Independent Reporting Mechanism (IRM): Ukraine Transitional Results Report 2018–2020

This report was prepared in collaboration with Dmytro Khutkyy, Independent Researcher

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I. Introduction

The Open Government Partnership is a global partnership that brings together government reformers and civil society leaders to create action plans that make governments more inclusive, responsive, and accountable. Action plan commitments may build on existing efforts, identify new steps to complete ongoing reforms, or initiate an entirely new area. OGP’s Independent Reporting Mechanism (IRM) monitors all action plans to ensure governments follow through on commitments. Civil society and government leaders use the evaluations to reflect on their progress and determine if efforts have impacted people’s lives.

The IRM has partnered with independent researcher Dmytro Khutkyy to carry out this evaluation. The IRM aims to inform ongoing dialogue around the development and implementation of future commitments. For a full description of the IRM’s methodology, please visit https://www.opengovpartnership.org/about/independent-reporting-mechanism.

This report covers the implementation of Ukraine’s fourth action plan for 2018–2020. In 2021, the IRM will implement a new approach to its research process and the scope of its reporting on action plans, approved by the IRM Refresh.³ The IRM adjusted its Implementation Reports for 2018–2020 action plans to fit the transition process to the new IRM products and enable the IRM to adjust its workflow in light of the COVID-19 pandemic’s effects on OGP country processes.

³ For more information, see https://www.opengovpartnership.org/process/accountability/about-the-irm/irm-refresh/.
II. Action Plan Implementation

The IRM Transitional Results Report assesses the status of the action plan’s commitments and the results from their implementation at the end of the action plan cycle. This report does not re-visit the assessments for “Verifiability,” “Relevance” or “Potential Impact.” The IRM assesses those three indicators in IRM Design Reports. For more details on each indicator, please see Annex I in this report.

2.1. General Highlights and Results

Ukraine’s 2018–2020 action plan included 17 commitments. By the end of the implementation period, five commitments (30 percent) were fully completed, six (35 percent) were substantially completed, and six (35 percent) had limited completion. This action plan contained a lower percentage of fully completed commitments than did the previous action plan.2

The election of a new president and parliament in 2019 affected implementation of commitments in both positive and negative ways. The election of President Volodymyr Zelensky in April 2019, and parliamentary elections in July 2019 that brought his Servant of the People political party to power, resulted in changes in the leadership of ministries and agencies in charge of commitments.

One of these changes included the newly formed Ministry of Digital Transformation,3 established in September 2019, to build on the foundation laid by its predecessor, the State Agency for E-Governance. The ministry provided new momentum for the digitalization of public services. This resulted in the completion of Commitment 12, which focused on developing priority digital services on the Diia platform. By the end of the implementation period, the platform offered an online one-stop shop to access over 40 public services (from registering births to applying for specific business licenses).4

The lack of clear direction from new ministerial leaders after these elections, and the dissolution or merging of ministries, caused delays and limited implementation of Commitments 9 (on environmental information), 10 (on natural resource registers), 13 (on a civil society organization–government online platform), and 14 (on an Extractive Industries Transparency Initiative platform). Commitments 2 (on the system for selling arrested assets) and 15 (on electronic education resources) did not proceed as originally formulated because of problems with tender processes.

Notable achievements of this action plan include greater transparency regarding public budgets, the sale and lease of public property and assets, and public procurement. Commitment 5 saw the publication of detailed budget plans at all levels of government in Ukraine, and these were presented in user-friendly visualizations. As they did during previous action plans,5 the Prozorro team progressed on its commitments. The team enhanced oversight of public procurement by publishing procurement payments and enabling electronic reporting of suspected public procurement violations (Commitment 4). The Prozorro.Sale platform has increased competition and public revenue by making transparent the sale and lease of public property and assets at all levels of government (Commitment 3). In addition, while the achievement is not relevant to open government values, it is notable that Commitment 12, on introducing priority public services online, has seen over 1 million downloads of the Diia e-services app and over 300,000 downloads of digital driver’s licenses.6

Yet, Commitment 7, on launching a mechanism to verify beneficial ownership information, is the only noteworthy commitment identified in Ukraine’s Design Report that did not demonstrate change in government practice by the end of the implementation period. It only had limited completion and is therefore not assessed in Section 2.3.
2.2. COVID 19 Pandemic impact on implementation

Ukraine took early lockdown measures in March 2020 and again in January 2021 in response to the COVID-19 pandemic. According to interviews with civil society, government officials, and international organizations, this did not significantly impact the implementation of commitments. However, the lockdown and prohibition of mass in-person meetings led to the cancellation of some of the usual deliberation formats and traditional in-person advocacy meetings. A nongovernment representative felt that the transfer of such engagements online negatively affected the quality of communication between the government and civil society.

