	1998	1986 (1809)	1998 (1994, 1973)	2000	2002 (2000)
Date			13 Nov. 86	29 Apr. 98	Apr. 00	Nov. 02
Title	Freedom of Information Act (Freedom of Press Act now part of the Constitution)	Government Public Administration Bill	The Act with Instructions for the Parliamentary Ombudsmen	Personal Data Act (Personal Data Protection Act)	Act on Qualified Electronic Signature (2000:832) (Regulation on Services concerning Electronic Certifications)	The Swedish e-Government Strategy (National Strategy for Information Society)
27. Switzerland						
Year	2004	1968		1992	2003	2002 (1998)
Date	17 Dec. 2004	20 Dec. 68		19 June 92	19 Dec. 03	13 Feb. 02 (18 Feb. 98)
Title	Freedom of Information Act	Federal Act on Administrative Procedure	(Creation of a federal ombudsman was rejected by parliament on 16 June 2004)	Data Protection Act	Federal Act on Digital Signatures	E-Government Strategy (Strategy for an Information Society in Switzerland)
28. Turkey						
Year	2003				2004	2006
Date	9 Oct. 03				15 Jan. 2004	
Title	Law on the Right to Information (Law No 4982)				Law on Electronic Signature	Information Society Strategy for 2006-10
29. United-Kingdom						
Year	2000	2000	1994 (1967)	1998 (1984)	2002 (2000)	1999
Date	31 Jan. 00	Nov. 00		July 98	14 Feb. 02 (25 May 00)	30 Mar. 99
Title	Freedom of Information Act	Code of practice on Written Consultation	Parliamentary Commissioner Act	Data Protection Act	The Electronic Signatures Regulations (Electronic Communication Act)	Modernising Government White Paper New: March 2000

	Law on Access to Information and Documents	Law on Administrative Procedure	Law on Ombudsman/ Commissioner	Law on Privacy and Data Protection	Law on Electronic Data and Signatures	E-government policy
30. United States						
Year	1996 (1966)	1946		1974	1999; 1997;1996	2002
Date	Oct. 96				Oct. 96	17 Dec. 02
Title	Electronic Freedom of Information Act (Freedom of Information Act)	Administrative Procedure Act	No national ombudsman	Privacy Act	-Digital Signatures Act -Electronic Data Security Act -Electronic Freedom of Information Act	The "E-Government Act" (H.R. 2458)
31. European Commission						
Year	2001 (1999)		2002 (1994)	2000 (1995)	1999	2006
Date	30 June 01			18 Dec. 00		25 Apr. 06
Title	Access to Documents Regulation 1049/2001 (The Amsterdam Treaty 1999)		Statute of European Ombudsman (first appointed in 1995) (Treaty of Maastricht 1992)	Regulation 45/2001 (of 18 Dec. 2000) on the protection of individuals with regard to the processing of personal data by the Community institutions and bodies and on the free movement of such data. (EC Data Protection Directive (95/46/EC))	Directive for the Electronic Signature	i2010 eGovernment Action Plan: Accelerating eGovernment in Europe for the benefit of all

Source: Country feedback on "Annex to the Draft Report From Open to Inclusive: Building Citizen-Centred Policy and Services" [GOV/PGC(2008)8/ANN] received by 16 May 2008. Country feedback on "Factsheet on Open Government" [GOV/PGC(2004)18/ANN received by 15 November 2004. Country responses to the OECD/PUMA questionnaire on "Strengthening Government-Citizen Connections" [PUMA/CIT(2000)1], received in the Autumn of 1999. Country responses to the OECD/PUMA questionnaire on "Parliamentary Procedures and Relations" [PUMA/LEG(2000)1], received in the Summer of 2000. "Comparative Analysis of the Member States' Legislation Concerning Access to Documents", Secretariat General of the European Commission, January 2000.

