



Terms of Reference

Independent Evaluation of the Open Government Partnership

1. Introduction

The Department for International Development (DFID) and Hewlett Foundation (Hewlett) seek an evaluation team with extensive experience of complex evaluations in the field of governance to carry out an independent performance evaluation of the impact of the Open Government Partnership (OGP), especially but not limited to low- and middle-income countries. The OGP contributes to building more effective, open, accountable and inclusive institutions – at the core of Sustainable Development Goal 16 (SDG 16).

The evaluation will focus on the OGP as a process and platform to promote open governance reform, as well as the roles of its supporting institutions (Support Unit, Independent Reporting Mechanism (IRM) and Multi-Donor Trust Fund). The overarching aim is to learn what factors in various contexts influence the ambition and implementation of open governance reforms through the OGP process, and what types of support are most effective to influence positive outcomes.

The evaluation will firstly be for the benefit of the OGP and its funders, to inform the OGP's priorities, activities and use of resources. Secondly, it will be relevant for reformers in OGP member and non-member countries to understand how to use the OGP effectively to advance open government reforms. Thirdly, the evaluation may be relevant to wider policy discussions on open government reform, and to other multi-stakeholder initiatives such as the Extractive Industries Transparency Initiative (EITI). Results should be relevant at the country level, in select countries, as well as enable findings and lessons to be extrapolated globally to understand how to promote open government. The evaluation will start in the first quarter of 2019 and run for two years until May 2021. The evaluation may be extended for two more years until 2023 if additional funding can be secured.

To focus the scope, the evaluation will be limited to common policy themes in a subset of OGP member countries (and possibly subnational) to allow for in-depth and comparative examination of relevant causal mechanisms. A two-month inception phase will determine the scope of the evaluation, as well as the detailed evaluation approach, work plan and communications plan.

The preliminary budget for the implementation phase is amenable to the outcome of the inception phase. Given the possibility of additional funders supporting this evaluation beyond the initial two year time frame, the evaluator should also outline how the work can be scaled up if additional funds become available. The evaluation should aim to provide active and continuous learning through regular feedback in the form of reports, workshops, discussion forums and other types of learning tools. The evaluators will work closely with the OGP Support Unit and in-country experts.

The four objectives of this evaluation will be to:

1. **Understand the effectiveness**, as well as the factors that drive and block it, in different contexts of the OGP process to set ambitious National Action Plan (NAP) commitments and realize meaningful implementation, and the effectiveness of its supporting institutions to raise ambition and support implementation.
2. **Assess the impact**, as well as the factors that drive and block it, in different contexts of the policies resulting from the NAPs, focused on government responsiveness and accountability, the engagement of civil society and citizens with policies, and observable benefits that citizens experience. The scope of this objective will differ per policy theme, and largely depend on the degree to which impacts can be realistically measured¹.
3. **Generate continuous and participatory learning** on how to drive more ambition and more effective implementation of NAPs at country level, and how to understand the dynamics of reform over time, to strengthen the global evidence base on open governance;
4. **Improve the capacity and efficiency** of the supporting institutions of the OGP to more effectively target their resources and enhance ambition and implementation of National Action Plan commitments.

A comprehensive background to the evaluation can be found in Annex 1.

2. Scope

The evaluation is co-funded by the Hewlett Foundation, and may receive further funding from other organisations during the evaluation. The scope of the evaluation will be broader than DFID's contribution; it will not focus on performance against the DFID logframe for overall funding to OGP², and it will include non-DFID priority countries. The evaluation primarily serves a learning and capacity-building function, to understand how open governance reform through the OGP can be implemented in a meaningful way, and how it can best be supported. OGP and other partners should be included in the process, to ensure quality and uptake of findings. The evaluator should ensure that a schedule for feedback opportunities is coordinated with the OGP and other partners, to allow for new learning to feed into important decision points, where possible.

Furthermore, the OGP already undertakes substantial M&E work, and this evaluation should build upon rather than duplicate their efforts. It is therefore not necessary to revisit the current theory of change.

A list of preliminary research questions is detailed in Annex 2.

a. Policy themes

OGP action plans contain a large number of commitments to implement laws and policies, diverse both within and between countries. The scope of the evaluation will be limited to specific thematic areas to i) focus the analysis on thematic priorities for the OGP and funders, and ii) allow for comparisons of experiences within the

¹ Some impacts are tangible and can be linked to specific policies, such as 'services received', or 'times citizens held governments accountable using new official feedback mechanisms'. Other benefits, such as 'empowerment' or 'inclusion', are difficult to link to new policies.

² Though evaluation findings (including early findings) could be timed to inform DFID annual reviews which take place in May of each year.

thematic areas across countries³. Guidance on their selection can be found in Annex 3.

b. Country case studies

This evaluation will undertake comparative analysis in a selected number of the over 90 members participating in OGP, to facilitate deeper investigation of the causal mechanisms through which open government reforms materialize. Guidance on their selection can be found in Annex 3.

c. Cross-cutting areas

The evaluation should incorporate the following cross-cutting areas:

- Gender and inclusion. The evaluator should ensure an analysis of how gender, youth and other underrepresented groups engage in the OGP action plan process and/or are affected by the commitments in OGP action plans.
- Capacity building of the government and civil society partners. To what extent does the OGP support domestic actors to participate in open governance processes, including in the context of shrinking civil society space?
- Power relations. To what extent do power relations and dynamics between the participating groups in OGP processes determine outcomes?
- Value for Money. Which types of support by OGP's supporting institutions maximise VfM? For examples and additional guidance please see [here](#) and [here](#).

d. Users and audience of evaluation

The main audience for the evaluation is the OGP, to help it learn how to maximise its impact, and how to adapt to a variety of political and institutional contexts. The secondary audience is DFID, Hewlett Foundation and the other donors who may choose to support this evaluation in the future, to aid future decisions on how best to support the OGP moving forward. The evaluation should also become a public learning resource, for organisations working on open government reform, policy makers, evaluators and the broader public.

The evaluation approach itself should also be subject to improvement during several stages of the implementation. In this process, care should be taken that the integrity of the design is not lost, and data collected over the course of the evaluation remains of a uniform format to allow for comparison.

e. Contribution vs. attribution

Open policymaking is messy, and rarely linear. It operates in a complex and shifting policy environment, constrained by vested interests, and supported by reform champions. This evaluation is commissioned with the understanding that directly attributing positive outcomes or impact to the OGP is unrealistic. It is more likely that OGP has contributed to positive or negative outcomes as part of a set of causal and contextual factors. **This evaluation aims to understand OGP's contribution better, as well as the way it interacts with other contextual factors.**

³ These themes do not necessarily align with the themes on the OGP website, or in NAP guidance.

3. Timeline

This evaluation is meant to be forward looking. A large body of research, including a mid-term review of OGP has assessed OGP's effectiveness and early outcomes from 2011 to 2017 (see more in Annex 7). This evaluation must add value to existing literature on OGP and assess OGP's interventions and outcomes during the course of the evaluation.

The evaluation should investigate the entire action plan cycle for the selected OGP countries and locals, from design to implementation⁴ and review, to the extent possible. There may need to be a compromise where cycles are well underway during the start of the evaluation. This should be negotiated during the inception phase and when selecting countries to focus on.

The evaluation will run for two years from May 2019 until May 2021. However, there is a possibility to extend the evaluation for an extra two years if additional funding can be secured, and experiences from the first phase of the evaluation indicate that a second phase can add strong value. Thus, the evaluation should be designed for two years, but have the potential to be extended.