Outside the scope of the action plan, the government used some open government approaches to tackle the challenges caused by the COVID-19 pandemic. Ukraine, along with many other countries at the start of the pandemic, scrambled for personal protective equipment. Thus, there are examples of questionable procurement that resulted in high prices, low-quality goods, and undelivered items. The country still faces shortages of medical supplies for acute care, such as masks, protective suits, and ventilators. Early in the pandemic, emergency procurements for responding to COVID-19 were excluded from general procurement rules. The government later required all such emergency contracts to be structurally reported and published in full on the Prozorro online procurement platform, including terms of payment and delivery, and value.

The government has used social media for disseminating information, and the Ministry of Health published a dedicated COVID-19 website. The website featured data visualizations; downloadable information about the disease, protection measures, and lockdown restrictions; up-to-date statistics; and links to other reliable sources of information. The Ministry of Foreign Affairs encouraged Ukrainians living abroad to register online to facilitate assistance for them during the pandemic.

In addition, the Ministry of Digital Transformation conducted a hackathon (#HackCorona), through which it found initiatives to tackle the spread of the pandemic. The event resulted in 899 proposals, and the ministry selected 21 winners. One of these projects was an online educational series for people with disabilities, which the ministry integrated into the Diia platform. Other than the notice about the hackathon winners, no other public information was found about the implementation of the winning proposals.

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2 More details about the level of completion in the third action plan: six (46 percent) commitments with completed implementation, four (31 percent) commitments with substantial implementation, three (23 percent) commitments with limited implementation, and zero commitments not started.
4 This increased to 50 services available on platform as of April 2021, Government comment, received 15 April 2021.
6 According to the Ministry of Digital Transformation, as of 7 April 2021, the number of users of the Diia mobile application version 2.x (available from October 5, 2020) is 4,554,512 users.
8 Olesya Arkhipyska (member of the multistakeholder forum), interview by IRM researcher, 27 October 2020.
9 Natalia Oksha (SCMU), email exchange with IRM researcher, 2 November 2020.
10 Oksana Kosenko (United Nations Development Programme in Ukraine), interview by IRM researcher, 29 October 2020.
11 Serhii Karelin (EGAP), interview by IRM researcher, 3 November 2020.


2.3. Early results

The IRM acknowledges that results may not be visible within the two-year time frame of the action plan and that at least a substantial level of completion is required to assess early results. For the purpose of the Transitional Results Report, the IRM will use the “Did it Open Government?” (DIOG) indicator to highlight early results based on the changes to government practice in areas relevant to OGP values. Moving forward, new IRM Results Report will not continue using DIOG as an indicator.

Section 2.3. focuses on outcomes from the implementation of commitments that had an ambitious or strong design, per the IRM Design Report assessment or that may have lacked clarity and/or ambition but had successful implementation with “major” or “outstanding” changes to government practice. Commitments considered for analysis in this section had at least a “substantial” level of implementation, as assessed by the IRM in Section 2.4. While this section provides the analysis of the IRM’s findings for the commitments that meet the criteria described above, Section 2.4. includes an overview of the level of completion for all the commitments in the action plan.