ANNEX B

Oversight Institutions for Open Government

	Ombudsman	Parliamentary Commissioners[1]	Supreme Audit Institution[2]
Australia	Commonwealth Ombudsman [est. 1976] Link: *www.comb.gov.au*	President and Commissioners, Human Rights and Equal Opportunity Commission Federal Privacy Commissioner Link: *www.privacy.gov.au*	The Auditor General [est. 1901] Link: *www.anao.gove.au*
Austria	The Austrian Ombudsman Board (Volksanwaltschaft) [est. 1977] Link: *www.volksanw.gv.at* Federal Children's Ombudsman (Kinder and Jugend Anwaltschaft des Bundes) [est. 1989]	Data Protection Commission (Datenschutzkommission) Link: *www.dsk.gv.at*	The Court of Audit (Rechnungshof) [est. 1761] Link: *www.rechnungshof.gv.at*
Belgium	The Federal Ombudsman (De Federale Ombudsman) [est. 1995] Link: *www.federalombudsman.be* At the regional level: – Flemish Ombudsman Service [est. 1998] Link: *www.vlaamseombudsdienst.be* – Wallonien Ombudsman (Le Médiateur de la Région Wallonne) [est. 1994] Link: *mediateur.wallonie.be*	Commission for the protection of privacy Link: *www.privacy.fgov.be*	The Court of Audit (Rekenhof/ Cour des Comptes) [est. 1846] Link: *www.courdescomptes.be*
Canada	(Ombudsmen at provincial level starting in 1967)	Information Commissioner Link: *www.infocom.gc.ca* Federal Privacy Commissioner Link: *www.privcom.gc.ca*	The Office of the Auditor General [est. 1878] Link: *www.oag-bvg.gc.ca*
Czech Republic	Public Defender of Rights (Ombudsman) [est. 1999] Link: *www.ochrance.cz*	The Office for Personal Data Protection Link: *www.uoou.cz* The Commissioner for Civil Rights Protection	Supreme Audit Office [est. 1993] Link: *www.nku.cz*
Denmark	Ombudsman (Folketingets Ombudsmand) [est. 1954] Link: *www.ombudsmanden.dk*	The Danish Data Protection Agency Link: *www.datatilsynet.dk*	The National Audit Office (Rigsrevisionen) [est. 1975] Link: *www.ftrr.dk*
Finland	Parliamentary Ombudsman (Eduskunnan oikeusasiamies/Riksdagens justitieombudsmans kansli) [est. 1919] Link: *www.oikeusasiamies.fi* Ombudsman for minorities Link: *www.mol.fi/vahemmistovaltuutettu/ombudsmaneng.html* Ombudsman for equality Link: *www.stm.fi/Resource.phx/tasa-arvo/english/authorities/ombudsman/ombudsman.htx*	Data Protection Ombudsman Link: *www.tietosuoja.fi*	The State Audit Office (Valtiontalouden tarkastusvirasto/Statens revisionsverk) [est. 1824] Link: *www.vtv.fi*
France	Ombudsman of the Republic (Le Médiateur de la République) [est. 1973] Link: *www.mediateur-de-la-republique.fr*	Data Protection Commissioner (Commission Nationale d'Informatique et des Libertés) Link: *www.cnil.fr*	The Court of Accounts (Cour des Comptes) [est. 1807] Link: *www.ccomptes.fr*
Germany	Petitions Committee of the German Bundestag (Petitionsausschuss) Link: *www.bundestag.de/htdocs_e/orga/03organs/04commit/02commper/comm02.html*	The federal data protection commissioner (Bundesbeauftragten für den Datenschutz) Link: *www.bfd.bund.de*	The Federal Audit Court (Bundesrechnungshof) Link: *www.bundesrechnungshof.de/1024.html*
Greece	The Greek Ombudsman, [est. 1998] Link: *www.synigoros.gr*	Hellenic Data Protection Authority Link: *www.dpa.gr/home_eng.htm*	Supreme Court of Audit