The evaluation will have two break points:

1. End of inception phase. The supplier will require formal approval from the Evaluation Steering Committee (ESC) (see Annex 5 for Governance Arrangements) before commencing work on the implementation phase. The ESC may terminate the contract at the end of the inception phase if the work undertaken during inception phase is unsatisfactory or agreement cannot be reached for the implementation phase.
2. 1 June 2020. There will be a break point at this stage to review supplier performance against delivery of the services. Progression of the services beyond these points will be subject to ESC approval of deliverables and satisfactory performance of the supplier.

4. Budget

The evaluator is expected to propose the final budget for the implementation phase during the inception phase. This budget should correspond to their assessment of the optimal scope of the evaluation in terms of number of country studies, policy themes and research questions.

The evaluation is co-funded by DFID and the Hewlett Foundation until May 2021. DFID funds the set amount of £500,000⁵. The Hewlett Foundation funds a minimum of \$400,000 but retains the option to increase this funding during the inception phase. This leads to a provisional budget of approximately £815,000, including all expenses, travel and VAT.

Apart from DFID and Hewlett, funding from other sources may also be secured once the final budget is proposed by the evaluator during the inception phase. The extra funding is expected to not exceed \$500,000.

⁴ See www.opengovpartnership.org to understand the steps involved in one cycle

⁵ DFID makes all financial commitments in pounds sterling.

When proposing the final budget, the evaluator should also propose the best ways to reduce the evaluation scope if the proposed budget cannot be met by the available sources.

Another window for funding will open before 1 June 2021 (which marks the end of DFID's funding) to allow for a possible extension. The process should start sufficiently in advance of this date to avoid a funding gap.

5. Methodology and data sources

There is no set approach to this evaluation, and tenderers are encouraged to be innovative in proposing their evaluation approach and methodology, that fits with the nature of OGP operations and best serves to answer the evaluation objectives questions. Whilst a final methodology will be decided upon during the inception phase, tenderers should submit a high-level proposal to the methodology, clearly reflecting its suitability to this evaluation, and disaggregated per objective.

See Annex 4 for more details on methodology and possible data sources.

6. Requirements of Evaluation Team

This contract is open to consortia that include evaluators and civil society organizations. Government and civil society collaboration is a critical element in the OGP model. Civil society organizations can be part of the consortium either as co-evaluator or thought partner(s). It is up to the bidder to propose which configuration is most valuable and feasible. However proposals should be clear that civil society will have an integral role in designing, and participating in, the evaluation.

The **essential** competencies and experience that the Evaluation Team will need to deliver the work are:

- Extensive knowledge of evaluation methods and techniques in complex settings;
- Very good policy knowledge and theoretical understanding of government transparency;
- Experience with conducting evaluations in DFID priority countries;
- In-depth knowledge of the political processes in the selected countries, and preferably a local presence in these countries;
- A track record of high quality, publishable and credible evaluations;
- Experience in conducting and coordinating multi-country evaluations;
- Ability to communicate evaluation findings and facilitate learning with a variety of stakeholders;
- Strong understanding of value for money, including experience in analysing the cost efficiency of policy influencing programmes;
- Strong research, report writing and communication skills.

Desirable competencies and experience are:

- Experience working with and/or writing on the Open Government Partnership or similar multi-stakeholder organisations;
- Good understanding of gender analysis and inclusion.
- Team diversity with respect to country national expertise, language skills, gender identity, multi-disciplinary, etc

7. Outputs

The evaluator is expected to maintain regular contact with the OGP and Evaluation Steering Committee (ESC) and has freedom in designing the delivery plan to accomplish the evaluation's objectives. However, the following outputs will be required at a minimum and must be approved by the ESC, for which the dates of submission must be agreed with the ESC and OGP:

Inception phase (2 May 2019 – 30 June 2019)

1. **Scope of the evaluation and the selection of policy themes and countries**, including trade-offs in cost and scope. This should be determined in the first half of the inception phase, to inform the other inception outputs. See Annex 3 for more details.
2. **Detailed evaluation approach and methodology**. This should be an inclusive process consulting the OGP and the ESC in the design and include tailored objectives and questions relevant to the theme and country and local selection.
3. **Detailed work plan and budget**, describing in greater detail the main milestones and outputs for the evaluation until May 2021, including the outputs described in this section.
4. **A creative learning and communications plan**, detailing feedback loops and learning opportunities to integrate the OGP Support Unit, ESC and the wider open government community to the evaluation. The evaluator is encouraged to propose an effective approach, but it could include i) regular informal opportunities for feedback, ii) brainstorm events with a small group of stakeholders, iii) working groups to regularly interrogate new evidence and its implications to OGP's theory of change and iv) learning events.
5. A **draft service level agreement** which details specific metrics and targets linked to each output.

Implementation phase (8 July 2019 – 31 May 2021)

1. **Quarterly progress reports** to the Evaluation Steering Committee. These may be brief and relatively informal but should at a minimum include a discussion of: i) progress towards the work plan, ii) latest findings, iii) communications and learning, iv) financial and management reporting, v) risks and challenges and vi) priorities for the next quarter. These reports will be submitted ahead of the quarterly meetings.
2. **Quarterly meetings** with the ESC and relevant stakeholders, to discuss the quarterly progress reports.
3. A **brief evaluation report due on 31 May 2020**, explaining in greater detail: i) preliminary findings, ii) challenges to implementation of evaluation approach, methodology and analysis, and iii) plans for the second year of the evaluation.
4. A final **main evaluation report** due on 31 May 2021.

8. Management arrangements and stakeholder involvement

The OGP will hold the contract with the evaluator and provide fiduciary and administrative support. To maintain independence of the evaluation, the ESC will oversee and manage the evaluation. The decision makers in the ESC will be the donors and two independent evaluation experts. OGP will be in an advisory capacity and will provide input in the design and direction of the evaluation, since the main

aim of this evaluation is to be a learning resource. The Transparency and Accountability Initiative (TAI) will help to convene regular meetings between the donors and the evaluator to discuss design and outcomes.

Bidders must identify possible conflicts of interest in the consortium composition or aspects of the methodology and highlight these in their proposals, alongside approaches to managing the possible conflicts of interest.

A detailed description of the roles and responsibilities between the evaluator, OGP and ESC can be found in annex 5.

The day-to-day contact for the evaluator will be the Finance and Operations Officer from OGP for matters regarding OGP's administrative and fiduciary support function. For matters that need to be discussed with the ESC, TAI will be the independent convener.

The evaluation will operate in several countries simultaneously. Each country will involve local experts and work in cooperation with the OGP's in-country representatives to take charge of:

1. Data collection, reporting and dissemination;
2. Coordination between OGP, local experts and the main evaluator.

The evaluator can be based internationally and will be required to use their own IT systems. The OGP Support Unit is headquartered in Washington D.C. and has staff located in each of the four regions – Americas, Africa, Asia and Europe. Country coordinators will be based in-country.

DFID, Hewlett and other donors will have unlimited access to the materials (products, reports, slide decks etc.) produced by the evaluator.