### Commitment 3: Ensure transparency of selling public assets

| Aim of the commitment | The commitment aspired to establish and implement clear procedures, via a single online system, to ensure the transparency of the privatization and leasing of state-owned property and enterprises. Previously, the privatization and leasing procedures were decentralized on the different official web-resources of local city councils. There was little information about the varying procedures for privatization and leasing and a lack of trust in the efficiency of the “paper procedures” of selling state and municipal property. Authorities published auction announcements on their local official websites, which meant there was a limited audience and, therefore, little competition among bidders. |
| Did it open government? Outstanding | The government completed the three milestones of this commitment through legislation and by mandating, by decree, the use of Prozorro.Sale. The platform must be used to sell and lease public assets or property. According to Transparency International (TI) Ukraine (one of the original co-developers of Prozorro and Prozorro.Sale) and state-owned-enterprise Prozorro.Sale, the collaboration between the government, business and TI Ukraine helped to ensure successful implementation of this commitment. They also said that ministerial leadership helped advance changes. On Prozorro.Sale, public officials now publish online auction announcements, full sets of documents about sellers and lots, auction protocols and contracts, and auction organizer decisions. This constituted a step forward, because, previously, bidders would have to look at individual local council websites for auction information about the privatization or leasing of state-owned property and enterprises. As noted by a civil society expert, previously, no information was available at the local government level about the number of objects, their price, or the entities to which they were leased. Items available for auction include state-owned enterprises, mining licenses, vehicles, buildings, and small-scale assets, such as cars and computers. The largest privatization revenue stream (approximately a third of all revenue) now comes from the sale of real estate. Also, the government expanded the mandatory use of the portal to all leasing of gas distribution systems (the |
The largest gas distribution company had voluntarily used Prozorro.Sale since 2017.\textsuperscript{31}

The successful implementation of this commitment has provided outstanding early results from opening government processes on the sale and leasing of state property via Prozorro.Sale.

The introduction of easily accessible and transparent auctions reduced the opportunity for uncompetitive tenders and corruption.\textsuperscript{32} For instance, the privatization of the Dnipro hotel in 2020 featured a processes not limited to those capable of bribery, but transparent and open for anyone.\textsuperscript{33} TI Ukraine also said that the Prozorro.Sale online system created a more open and competitive process. Information is available for all participants, thereby minimizing economic and corruption risks.\textsuperscript{34}

Statistically, there has been a year-on-year increase in the number of bidders and, therefore, an increase in open competition. A Prozorro.Sale representative stated in communication with the IRM researcher that small-scale privatizations saw an increase from 2.54 bidders per auction in 2019 to 3.05 bidders in 2020.\textsuperscript{35} They also said that with the new disclosure principles and improved processes, the biggest improvement in competition was in state property privatization auctions. (According to statistics on Prozorro.Sale, bidders rose from 2.25 in 2019 to 3.25 in 2020.)\textsuperscript{36} According to the State Property Fund of Ukraine, there is a significant increase in the number of bidders per auction on small privatization of state property overall: 3.84 in June 2020 versus 1.82 in June 2019. This rise ensured an average price increase of 208 percent on the original starting price (versus 3.56 percent in June 2019).\textsuperscript{37}

The selling of public assets and the leasing of publicly owned property via Prozorro.Sale have also improved the transparency of the sale and leasing process and increased final sale and leasing prices.\textsuperscript{38} The lease of public and communal property via Prozorro.Sale started in February 2020. From then until November 2020, the online system hosted 814 successful auctions with 839 unique bidders. These auctions saw final sales that were, on average, 70 percent higher than the original starting price (equaling revenue of US$167 thousand per month).\textsuperscript{39} The sale of oil and gas fields by Geonadra (which began in March 2019) saw final sale prices 63 percent higher than the original starting price, bringing in US$18 million in public funds.\textsuperscript{40}

As the use of the auctions spreads, it will be important to monitor whether the increased number of bidders is sustained and whether there is a diversity of auction winners. Furthermore, it will be important to monitor whether those who win turn out to be reliable leasers or managers of the properties. Monitoring and controls by government and civil society organizations will be important factors in sustaining the success of the overall sale and leasing processes.
Commitment 4: Improve transparency and accountability of public procurement

| Aim of the commitment | The commitment aimed to improve the transparency and accountability of public procurement. It sought to develop a technical solution (via an application programming interface) to enable nongovernment resources to integrate with the Prozorro public online procurement system. It also sought to develop a public statistical module to structure and display data on public feedback. Finally, the commitment aimed to integrate the Prozorro system with the systems of the Ministry of Finance and the Treasury to enhance official oversight of public procurement.81