	Ombudsman	Parliamentary Commissioners[1]	Supreme Audit Institution[2]
Hungary		Parliamentary Commissioner for the rights of national and ethnic minorities Parliamentary Commissioner for civil rights Parliamentary Commissioner for data protection Link (portal): *www.obh.hu*	State Audit Office, 1868 Link: *www.asz.gov.hu*
Iceland	The Althing Ombudsman (Umboðsmaður Alþingis) Link: *www.umbodsmaduralthingis.is/english.asp* Ombudsman for Children, 1988 Link: *www.barn.is/erlent/english.html*	Data Protection Agency Link: *www.personuvernd.is/tolvunefnd.nsf/pages/index.html*	National Audit Office (Ríkisendurskoðun) Link: *www.rikisend.is*
Ireland	The Ombudsman [est. 1980] Link: *www.irlgov.ie/ombudsman*	Data Protection Commissioner (Coimisinéir Cosanta Sonraí) Link: *www.dataprivacy.ie*	Office of the Comptroller and Auditor General [est. 1866] Link: *www.irlgov.ie*
Italy	Italy does not have a national Ombudsman. However, it does have an extensive network of regional ombudsmen (*difensore civico*).	Data Protection Commissioner Link: *www.garanteprivacyit*	Corte dei Conti, [est. 1862] Link: *www.corteconti.it*
Japan	Office of Trade and Investment Ombudsman Link: *www5.cao.go.jp/access/English/oto_main_e.html*	Administrative Inspection Bureau	Board of Audit [est. 1880] Link: *www.jbaudit.go.jp*
Korea	The Ombudsman of Korea, [est. 1994] Link: *www.ombudsman.go.kr/english/index.html*		Board of Audit and Inspection [est. 1948] Link: *www.bai.go.kr*
Luxembourg	Ombudsman (Le Médiateur au service des citoyens), [created by law of 22 Aug. 2003] Link: *www.ombudsman.lu*	National Data Protection Commission Link: *www.cnpd.lu* (24 Parliamentary commissions: 4 regulatory commissions, especially the Commission of Petitions; 19 permanent commissions, 1 special commission, public hearings) Link: *www.chd.lu*	Court of Auditors (Cour des Comptes) Link: *www.cour-des-comptes.lu*
Mexico		National Commission for Human Rights (Comisión Nacional de los Derechos Humanos) [est. 1992] Link: *www.cndh.org.mx*	Supreme Audit Office (Auditoría Superior de la Federación) [est. 1824] Link: *www.asf.gob.mx*
Netherlands	National Ombudsman (De Nationale Ombudsman) [est. 1982] Link: *www.ombudsman.nl*	Data Protection Authority Link: *www.cbpweb.nl/en/index.htm*	Court of Audit (Algemene Rekenkamer) Link: *www.rekenkamer.nl*
New Zealand	The Ombudsmen [est. 1962] Link: *www.ombudsmen.govt.nz*	Privacy Commissioner Link: *www.privacy.org.nz/top.html*	Controller and Auditor General Link: *www.oag.govt.nz*
Norway	Parliamentary Ombudsman for Public Administration, [est. 1962] Link: *www.sivilombudsmannen.no*	Data Inspectorate Link: *www.datatilsynet.no*	Office of the Auditor General (Riksrevisjonen) [est. 1816] Link: *www.riksrevisionen.no*
Poland	Ombudsman for Children (Rzecznik Praw Dziecka) Link: *www.brpd.gov.pl/ang.htm*	General Inspector of Personal Data Protection Link: *www.giodo.gov.pl* Commissioner for Civil Rights Protection (Rzecznika Praw Obywatelskich), 1987 Link: *www.brpo.gov.pl/index.php?e=1*	Supreme Chamber of Control (Najwyzsa Izba Kontroli), [est. 1808] Link: *www.nik.gov.pl*

	Ombudsman	Parliamentary Commissioners[1]	Supreme Audit Institution[2]
Portugal	Office of Justice (Provedor de Justiça) [est. 1975] Link: *www.provedor-jus.pt/ingles*	National Commission on Data Protection Link: *www.cnpd.pt*	Court of Auditors (Tribunal de Contas) [est. 1279] Link: *www.tcontas.pt*
Slovak Republic	The Public Defender of Rights [est. 2002] Link: *www.vop.gov.sk/langEnglish* The Bank Ombudsman [est. 2007] Link: *www.bankovyombudsman.sk*	The Office for Personal Data Protection Link: *www.dataprotection.gov.sk* Public Defender of Rights, 2001 Link: *www.vop.gov.sk*	The Supreme Audit Office [est. 1782] Link: *www.nku.gov.sk/english/index_eng.html*
Spain	People's Defender (*Defensor del Pueblo*) [est. 1981] Link: *www.defensordelpueblo.es*	Data Protection Agency (Agencia Espanola de Protección de Datos) Link: *www.agpd.es*	Court of Acccounts (Tribunal de Cuentas), [est. 1828] Link: *www.tcu.es*
Sweden	The Parliamentary Ombudsman (Riksdagens Ombudsmän) [est. 1809] Link: *www.io.se*	Data Inspectorate Link: *www.datainspektionen.se*	National Audit Office (Riksrevisionen) [est. 2003] Link: *www.riksrevisionen.se*
Switzerland	The creation of a federal ombudsman was rejected by parliament on 16 June 2004	Data Protection Commissioner Link: *www.edsb.ch/framese.html*	Federal Audit Office [est. 1852] Link: *www.efk.admin.ch/englisch/index.htm*
Turkey	Law on Ombudsman adopted 13 September 2006, subsequently suspended by a Constitutional Court ruling.		Court of Accounts [est. 1862] Link: *www.sayistay.gov.tr/english_tca/eng.asp*
United Kingdom	The Northern Ireland Ombudsman Link: *www.ni-ombudsman.org.uk*	Information Commissioner Link: *www.dataprotection.gov.uk*	National Audit Office, [est. 1983] Link: *www.nao.org.uk*
United States	Many regional and local ombudsmen	Small business ombudsmen (also called "national ombudsman") Link: *www.epa.gov/sbo/*	General Accounting Office [est. 1921] Link: *www.gao.gov*
European Union	The European Ombudsman, [est. 1995] Link: *www.euro-ombudsman.eu.int/home/en/default.htm*	European Parliament Committee of Petitions Link: *www.europarl.europa.eu/committees/peti_home_en.htm*	European Court of Auditors [est. 1977] Link: *www.eca.eu.int/index_en.htm*