9. Further requirements of the evaluation

- All evaluations should uphold the highest standards of ethics throughout its operations, including DFID's Ethical Principles (Annex 9), and a statement that the researchers will comply with the ethics principles.
- The evaluation will uphold the UK International Development (Gender Equality) Act 2014 throughout its operations and is expected to give due consideration to gender throughout its activities.
- All research outputs will acknowledge DFID, Hewlett Foundation, and any other donor support clearly and explicitly, and which complies with guidance on using the UK Aid logo.
- Evaluators will be required to release open data on how money is spent, using the IATI Standard. Any subcontractors and/or partners will be required to deliver the same level of information. More information can be found on: <http://www.aidtransparency.net/>

Annex 1: Background

a. Context

Development requires open governments, institutions and societies, in which citizens have freedom and space to gather and express their views, can see how government spends their money, and are empowered to hold governments to account for their policies and actions. Open governments, institutions and societies are at the core of Sustainable Development Goal 16 (SDG16) which commits all countries to building 'effective, accountable and inclusive institutions at all levels', everywhere, ensuring that no-one is left behind. Democratic societies with governments that are open, transparent and accountable to the world's poorest promote equality and dignity of human beings.⁶ For example, evidence shows that ensuring that institutions are inclusive can contribute to levelling the playing field and providing all citizens with opportunities to participate in public life on equal terms⁷.

From an economic perspective, evidence shows that more transparent countries have higher foreign direct investment inflows and lower borrowing costs⁸. The 2017 Global Anti-Corruption survey polled more than 300 senior executives at US, European and Asian companies each with annual revenues of \$150 million or higher and found that 42% had pulled out of a deal due to corruption risks⁹. Furthermore, use of open government data can be a powerful lever for social and economic development. It can be used to strengthen public governance by improving the design of public services with a citizen-driven approach, by enhancing public sector efficiency and by spurring public sector integrity and accountability¹⁰.

At the same time, global governance problems appear to be increasing: trust in institutions is decreasing, civil society space is being restricted, media is under attack and there has been a resurgence of authoritarian tendencies. Civic actors (particularly civil society, activists and the media) are experiencing an unprecedented level of challenge to their ability to operate. This includes legal restrictions and policy directives, for instance on foreign funding, freedom of association, assembly and expression alongside informal targeting and closures, and increased violence and harassment. Between 2008 and 2016 freedom of expression declined in 15 of 24 DFID priority countries, and freedom of assembly reduced in 14.

Trends in governance globally both present a challenge to open government reform and emphasise its importance. The consequences of weakening transparency, accountability and democracy impact all countries: protracted crisis and extremism impact the lives of the poor and stall sustainable development. Donors and multi-stakeholder initiatives can play an important role in ensuring that reformers within and outside governments are supported to overcome these challenges to build more transparent institutions and inclusive societies.

b. The Open Government Partnership

The Open Government Partnership (OGP) is a multilateral and multi-stakeholder initiative with the convening power to drive global momentum for open government

⁶ Daron Acemoglu & James Robinson (2012), *Why Nations Fail: The Origins of Power, Prosperity, and Poverty*

⁷ <http://www.un.org/esa/socdev/rwss/2016/chapter5.pdf>

⁸ Forssbæck, J. and Oxelheim, L (eds). 2014. *The Oxford Handbook of Economic and Institutional Transparency*.

⁹ https://emarketing.alixpartners.com/rs/emsimages/2017/pubs/FAS/AP_Global_Anticorruption_Survey_May_2017.pdf?_ga=2.41840290.1682190560.1507130755-126164169.1507130755

¹⁰ <http://itad.com/works-social-accountability-findings-dfids-macro-evaluation/>

reform, to make governments *'more open, accountable and responsive to citizens'*¹¹. Starting with eight founding members in 2011, the OGP has expanded rapidly to over 90 member governments and subnational governments from around the world. It works through dialogue and collaboration between civil society and government to make governments more open as a route to greater government efficiency, effectiveness and accountability to citizens.

In order to join the OGP, governments must meet eligibility criteria on fiscal transparency, access to information laws, and citizen participation. They then work with civil society to design an action plan containing specific commitments for reform, which are implemented in 2-year cycles. Progress in delivering these commitments is independently monitored by the Independent Reporting Mechanism. The work of the OGP is supported by the OGP Support Unit (SU), a small, permanent secretariat. Part of the Support Unit is the Knowledge, Learning and Innovation Centre (KLIC), which is responsible for the OGP's monitoring, evaluation and learning strategy. Furthermore, the OGP has established, together with the World Bank, the OGP Multi-Donor Trust Fund (MDTF) to support World Bank client countries and local entities participating in the OGP. The support should create or implement national- or local-led commitments with potentially high impact.

The OGP is built on the premise that societies do better when people know about the decisions that affect them, when officials can hear from the public, and when the officials are answerable for their actions. Powerful interests often oppose such openness and accountability, to protect the gains from closed decisions. There is no blueprint for opening governance, or for making open governance work for citizens. Political dynamics and power relationships – who has power, how that power is exercised, the incentives that shape behaviour – vary from place to place. Opening governance, including at the subnational level, is an iterative process of shaping those political dynamics, and rebalancing power. It therefore requires local actors to constantly learn about, and adapt to, the conditions of particular political contexts.

The latest graphical representation of the OGP's theory of change, including a supporting narrative, can be found in Annex 3. In short, the OGP aims to contribute to achievement of SDG16 in two ways:

1. More effective, accountable and transparent institutions, and
2. More responsive, inclusive, participatory and representative decision-making.

This is to be achieved through a set of 'ultimate outcomes' (building on a set of lower level outcomes) which will be the main focus of the evaluation. These are:

- A strengthened normative framework on open government through policy reforms.
- A stronger regulatory environment for civil society and business.
- Improved official mechanisms for citizen participation.
- Evidence of improved public engagement with OGP commitments.
- Action Plans that address critical public priorities.
- Observable changes to government responsiveness and accountability.

c. Similar organisations/programmes

There are a number of significant actors working in the transparency and accountability field, including international NGOs, such as Transparency International and thematic transparency initiatives such as the EITI. The OGP works collaboratively with these

¹¹ OGP website

partners and is unique in a number of ways; it is the only umbrella organisation focused on transparency reforms across all thematic areas, it has an established global reputation and convening power across the north and south, and it is the only global initiative which works closely with both governments and civil society to develop and drive locally owned reforms. OGP has become one of the major platforms for NGOs and organisations working on open governance. For example, a coalition of Open Ownership, Transparency International, the ONE Campaign, and several governments including the UK, Indonesia, Nigeria and Ghana is using OGP to advance an agenda on beneficial ownership globally.

DFID has recently published the Transparency Agenda and the HMG Anti-Corruption Strategy which outline how openness and inclusivity of governments are fundamental to long-term inclusive growth. The Transparency Agenda presents DFID's vision to promote transparency through multiple pathways, including new global initiatives on beneficial ownership and open contracting, scaling up of related work in DFID partner countries and improving aid transparency. It commits the UK to continue to support the OGP as the main global initiative supporting countries to deliver comprehensive transparency action plans for reform.

d. Relevant research

OGP research

The OGP Support Unit and the Independent Reporting Mechanism (IRM) already collect a variety of useful strands of data (see Appendix 1), for purposes of monitoring, evaluation and deeper research. The research has also identified some key challenges to the OGP's work, most importantly the challenge to raise the ambition of countries' commitments, and the challenge to ensure meaningful implementation of these commitments.

It is critical that the evaluator does not duplicate this knowledge but adds value by using the available knowledge to inform the evaluation and delving into greater detail to investigate the drivers of OGP's success.