Prior to this action plan, Prozorro already had an elaborate statistical module. That module applied to lay users and professionals alike. The online platform Dozorro, which is for civil society and business feedback on public procurement, also existed. However, audit and law enforcement agencies often treated civil society monitoring and feedback as unofficial. They also lacked information on procurement payments. The commitment, therefore, aimed to establish deeper integration of government digital systems and an official digital feedback and tracking mechanism.45

| Did it open government? Marginal | ProZorro, with Transparency International Ukraine, developed an application programming interface that enables civil society organizations (CSOs) to electronically report detected public procurement violations directly to the State Audit Service (SAS). According to a Prozorro official, users had reported 160 violations as of November 2020, but this number is expected to rise, since the Dozorro system has had thousands of feedback reports and an active web of trained CSOs.

The status of appeals appears on the respective tender web page, along with the monitoring process from the SAS. The official explained that users can submit an e-appeal directly to SAS either via Prozorro itself or through the appeal form on a tender web page. Nevertheless, some nongovernment stakeholders expressed concerns that the SAS might not interact with these digital appeals. The Ministry for Development of Economy, Trade and Agriculture (MDETA) is in ongoing negotiation with SAS about their capacity to deal with potentially numerous e-appeals. The uncertainty about whether SAS will deal effectively with digital appeals limits the change toward open government in practice.

While some open data on appeals is available, the statistical module that displays detected public procurement violations and the status of addressing them in Prozorro is still under development.

The government saw significant early results from the integration of the Prozorro public procurement system with the digital systems of the Ministry of Finance and Treasury. The latter systems track payments per procurement contract, enabling the monitoring of the whole procurement process, from
tender to implementation. This integration will allow the government to better organize contracting at all stages, from initiation to reporting. Also, this integration will facilitate analyzing and monitoring the use of public funds. This includes information on the auction, contract, contract amendments, payments, monitoring results, violations, and responses of audit and law enforcement authorities. The latest Transparent Public Procurement Rating points to improvements in ProZorro across all areas of analysis from 2016–2017 to 2018–2020, and in particular to “efficiency” and “accountability and integrity” indicators. However, some of the data is not in an open data format and, therefore, is analyzed manually. While data is available only for those public procurement contracts that were published after the integration, a civil society representative noted that public officials now publish more public procurement information in a machine-readable format. That update facilitated the automatic monitoring of public procurement. Early results are marginal in demonstrating progress on the reporting of violations, and it is not clear whether reporting the costs throughout the procurement cycle has changed government practice or how the government might respond to public oversight.

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<thead>
<tr>
<th>Commitment 5: Raise public awareness of public funds and projects</th>
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<td><strong>Aim of the commitment</strong></td>
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<tr>
<td>This commitment sought to inform the public about public funding and funding from international financial organizations through accessible formats. The two projects within this commitment consisted of creating a Budget for Citizens module for public funding and creating a register of internationally funded development projects. These undertakings continued previous government initiatives. In 2018, the government implemented a trial version of the Budget for Citizens module as part of the previous action plan. During 2015–2017, the official Open Aid Ukraine website presented some information about development projects funded by international financial institutions.</td>
</tr>
<tr>
<td><strong>Did it open government? Major</strong></td>
</tr>
<tr>
<td>The government beta-tested the Budget for Citizens module, and it is now fully functional. It appears on the OpenBudget online portal, and the budget contains new information down to the basic territorial unit (hromada/community) level. Unlike in the earlier version, there are now subsections on the state budget, state debt, local budgets, managers and recipients of public funds, and a BOOST-analysis. The module also features further details explaining the budget system and the budget process, and provides contact details and a feedback form. The website allows users to compare budgets by different budget classifications, period, region, indicator, groups of indicators, planned versus actual indicators of incomes and expenses, and the allocation of revenue and expenses by types of funds in a Sankey diagram. The government updates the data monthly. A user can view public budget information in table, graph, or hierarchical (such as flowchart or tree-maps) mode. It is possible to download the data in JSON, CSV, and XLSX open data formats. The portal is equipped with application programming interface (API). That and its user manual are open to the public.</td>
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</table>
The government also launched the Register of Social and Economic Development Projects Funded by International Financial Institutions (IFIs).\textsuperscript{72} The fully functional register (on a different website than OpenBudget) is available online on the IFIs projects portal.\textsuperscript{73} It allows users to search the data of 125 international financial institution–funded projects (including a search by implementing public agency or international financial institution). Users can also browse the data via 14 thematic categories, view a year-by-year statistical infographic (from 1994 to 2020), and find related legislation.\textsuperscript{74} The portal allows the downloading of the data in JSON, CSV, and XLSX open data formats. It is also supplemented with a publicly available API.\textsuperscript{75}