1. Useful link: *www.privacylaws.com/links/linknational.htm*.
2. Useful link: *www.eurosai.org/direc_mien.htm*.

ANNEX C

Members of the OECD Steering Group on Open and Inclusive Policy Making (2007-2008)

Austria	Ms. Rita TRATTNIGG Austrian Federal Ministry of Agriculture, Forestry, Environment and Water (BMLFUW) Dept. EU-Affairs Environment
Czech Republic	Miss Barbora KURIKOVA Department of Regulatory Reform and Public Administration Quality Ministry of the Interior
	Mr. Jiri MAREK Co-ordinator of international relations for public administration Modernisation of Public Administration Department Ministry of the Interior
Finland	Ms. Katju HOLKERI Head, Governance Policy Unit Ministry of Finance
Korea	Mr. Han Cheol CHU Director of Institutional Innovation Team Ministry of Government Administration and Home Affairs (MOGAHA)
	Mr. Jo Byung KON Ministry of Government Administration and Home Affairs (MOGAHA)
The Netherlands	Mr. Jan SCHRIJVER Explorer of governance Ministry of Internal Affairs
Norway	Mr. Terje DYRSTAD Deputy Director General Ministry of Government Administration and Reform
	Mrs. Ottil Fasting THARALDSEN Deputy Director General Departement of Employers Affairs Ministry of Government Administration and Reform
Slovak Republic	Mr. Ivan ISTVANFFY Director-General Section for the Foreign Financial Assistance Management and Implementation Office of the Government of the Slovak Republic
	Mrs. Denisa KUTYOVA Director, Department of the Management and Implementation of EC Assistance and Technical Assistance for OP IS Office of the Government of the Slovak Republic
Slovenia	Ms. Irma MEŽNARIČ Ministry of Public Administration
Switzerland	Dr. Thomas BÜRGI Planung und Strategie Federal Chancellery
	Dr. Hanna MURALT MÜLLER Chargée de mission pour les questions internationales Federal Chancellery

Turkey	Mrs. Ilgin ATALAY Head of the Foreign Relations Department Foreign Relations Department Prime Ministry
	Mr. Güngör ISIK Expert Prime Ministry
	Mr. Bilal ÖZDEN Expert Prime Ministry
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	Mr. Ian JOHNSON Head of Democratic Engagement Branch Ministry of Justice
	Ms. Elspeth RAINBOW Policy Advisor Democratic Engagement Branch Ministry of Justice
	Mr. Nic SUGGIT National School of Government

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ANNEX D

Civil Society Respondents to the 2007 OECD "Questionnaire for Civil Society Organisations on Open and Inclusive Policy Making"

Australia

- Heart Foundation of Australia
- The Salvation Army Australia Eastern Territory
- World Vision Australia
- Australian Chamber of Commerce and Industry

Austria

- AGEZ – Arbeitsgemeinschaft Entwicklungszusammenarbeit (Working Association for Development Co-operation)
- Federation of Austrian Industry
- Österreichischer Seniorenrat (Bundesaltenrat Österreichs) Austrian Council of Senior Citizens (Federal Council of Elderly)
- ÄrztInnen für eine gesunde Umwelt (ISDE Austria) Austrian Society of Doctors for the Environment
- GLOBAL 2000/Friends of the Earth Austria
- Umweltdachverband (Environmental Umbrella Association, Austria)

Czech Republic

- Union of Towns and Municipalities of the Czech Republic
- The Confederation of Industry of the Czech Republic (SP)
- Czech Chamber of Commerce
- Healthy Cities of the Czech Republic

Finland

- The Central Union of Tenants
- Central Union for Child Welfare
- The Citizen Forum
- Association of tenants and home owners
- The Finnish Association of the Deaf

France

- Amnesty International France
- National Union of Outdoor Sports Centres (UCPA)
- Civic and Social Women's Union (UFCS)
- WWF-France
- National interfederal union of private health and social organisations and programmes (NIOPSS)