The IRM has recently identified two common challenges to achieving OGP's outcomes that will critically inform this evaluation:

- The ambition challenge¹² refers to the observation that the ambition of NAP commitments has grown slowly, but completion rates have grown much quicker. Thus, ambition appears to be a binding constraint to meaningful reform.
- The implementation challenge¹³ refers to the gap between OGP commitments and their implementation. In a 2017 research paper, the IRM found that by the end of the NAP implementation period, only about a third of commitments are fully implemented, and about 30% are 'substantially' implemented. The paper identifies common causes to be lack of funding and technical capacity, poor institutional coordination, lack of political support, discontinuity from one administration to another during political transition, and commitment objectives that are too vague to complete or do not align with the national context.

¹² http://www.opengovpartnership.org/sites/default/files/IRM-Report_Technical-Paper_20161130_web.pdf

¹³ https://www.opengovpartnership.org/sites/default/files/IRM_Technical-Paper_Failure_Dec2017.pdf

To overcome these challenges, a deeper understanding is required of the underlying mechanisms that determine success or failure, and how to ensure a more effective response by the OGP to varying political, economic and social contexts in the countries they operate. For instance, how can the OGP be more effective in increasing the will of political leaders to participate in the OGP, or enhance the voice of civil society in the OGP process? This evaluation should address these questions as much as possible.

Whilst both challenges will be present in all deep-dive countries and across policy themes, they will be relevant to varying degrees. For instance, the ambition challenge is likely to be more relevant for more recent commitments and the implementation challenge for more mature commitments.

Thinking and Working Politically

Furthermore, the evaluator is encouraged to link this evaluation to the Thinking and Working Politically (TWP) agenda¹⁴. Evidence shows that political factors are usually more important in determining developmental impact than the scale of aid funding or technical quality of programming. Success of aid implementation is strongly linked to taking the political environment into account. This evaluation could strongly benefit from a TWP perspective, because the OGP operates in a politically complex environment.

e. UK support to the OGP

The UK is a founding member of OGP, and the Government has been active in helping OGP to strengthen and expand. Currently 12 DFID priority countries are members of OGP. The OGP contributes to the Sustainable Development Goal 16 (SDG16) which commits all countries to build more effective, open, accountable and inclusive institutions at all levels, everywhere.

DFID funding to the OGP Support Unit enables support to country governments and civil society organisations when they first join the OGP, and throughout the process of developing and implementing meaningful, ambitious and locally led commitments in their National Action Plan. DFID funding has also contributed to the IRM, a critical tool for ensuring commitments are implemented and that OGP achieves real impact for citizens.

From May 2018 onwards, DFID will be supporting the OGP through a new three-year programme: 'Supporting Open Government and Transparency' (SOGAT), which has three main components:

1. Continued support to the **OGP Support Unit** and the IRM, to provide enhanced country support to design and implement open government reform commitments.
2. A new **OGP Multi-Donor Trust Fund** to support the design and implementation of reform commitments in policy priority areas.
3. An **independent evaluation** of progress, particularly in DFID priority countries, and the development of a **Global State of Open Government Reform report**.

f. Hewlett support to the OGP

¹⁴ <https://twpcommunity.org/>

Hewlett Foundation has directly supported OGP since its founding in 2011. From March 2018, Hewlett Foundation has committed \$3.75 million of unrestricted general support to OGP over three years. The Hewlett Foundation has made a commitment to co-fund the evaluation as a contribution to the field.

Annex 2: Evaluation questions

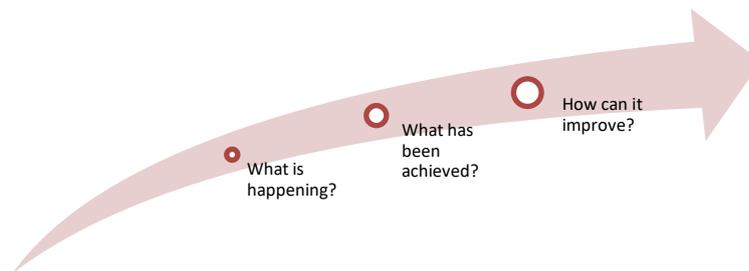
The initial set of potential evaluation questions are structured according to the OECD-DAC criteria. The 'Sustainability' criterium is not included and is instead replaced with 'Lessons'. It is beyond the scope of this evaluation to measure sustainability of the OGP beyond the 2- or 4-year duration of the evaluation. Instead, it aims to be sustainable by understanding dynamics of reform and learning how to adapt to different political contexts.

The primary criteria to address are:

1. **Relevance**. Are the outputs of the OGP process and its supporting institutions consistent with the goal to promote and enhance sustainable and inclusive open government reform?
2. **Effectiveness**. Has the OGP been effective in raising ambition and supporting implementation of OGP commitments?
3. **Impact**. What has been the impact of the policies resulting from action plans on government accountability and responsiveness, and benefits to citizens?
4. **Lessons**. How can the OGP supporting institutions and donors more effectively support sustainable and inclusive open government reform in varying and changing political contexts?

One secondary criterion is:

5. **Efficiency**. What are relevant measurements of programme efficiency in pushing through open government reform and using those what is the OGP's value for money?



The list of questions is preliminary and subject to adaptation based on the choice of policy themes. The questions in italics are priority questions for DFID and Hewlett.

1. Relevance

Main question:

- How consistent are the OGP's activities related to the chosen policy themes with the organization's goal to promote and enhance open government reform; and how relevant are they to country-level challenges?

Sub-questions:

- a. How does civil society use the OGP process for influence and advocacy of key policy reforms?
- b. Which groups of citizens engage more widely in the design, implementation or monitoring of OGP policy reforms? In which ways is inclusion promoted through the OGP platform?
- c. What factors, including high-level political support and the private sector, are relevant to successful institutionalization of the OGP processes?

- d. How are reformers learning and improving in designing and implementing open government policy reforms?

2. Effectiveness

Main question:

- How effective is the OGP in raising the ambition and supporting the implementation of National Action Plan commitments?

Sub-questions:

- a. To what extent has the OGP leveraged civil society and citizen voice to raise the ambition and implementation of NAP commitments? Which incentives are most important?
- b. To what extent has the OGP mechanism improved the ambition of high-level political leaders to commit to certain policy reform areas, and improved their will to support implementation? Which incentives are most important?
- c. To what extent has the country's engagement with the OGP on an international level (through e.g. international fora, changing norm-setting) contributed to higher ambition and better implementation of NAP commitments?
- d. To what extent has the OGP encouraged reformers to raise commitment ambitions and improved their capacity to design and implement policies resulting from NAP commitments? Which types of support have been most important?
- e. What other exogenous factors (e.g. election cycles, internet connectivity) and endogenous factors (e.g. role of the Support Unit, donor funding, inclusion of the private sector) impact the effectiveness of the OGP mechanism?
- f. How successful has the OGP been in promoting gender equality and inclusion in NAP commitments and their implementation? To what extent has the implementation of OGP commitments led to improved official mechanisms for citizen and civil society participation?

3. Impact

Main question:

- What has been the impact of the policy changes resulting from National Action Plan commitments¹⁵?

Sub-questions:

- a. To what extent do action plans reflect critical public policy priorities?
- b. To what extent have the policy changes resulting from action plan commitments increasingly empowered relevant parties to hold each other accountable? What factors are most crucial to success or failure?
- c. To what extent have the policy changes resulting from action plan commitments led to observable changes in government responsiveness and accountability? What factors are most crucial to success or failure?
- d. To what extent do citizens experience observable benefits from policy changes resulting from NAP commitments?
- e. To what extent is there evidence of improved public engagement with OGP commitments?
- f. To what extent has the implementation of OGP commitments led to a stronger regulatory environment for civil society and business?