Ministry of Finance representatives said the proactive publication of information clearly via the Budget for Citizens module has improved transparency.\textsuperscript{76} Civil society representative said it provides a plethora of data that could enable them to conduct independent financial oversight in the future.\textsuperscript{77} Furthermore, two Ukrainian teams developed tools using the data to enable the comparison of prices for goods purchased within the public procurement system and find statistical outliers from the data.\textsuperscript{78} These tools could be beneficial in providing information about the cheapest offers on the market or even to identify and highlight possible cases of corruption. The Market Research Tool developer says it reached the final round in an international hackathon in Taiwan,\textsuperscript{79} and they are adapting the tool for use in Moldova and Kazakhstan.\textsuperscript{80} A civil society representative stated that the successful implementation of this commitment could be attributed to advocacy efforts as well as support from the leadership of the Ministry of Finance and the Open Public Finance agency.\textsuperscript{81}

A large amount of data on the public budget and international funding is now disclosed in a user-friendly and accessible manner and in an open data format. Thus, this commitment has significantly advanced access to public finance information and therefore constitutes a major step in opening up budget information in Ukraine.

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<tr>
<th>Commitment 11: Create an interactive map of mined territories</th>
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<tbody>
<tr>
<td><strong>Aim of the commitment</strong></td>
</tr>
<tr>
<td>This commitment aimed to create an interactive map of mined territories in the government-controlled parts of Donetsk and Luhansk oblasts. The map would identify and communicate to the public information about the areas contaminated with explosives on the approximately 7,000 square kilometers inhabited by over 1.5 million people. Prior to the start of this action plan, in October 2018, the Ministry of Defense published a simpler and less informative online map of mined Donbas territories.\textsuperscript{82}</td>
</tr>
</tbody>
</table>
| **Did it open government?**
| Marginal                                                     |
| The Ministry of Defense (MoD), in collaboration with its partners,\textsuperscript{83} has designed, developed, filled with data, tested, updated, and published the online interactive map. It shows the territories contaminated with mines and explosives in Donetsk and Luhansk oblasts.\textsuperscript{84} The map uses several layers of data, such as settlements, regional boundaries, locations of contaminated territories,\textsuperscript{85} and nearby health facilities.\textsuperscript{86} Some territories do not have |
descriptions, and the map lacks some data that the government initially planned to include.⁸⁷ Despite the regular submissions of demining survey responses and clearance data to the ministry, national and international sources note its incompleteness.⁸⁸ They also call attention to the poor quality of available data on the map.⁸⁹ A civil society expert mentioned that a national demining agency, which the government has proposed, would be capable of ensuring proper data provision and functioning of this interactive map.⁹⁰

By publishing the interactive map and conducting communication activities, the MoD and its partners advanced publicly available data about the mined territories to professional circles and the wider population. According to MoD, this map launched in August 2019 and circulated to Ukraine’s national online media (UKR.net, UATV, Censor.net, Ukrainian News, ZN.ua, ZIK.ua, InternetUA, RBK-Ukraine, META.ua, and PRIAMY, etc.). The government also presented the map at a series of offline events in 2019 and 2020. (These included the Geneva International Centre for Humanitarian Demining and Organization for Security and Cooperation in Europe [OSCE] workshop, a MoD thematic briefing, United Nations Development Programme meetings, OSCE celebrations, a regional seminar, an OGP Ukraine meeting, roundtables, and a press tour.⁹¹) The MoD reported a decline in the number of injured persons from mines.⁹² However, this may also be due to other awareness-raising activities and demining in the region, not just the map.