Germany

- Heinrich-Böll-Stiftung Foundation

Hungary

- Hungarian Trade Union of Civil Service Employees (MKKSz)

Italy

- Italian Confederation of Workers' Trade Unions (CISL)
- Cittadinanzattiva
- CONFINDUSTRIA

Netherlands

- Vereniging voor Openbaar Onderwijs
- Federation Dutch Trade Union (FNV)
- Dutch Council for Refugees

Norway

- The Federation of Norwegian Professional Associations (Akademikerne)
- Association of NGOs in Norway (Frivillighet Norge)
- Norwegian Confederation of Trade Unions
- POPULUS – Adult Association of Popular Learning
- Norwegian Railway Club
- Norwegian Red Cross

Poland

- Institute for Sustainable Development
- Polish Red Cross National Society
- NSZZ "Solidarność"

Slovenia

- Legal Informational Centre for NGOs (PIC)
- Peace Institute – Institute for Contemporary Social and Political Studies
- Focus Association for Sustainable Development
- Consumer Association of Slovenia
- Slovenian Association for Mental Health (ŠENT)

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Turkey

- Turkish Industrialist's and Businessmen's Association (TUSIAD)
- Economic Development Foundation (IKV)
- Economic Policy Research Foundation of Turkey (TEPAV)
- Independent Industrialist's and Businessmen's Association (MÜSIAD)
- Turkish Economic and Social Studies Foundation (TESEV)

UK

- National Association for Voluntary and Community Action (NAVCA)
- Action with Communities in Rural England (ACRE)
- National Council of Voluntary Child Care Organisations (NCVCCO)

ANNEX E

Glossary

Open	An "open" government is one that is: • transparent and exposed to public scrutiny; • accessible to anyone, anytime, anywhere; and • responsive to new ideas and demands.
Inclusive	Building as wide a variety of citizens' voices into the policy making process as possible. The act of "inclusion" means in practice: • lowering the barriers of entry to participation for the people that are currently willing, but unable to participate; • increasing the appeal of participation for the people who are currently able, but unwilling to participate.
Policy making	Includes **all** stages of the policy cycle: agenda setting, policy options, decision making, implementation and evaluation.
Open and inclusive policy making	Policy making that is transparent, accessible and responsive to as wide a range of citizens as possible.
Policy cycle	The entire sequence of (often iterative) activities and steps in making policy, ranging from agenda setting to evaluation.
Information	A one-way relation in which government produces and delivers information for use by citizens. It covers both "passive" access to information upon demand by citizens and "active" measures by government to disseminate information to citizens.
Consultation	A two-way relation in which citizens provide feedback to government. It is based on the prior definition by government of the issue on which citizens' views are being sought and requires the provision of information.
Active participation	A relation based on partnership, where citizens actively engage in the policy making process. It acknowledges a role for citizens in proposing policy options and shaping the policy dialogue – although the responsibility for the final decision or policy formulation rests with government.

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Civil society organisation (CSO)	The multitude of associations around which society voluntarily organizes itself and which represent a wide range of interests and ties. These can include community-based organisations, indigenous peoples' organisations and non-government organisations.
Efficiency	Efficiency means achieving maximum output from a given level of resources used to carry out an activity.
Effectiveness	Effectiveness means the extent to which the activity's stated objectives have been met.

Source: OECD, 2001a and OECD Glossary of Statistical Terms, *http://stats.oecd.org/glossary,* (accessed 1 October 2008).

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OECD Studies on Public Engagement

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PUBLIC ENGAGEMENT FOR BETTER POLICY AND SERVICES

Complex policy issues cannot be solved by government alone. Delivering high-quality public services at the least cost and achieving shared public policy goals requires innovative approaches and greater involvement of citizens. While OECD countries have successfully opened up their public policy processes in the past decade, they are only now beginning to recognise the need for greater inclusion. How can governments maintain high levels of openness in decision making and strengthen public trust? How can they ensure the participation of people who are "willing but unable" and those who are "able but unwilling"?

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"We cannot engage the public only on issues of service delivery, but need also to seek their views, energy and resources when shaping public policy. To do otherwise is to create a false distinction between design and delivery, when in the citizens' eyes it is all connected."

Irma Pavlinič Krebs, Minister of Public Administration, the Republic of Slovenia

"*Focus on Citizens* shines a light on the practical difficulties and significant benefits of open and inclusive policy making – not only for OECD member country governments but equally for non-member countries."

Bart W. Édes, Head, NGO and Civil Society Center, Asian Development Bank

The full text of this book is available on line via this link:
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