4. Lessons and capacity-building

Main question:

¹⁵ The final articulation of particularly the impact questions will be dependent on the choice of policy themes, and the availability of data. It could also further draw on the ultimate outcomes articulated in the OGP's theory of change.

- What generalised lessons can be produced to achieve greater and more sustainable effectiveness and impact of the OGP in its aim to promote and enhance open governance?

Sub-questions:

- a. In a context of shrinking civil society space, how can the OGP better engage with civil society inclusively to enhance voice, and improve capacity to design key open government policies?
- b. How can the OGP more effectively encourage high-level political leaders to engage with the OGP, and improve their capacity to design and implement open government policies?
- c. How can the OGP be more effective in supporting reformers to raise the level of ambition and implementation of NAP commitments?
- d. How can the OGP work more effectively with the private sector to leverage the role of businesses in promoting and implementing open government reform?
- e. How can the OGP improve its policies to strengthen gender equality and inclusion?

5. Efficiency

Main question:

- How efficient is the OGP in supporting open government reforms, compared to alternative approaches?

Sub-questions:

- a. What measurements are relevant to assess the efficiency of the OGP in delivering OGP reforms?
- b. What relevant alternative approaches exist to support open government reform?
- c. Using the identified measurements, how efficient is the OGP in supporting open government reforms, compared to the alternative approaches?

Annex 3: Selection of policy themes and country case studies

a. Policy themes

The choice of policy themes will be an important determinant in tightening the research questions and scope of the evaluation and should therefore be a rigorous process. Having multiple and varied themes could lead to strong analytical benefits by generating more generalisable and robust lessons through comparison. However, the marginal benefits of including extra themes will likely diminish as the number increases, and the evaluator is expected to propose the optimal number and mix of themes. The inception report submitted by the evaluators should provide a clear rationale for the methodology of this assessment.

Other criteria may be identified during the inception period, and DFID and Hewlett Foundation are open to discussing the exact number going forward. Currently, the choice of themes should be based on the following criteria:

- Policy priority for OGP; OGP strategically invests more resources in a number of policy areas, which are the richest ground for an insightful evaluation.
- Policy priorities for DFID (see below table) and other donors.
- Number of countries that have included commitments under this theme in their NAPs.
- Diversity and balance across newer and more mature commitments, and across different levels of ambition and quality of implementation.

Table ...: priority themes of donors

Priority themes	Level of priority
Beneficial ownership	High
Open contracting	High
Public service delivery	High
Gender and inclusion	High
Civic space	Medium
Participation and law	Medium

b. Country case studies

This evaluation will run comparative case studies in a selected number of the over 70 countries participating in the OGP, to facilitate deeper analysis. A similar exercise will be required as with the policy themes to establish the optimal number of countries.

The selection of countries will require balancing different priorities of the donors and OGP, and various other considerations:

- A. The latest published action plan of the selected countries should include commitments that align with the chosen policy themes.
- B. DFID has priority countries, a number of which should be reflected in the final selection: Nigeria, Kenya (possibly subnational¹⁶), Ghana, Jordan, Sierra Leone, Pakistan, Liberia, Kyrgyzstan. At least half of the countries selected should be on this list, with a minimum of two.
- C. Since a major aim of the evaluation is to learn how to most effectively support better implementation of OGP commitments, selected countries should be those that the OGP strategically invests its resources in. These

¹⁶ The evaluator should consider in the inception phase if there is scope to include subnational Action Plans, considering they are relatively new to the OGP, and they are on different action cycles (annual instead of bi-annual).

are countries where there is a reasonable chance of success to improve ambition and implementation of commitments (both through the Trust Fund and the work of the OGP Support Unit).

- D. Preferably, there should be a balanced combination of countries with a high ambition challenge and countries with a high implementation challenge.
- E. Preferably, it should allow a comparison of delivery modalities between the OGP Support Unit and the MDTF.
- F. Preferably, it should consider national and local governments from the same country that are a part of OGP, including the interaction between the two
- G. Other practical considerations should be considered as well, such as the ability to find local partners, willingness of parties of interest to cooperate, resources necessary to do field trips, and any other considerations identified during the inception phase that are not represented here.

The evaluator should lead this negotiating process in the first half of the inception phase in collaboration with the ESC. The evaluator will be required to do initial research and propose a robust methodology for selection.

Annex 4: Methodology and data sources

Some key characteristics of this evaluation should be reflected:

1. First, OGP operates in complex settings, in which political, social, cultural and economic contextual factors all co-determine eventual outcomes. Progress in outcomes such as government openness and civic space tends to be non-linear, patchy and difficult to measure. Thus, identifying the contribution of OGP to achieving these outcomes, and ways to maximise OGP's contribution, is difficult and nuanced. This evaluation will require a mix of innovative methods and approaches to tackle these issues. There is no expectation that the evaluation will use comparison/control groups to attribute impact.
2. Second, methods should reflect the goal for this evaluation to produce transferrable knowledge. This will require identifying effective ways of dealing with important contextual elements such as political will, civil society capacity and shifts in political distributions of power. As OGP operates in conjunction with other factors, it needs to learn how to be effective in a wide variety of different settings.

Data required to answer the evaluation questions will likely come from a variety sources, including:

- Academic/partner research on open government;
- Third party assessments of OGP activities, including DFID and World Bank monitoring, as well as other donors;
- OGP's monitoring data, including, but not limited to, fulfilment of commitments in NAPs;
- IRM reports and analysis;
- Surveys of and / or interviews with OGP participants, civil society proponents of open government, and other stakeholders;
- Evaluator observations of OGP processes;
- Government reports and administrative data; and
- Grey literature, including newspaper articles.

This is not a set list, and the exact sources are likely to vary by country.

Annex 5: Governance arrangements for the OGP evaluation

Definitions:

- The OGP Support Unit (OGP) provides financial and administrative leadership of the evaluation, by:
 - o i) Supporting and advising on the procurement process for the Evaluator;
 - o ii) holding and managing the contract with the Evaluator; and
 - o iii) carrying out fiduciary responsibilities;
- The Evaluation Steering Committee (ESC) oversees and manages; i) the procurement process; and ii) the terms of reference for the evaluation.
- Transparency and Accountability Initiative (TAI) identifies priorities to be discussed regarding the design and delivery of the evaluation, in consultation with the evaluator, OGP and ESC members, and convenes regular meetings between parties
- The Evaluator will be contracted by the OGP Support Unit to execute the independent evaluation as described in the evaluation ToR.

Independence of the evaluation

The evaluation will be independent, which means its findings and conclusions should not be influenced by the party being evaluated. The OGP is both the party being evaluated and fulfilling a support function to the evaluation. Both the party being evaluated **and** the funding parties have interests in the findings / conclusions. To address and mitigate against the potential risk this creates, a strict division of responsibilities is maintained throughout the life of this evaluation. The ESC provides checks and balances, as well as an ongoing forum through which parties can discuss risks and update ways of working.

Division of responsibilities

Responsibilities of the OGP in the Support Function

- Support and advise on the procurement process for the evaluation, including:
 - o Advertising, planning and advising on the early market engagement;
 - o Advertising the tender for the Evaluator;
 - o Upholding procedures and deadlines in the procurement process that represent good VfM, guided by OGP's and DFID's procurement policies.
- Hold and manage the contract with the Evaluator
 - o Drafting the contract;
 - o Issuing the contract to the selected Evaluator, subject to ESC approval;
 - o Managing the Evaluator to deliver against agreed outputs;
 - o Modifying OGP's contract with the Evaluator where required, subject to ESC approval;
 - o Ensure that the evaluator delivers all evaluation products to a satisfactory level, including meeting donors' branding requirements, subject to ESC approval.
- Hold fiduciary responsibilities over the evaluation:
 - o Financial management and accounting of donor funds through the delivery chain in accordance with the standards set by the lead donor;
 - o Disbursing payments to the Evaluator, subject to ESC approval;

- Managing fiduciary risks, including forecasting and delivery chain mapping.

Responsibilities of the Evaluation Steering Committee (ESC)

- Manage and oversee the procurement process, including:
 - Managing the content and discussion for the early market engagement;
 - Approving procedures and timelines for the procurement process, and the contract to the Evaluator;
 - Writing a Terms of Reference and scoring framework for the independent evaluation;
 - Evaluating offers received and selecting the Evaluator to be awarded the contract.
- Oversee the implementation of the Terms of Reference of the evaluation, including:
 - Guiding the strategic direction of the evaluation and providing advice where appropriate;
 - Ensuring a robust and credible evaluation process is followed;
 - Scrutinising and quality assuring the evaluation design and approach, ensuring it adheres to OECD-DAC principles for evaluation (partnership, impartiality, transparency, credibility and independence)¹⁷;
 - Approving all deliverables by the Evaluator, including evaluation designs, work plans, budgets, reports and payment requests;
 - Approving requests for payments to the Evaluator and contract modifications to the contract between OGP and the Evaluator prior to execution;
 - Other decision-making as required as the evaluation develops.
 - Maintaining independence of the evaluation.
 - Ensure that the evaluation and evaluation products are delivered to a satisfactory level, including meeting donors' branding requirements.

Responsibilities of the Evaluator

- Execute the evaluation as detailed in the evaluation ToR, in accordance with OECD principles for evaluation. This includes:
 - Designing the evaluation;
 - Day-to-day running of the evaluation;
 - Quality assuring the data received through the evaluation;
 - Producing reports/products;
 - Recruiting and coordinating with country teams;
 - Being in close contact with stakeholders;
- Report to the ESC through OGP on the progress against deliverables;
- Report to the ESC on the satisfactory completion of deliverables
- The Evaluator holds responsibility over the integrity and independence of the evaluation findings and conclusions.
- Payments to the Evaluator by OGP are subject to ESC approval prior to disbursement

ESC internal governance arrangements

Members

¹⁷ <http://www.oecd.org/dac/evaluation/daccriteriaforevaluatingdevelopmentassistance.htm>

The ESC is made up of i) managing members and ii) advisory members.

- i) Managing members have decision-making power, and include donor representatives and two independent experts
- ii) Advisory members have no decision-making power, and include OGP Support Unit representatives, and a small number (2-3) of other members. The advisory group members participate in discussions on the evaluation's progress and direction and provide advice to the managing members. The advisory members can be proposed by any member of the ESC but need to be approved by the managing members.

The ESC will strive to include the advisory members in all major decision-making and advisory processes, but managing members reserve the right to exclude advisory members in certain discussions and decisions. For instance, the Evaluator may not feel able to speak freely if representatives of the OGP are present. Furthermore, for the sake of efficiency it may suffice to come to some decisions amongst managing members only.

The proposed list of ESC members is as follows:

In managing capacity:

- DFID, represented by:
 - o SRO/lead adviser of the SOGAT programme (Nicola Oldham)
 - o Evaluation expert (Guido Maschhaupt/DFID 10% evaluation expert)
- Hewlett Foundation, represented by:
 - o Project lead on the OGP evaluation (David Sasaki)
 - o Evaluation expert or other Hewlett representative
- Future donors
- Independent expert (tbd)
- Independent expert (tbd)

In advisory capacity:

- OGP, represented by:
 - o Evaluation expert (Munyema Hasan)
 - o Senior adviser (Joseph Foti; Joe Powell)
- Open Societies Foundation evaluation expert (Megan Colnar)
- Ford Foundation evaluation expert (Vera Mshana)
- Luminare evaluation expert (Laura Bacon)

Independent convener

The ESC will be convened by the Transparency and Accountability Initiative (TAI).

The convener is responsible for:

- Identifying priorities to discuss in the ESC meetings;
- Monitoring that all ESC responsibilities are delivered against;
- Chairing meetings;
- Communicating decisions made by the ESC to the OGP Support Unit and/or Evaluator.

Decision making processes

The ESC should always strive to reach decisions unanimously. In case of disagreements, the following steps should be followed:

Step 1: Pursuing unanimous decision. Series of discussions amongst managing and advisory steering committee members, having quality of the evaluation as described in the ToR as starting point. The independent experts should lead on these discussions. Any managing party of the ESC that is outnumbered by other parties should attempt to compromise where possible.

Step 2: Should one managing party not be able to agree on a course of action, that party should detail their bottom line, and attempt to reach a compromise between all managing members.

Step 3 (optional): If useful, the ESC can request an entity independent of all ESC members to mediate the disagreement, to see if striking a compromise is possible.

Step 4: Vote. Each managing member gets one vote (donor organisations get one each, experts get one each). Should the vote be a tie, DFID (as the driver of this evaluation) gets the decisive vote. Voting is a final resort and should be avoided where possible.

Selection Criteria

The ESC has a draft selection criteria to assess the technical parts of the evaluation proposal. This is listed below:

Weightage	Criteria
25%	A Demonstrated understanding of the complex evaluation context, and the proposal of a preliminary evaluation approach that outlines the relevant evaluation principles, and methods (quantitative and/or qualitative). It should also cover foreseeable challenges and effective strategies to overcome them.
10%	B Ability to facilitate learning by designing and delivering informative, engaging, and efficient presentations, consultations, workshops or webinars in order to validate and gather feedback on preliminary findings from key audiences, clarify and/or add precision to questions for further exploration during the evaluation process, or inform future project design and decision-making.
10%	C The ability to work closely, sensitively, and efficiently with local civil society organizations, civic groups, and government representatives to gather the necessary information.
20%	D Team members' expertise fulfil the requirements outlined in the ToR, where each member has relevant relevant expertise and complementary to the team. The team composition is sufficient to complete the assignment.
10%	E Approach to risk management

The commercial parts of the evaluation proposal will be assessed through the following criteria:

15%	A	A comprehensive financial plan to deliver the overall requirements and adaptable to changing scale of the evaluation, offering competitive fee rates, and including costs for all activities.
10%	B	Strong VfM strategy, including opportunities for economies of scale, cost-saving measures, value-adding activities and mitigations of financial risks.

Communication

Meetings

Quarterly meetings will be convened by the OGP. These meetings will take place via conference call and key meetings where the evaluator will present their findings may take place face-to-face where travel budgets permit. Priorities will differ per meeting, but may cover:

- Assessment of progress against/approval of deliverables of Evaluator;
- Reflection and update on challenges and risks to evaluation;
- Reviewing the approach, scope and strategic focus and direction of the evaluation;
- Functioning of governance arrangements; risks to independence;
- Provide comments on the evaluation approach paper; initial findings; key findings, conclusion and recommendations arising from the evaluation;

Furthermore, any member of the SC should feel free to propose that extra meetings are convened when deemed useful.

Meetings of the ESC should, where possible, be timed to align with OGP processes, reporting, decision-making moments, and meetings on other OGP activities.

Email

Where it is easier to communicate over email than convene a meeting (outside the quarterly meetings), that is preferable. For instance, the timing of deliverables may not align with the quarterly meetings, in which case approval can occur over email or in a meeting, as preferred.

Annex 6: Risk register

This evaluation is designed to operate within DFID's intended risk appetite and is prone to several risks. It is essential that the evaluator, in collaboration with the OGP and donors, leads and delivers on a strong risk management strategy. The following table shows the risks that have been identified before commencement of the evaluation. A more details risk matrix will be required to be developed by the evaluator in collaboration with the OGP Support Unit and the ESC during the inception phase and updated regularly.

Nature	Risk	Probability	Impact	Overall Gross Risk Rating	Mitigation strategy	Residual risk rating
Fiduciary	Evaluation team unable to monitor and manage expenditure effectively, particularly when undertaking research on field visits.	low	mode rate	moderate	OGP to detail how they will mitigate this e.g. assess evaluators mechanisms for monitoring expenditure on field visits in advance	low
Operational	Evaluation team safety compromised during field visits.	low	high	medium	Evaluation team will be briefed on specific safety issues and take the necessary precautions	Low
Operational	Evaluation team turnover. The possibility of team members not being able to fulfil duties as defined in the accountable grant due to unforeseen circumstances	moderate	mode rate	moderate		mod
Management	Poor delivery, coordination, planning, timing. Delivery of key outputs of the evaluation can be delayed, risking harm to evaluation quality.	low	high	moderate	Clear plans identified and approved by the ESC in advance. Where delivery is anticipated to fall behind schedule this must be flagged to the OGP support unit and ESC and appropriate actions agreed and taken to address these potential delays.	mod
Management	Evaluation independence compromised. Close collaboration with the OGP, donors and other stakeholders may unduly bias evaluation outcomes.	low	high	moderate	The ESC will monitor the plans and the delivery of the evaluation and will take action if there is perceived risk of independence compromised. Both the OGP Support Unit and Evaluator will take responsibility to ensure independence is not compromised.	mod

Management	<p>Lack of access to, unavailability or reluctance of key stakeholders to participate in the research. Desk and field research interviews require data to be collected in a timely, systematic manner for third party reporting.</p>	low	moderate	low	Country selection and priority themes identified will also consider likelihood of the availability of data. Stakeholders will be informed in advance of field visits and given sufficient notice to ensure their participation.	mod
Research	<p>Complexity of synthesizing data and reports from multiple sources, in a meaningful way. Challenges of storing, organising, and analysing data of different types.</p>	low	mod	low	Evaluators must demonstrate their ability to collect, synthesise and analyse data as part of their expression of interest. Only evaluators who can demonstrate this satisfactorily will be selected. OGP and the ESC should address this issue as soon as possible if there are any concerns that the evaluator is unable to deliver this.	low
Research	<p>Positivity bias of evaluation objectives It may be that the scope of the evaluation or data available is insufficient to accomplish the evaluation objectives.</p>	low	high	mod	The evaluation ToR and objectives have been quality assured and the ESC will ensure that the evaluation remains on track to accomplish the evaluation objectives	low
Research	<p>Positivity bias in respondents Respondents offer more positive responses about the program than actually merited by their experience</p>	low	high	mod	Clear respondent consent language and assure confidentiality	low
Reputational	<p>Evaluators may be viewed as biased by respondents. In certain sensitive situations, respondents may not view the evaluator as objective, but as collecting intelligence for other entities or providing the answers that they think the evaluator wants to hear.</p>	low	mod	mod	Careful precautions will be taken by the evaluation team to inform the respondents about the nature of the research and whom they are working for. High standards of research ethics will be applied to reduce this risk. Where possible respondents will be interviewed in the language they are most comfortable in to reduce the possibility of miscommunication.	low

ANNEX 7: OGP DATA COLLECTION MECHANISMS

Activity	Who does it	Who learns / target audience	Purpose	Status / frequency
Monitoring				
OGP Progress Indicators <i>Available on request</i>	OGP Knowledge, Learning, Innovation, & Capacity-Building (KLIC) team	OGP Support Unit Donors	Collect and monitor key variables on OGP outcomes and impact	Quarterly
Impact Indicators Report <i>Available on request</i>	OGP KLIC team	OGP Support Unit Donors	Track citizen uptake of OGP commitments over time	May 2017 (draft)
Reflection reports on progress indicators <i>Available on</i>	OGP KLIC team	OGP Support Unit	Create a space where trends and patterns in progress indicators are discussed, so we can inform strategy adjustments	Bi-annual

<i>request</i>				
Outcome Mapping Journal <i>Available on request</i>	OGP KLIC team	OGP Support Unit	Track incremental change and OGP contribution in a set of OGP countries	Quarterly
Priority Country Updates <i>Available on request</i>	Government Support & Exchange (GSX) and Civil Society Engagement (CSE) teams	OGP Support Unit and Management Team	Analyse where the Support Unit is seeing change in a set of priority countries categorized by region - highlight big wins, big risks, big opportunities and cross-cutting issues	Quarterly
Evaluation				
Mid-term review (MTR)	Independent analysts	OGP Support Unit & Steering Committee	Evaluate progress made toward the implementation of OGP's four-year strategy, and inform strategy adjustment	December 2016
IRM Refresh	Independent analysts	IRM, IEP and OGP Support Unit	Review IRM's compliance with mandate and its efficacy, and efficiency	December 2017
Research				

IRM progress reports	IRM national researchers, expert review	OGP countries	Monitor the design and implementation of OGP action plans on a country-by-country basis	Annual, ongoing
IRM technical papers	IRM team	OGP Support Unit & Steering Committee Wider open gov community	Analyze major trends (positive and negative) in OGP process and content of National Action Plans	5 papers published, with one expected late 2018
OGP Research Agenda	KLIC	OGP Support Unit; OGP countries Wider open gov community	Commission independent researchers and academics to investigate drivers of successful open gov reforms and their impact, as well as the impact of OGP. Please check bibliography for a list of key research publications on OGP.	Twice: 2015-16 2017-18
OGP Academy	KLIC and IRM	Wider open gov community	Cultivate a community of independent researchers and academics to investigate drivers of successful open gov reforms and their impact, as well as the impact of OGP	Argentina 2017
Spotlight on Results	Independent journalists / researchers contracted by OGP	OGP Support Unit Wider open gov community	Identify the medium to long term outcomes of OGP	Annual

OGP synthesis paper <i>Available on request</i>	KLIC	OGP Support Unit	Synthesize extant research on OGP and discuss its programmatic implications with the team	May 2016
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ANNEX 8: DFID ETHICS PRINCIPLES FOR RESEARCH AND EVALUATION

DFID expects the research and evaluation it funds to adhere to the highest standards of integrity. To facilitate this it has drawn up these Principles on ethical practice in research and evaluation. All research and evaluation conducted or funded by DFID (wholly or partially) is expected to uphold these Principles. These Principles should be read in conjunction with DFID's Ethics Guidance for Research and Evaluation. It is the responsibility of the evaluator to adhere to these and ensure data privacy measures where applicable.

PRINCIPLES

1. Researchers and evaluators are responsible for identifying the need for and securing any necessary ethics approval for the study they are undertaking.

This may be from national or local ethics committees in countries in which the study will be undertaken, or other stakeholder institutions with formal ethics approval systems.

2. Research and evaluation must be relevant and high quality with clear developmental and practical value.

It must be undertaken to a sufficiently high standard that the findings can be reliably used for their intended purpose. Research should only be undertaken where there is a clear gap in knowledge. Evaluations might also be undertaken to learn lessons to improve future impact, or in order to meet DFID's requirements for accountability.

3. Researchers and evaluators should avoid harm to participants in studies.

They should ensure that the basic human rights of individuals and groups with whom they interact are protected. This is particularly important with regard to vulnerable people. The wellbeing of researchers/ evaluators working in the field should also be considered and harm minimised.

4. Participation in research and evaluation should be voluntary and free from external pressure.

Information should not be withheld from prospective participants that might affect their willingness to participate. All participants should have a right to withdraw from research/ evaluation and withdraw any data concerning them at any point without fear of penalty.

5. Researchers and evaluators should ensure confidentiality of information, privacy and anonymity of study participants.

They should communicate clearly to prospective participants any limits to confidentiality. In cases where unexpected evidence of serious wrong-doing is uncovered (e.g. corruption or abuse) there may be a need to consider whether the normal commitment to confidentiality might be outweighed by the ethical need to prevent harm to vulnerable people. DFID's fraud policy will apply if relevant.

6. Researchers and evaluators should operate in accordance with international human rights conventions and covenants to which the United Kingdom is a

signatory, regardless of local country standards. They should also take account of local and national laws.

7. DFID funded research and evaluation should respect cultural sensitivities.

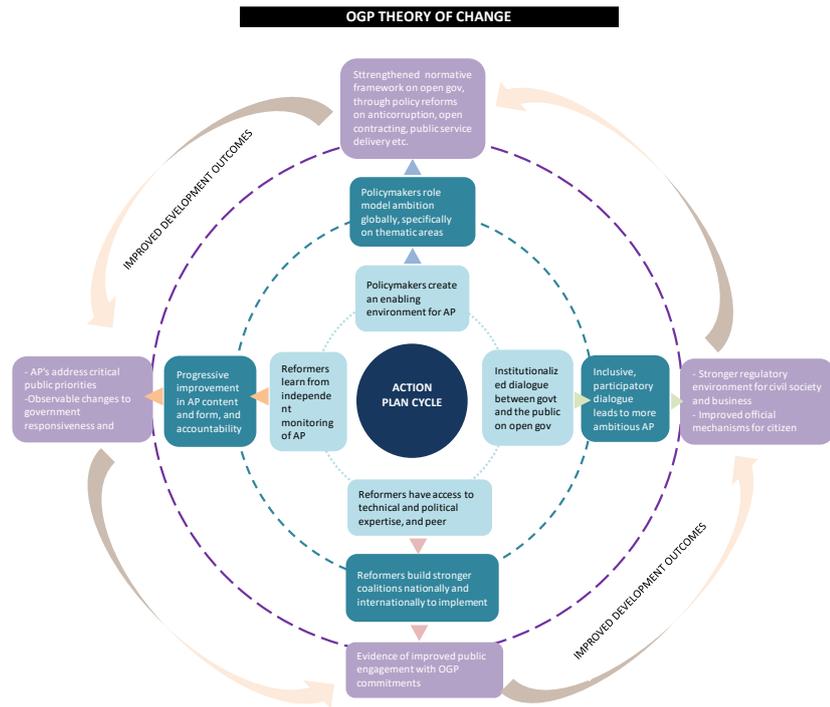
This means researchers need to take account of differences in culture, local behaviour and norms, religious beliefs and practices, sexual orientation, gender roles, disability, age and ethnicity and other social differences such as class when planning studies and communicating findings. DFID should avoid imposing a burden of over-researching particular groups.

8. DFID is committed to publication and communication of all evaluations and research studies. Full methodological details and information on who has undertaken a study should be given and messages transmitted should fully and fairly reflect the findings. Where possible, and respecting confidentiality requirements, primary data should be made public to allow secondary analyses.

9. Research and evaluation should usually be independent of those implementing an intervention or programme under study. Independence is very important for research and evaluation; in fact evaluations in DFID can only be classified as such where they are led independently. Involvement of stakeholders may be desirable so long as the objectivity of a study is not compromised and DFID is transparent about the roles played. Any potential conflicts of interest that might jeopardise the integrity of the methodology or the outputs of research/ evaluation should be disclosed. If researchers/ evaluators or other stakeholders feel that undue pressure is being put on them by DFID officials, such that their independence has been breached, this should be reported to the Head of Profession for Evaluation who will take appropriate action

10. All DFID funded research/ evaluation should have particular emphasis on ensuring participation from women and socially excluded groups. Consideration should be given to how barriers to participation can be removed.

Annex 9: OGP Theory of Change



KEY

- OUTCOMES
- - - - - INTERMEDIATE OUTCOMES
- - - - - ULTIMATE OUTCOMES

ASSUMPTIONS

- A functioning, representative civil society exists
- Trust and working relationship between actors improve
- Civic freedoms don't come under attack
- Reformers find OGP support contextually relevant
- Financial resources for the NAP are secure
- OGP host agency has the institutional mandate to coordinate across line ministries for implementation
- Institutional checks and balances are largely functional
- Independent research and monitoring efforts are taken seriously
- Public sector norms, culture and institutions make reform possible
- OGP provides the right political incentives for action
- Political transitions don't disrupt the OGP agenda
- Key geopolitical players honor OGP rules of the game

INTERVENTIONS

- Intensive guidance and support on co-creation process
- Outreach to broader networks of civil society, private sector, media
- Facilitate peer exchanges around strategically important thematic areas
- Financial support for implementation through the MDTF
- Targeted support to navigate technical and political challenges
- Strategic thematic partnerships with local and intl orgs
- Timely production and launch of IRM reports to influence NAP cycle
- Learning and accountability events
- Global and regional campaigns, events and inclusion of OGP in relevant policy dialogues
- Strong Steering Committee leadership and observation of rules of the game
- Peer pressure through OGP Ambassadors, Envoys and Steering Committee

NARRATIVE

OGP Action Plans are the anchor that keeps normative discussions on open government, grounded in action. Once political leaders have committed their country to participate in OGP, the Action Planning cycle provides the organizing framework to design, implement, and monitor commitments included in the Action Plan. Each stage in the cycle presents an opportunity and obligation for governments to engage with civil society, private sector, and the wider public to seek their input and feedback.

In the short to medium term, OGP wants to see Action Plans become increasingly ambitious and credibly implemented. Four critical elements can ensure this:

- Senior political leaders create an enabling environment, and ensure political cover to civil servants to implement reforms.
- Government have genuine, regular dialogue with a broad section of society to determine shared priorities and develop ambitious policy reforms
- Reform-minded civil servants and civil society have access to technical, financial and political expertise to implement reforms
- Independent monitoring efforts inform progressive improvements of Action Plans, and close the accountability loop by publicly documenting the status of OGP implementation.

But it is also important to acknowledge that Action Plans are not a technocratic exercise. Open policymaking is messy, and rarely linear. OGP's model focuses on the power of reformers, individually and collectively, to affect change. That means paying attention not just to the incentives and influence of these reformers but also the wider political context in which they operate. OGP tries to provide the right incentives and support to reformers through the interventions outlined at each stage of the Action Plan cycle. By outlining the assumptions underpinning our Theory of Change, we analyze the wider socio-political and economic context that influence any policy reform process, and tailor our interventions in each country.

If each of these actors are playing their roles effectively and increasingly build coalitions nationally and internationally to solve tough challenges on open government reforms, we should begin to see a global movement toward more open, participatory, responsive and accountable governance in the medium to long term. Progress on thematic and sectoral issues such as on anticorruption, open contracting and public service delivery should begin to materialize. Over several Action Plan cycles and