Despite the limitations of data quality and an existing (but simpler) map, the interactive map provides disclosure and dissemination of more up to date and detailed information. Information also became available about the territories’ “open” and “closed” statuses and the location of nearby hospitals. This map therefore marks a marginal increase of access to public information about mined and safe territories in Donbas.

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21 IRM Design Reports identified strong commitments as “noteworthy commitments” if they were assessed as verifiable, relevant and “transformative” potential impact. If no commitments met the potential impact threshold, the IRM selected noteworthy commitments from the commitments with “moderate” potential impact. For the list of Ukraine's noteworthy commitments, see the Executive Summary of the 2018-2020 IRM Design Report: https://www.opengovpartnership.org/documents/ukraine-design-report-2018-2020/.


26 Khrystyna Zelinska (Transparency International Ukraine), interview by IRM researcher, 29 October 2020.


The statistics show that over the implementation period, a larger percentage of sales has come from bodies other than the Deposit Guarantee Fund (which had just over half of sales in 2020, compared to its over three quarters of sales in 2017). Bi Prozorro.Sale, accessed December 2020, https://bi.prozorro.sale/


Khrystyna Zelinska (Transparency International Ukraine), interview by IRM researcher, 29 October 2020.


Calculated as the average percentage difference between the minimum sale price at the beginning of an auction and the final price at the end of an auction, compared to the average percentage difference in previous years.


Yulia Syyrydenko (MDETA), email exchange with IRM researcher, 28 October 2020.

Vasyl Zadovorny (Prozorro), focus group discussion with IRM researcher, 27 November 2020.


Vasyl Zadovorny (Prozorro), interview by IRM researcher, 20 October 2020.


Oleksandr Lihotop (Prozorro), interview by IRM researcher, 20 October 2020.


Yulia Syyrydenko (MDETA), email exchange with IRM researcher, 28 October 2020.

Vasyl Zadovorny (Prozorro), focus group discussion with IRM researcher, 27 November 2020.


Vasyl Zadovorny (Prozorro), email exchange with IRM researcher, 28 October 2020.

Tetiana Lisovska (TPAP), interview by IRM researcher, 29 October 2020.

Yulia Syyrydenko (MDETA), email exchange with IRM researcher, 28 October 2020.

Tetiana Lisovska (TPAP), Serhii Pavliuk (Transparency International Ukraine), and Vasyl Zadovorny (Prozorro), focus group discussion with IRM researcher, 27 November 2020. The statistical model is being developed by Transparency International Ukraine and is sponsored by the US Agency for International Development and the UKAID-funded Transparency and Accountability in Public Administration and Services (TAPAS) Project.


Tetiana Lisovska (TPAP), interview by IRM researcher, 29 October 2020.


Serhii Pavliuk (Transparency International Ukraine), email exchange with IRM researcher, 12 November 2020.

The “Transparent Budget” system aims to include information about the main goals, objectives and priorities of budget policy, justification of budget expenditures and revenues, planned and achieved results of budget funds, transparency of public budgets at the national and local levels.

61 It presented monthly dynamics of the state budget in the following dimensions: the year 2018 or 2019; national, local, and total; plans, revenues, and spending; and program, economic, and functional classifications of spending. Besides that, it contained a glossary on budgeting as a form of civic education.


64 Oleksandr Hrubiy (Ministry of Finance), email exchange with IRM researcher, 16 October 2020.


68 Oleksandr Komarev (OPF), email exchange with IRM researcher, 16 October 2020.

69 Oleksandr Komarev (OPF), email exchange with IRM researcher, 10 March 2021.


76 Oleksandr Hrubiy (Ministry of Finance), email exchange with IRM researcher, 16 October 2020.

77 Volodymyr Tarnay (Open Contracting Partnership), interview by IRM researcher, 29 October 2020.


80 Volodymyr Tarnay (Open Contracting Partnership), email exchange with IRM researcher, 25 November 2020. The Moldovan tool launched in March 2021, outside the implementation period of this action plan, https://openmoney.md/mrt.

81 Nongovernmental advocacy includes Eidos, EGAP, Mind Lab, the Institute for Economic Research and Policy Consulting, and the National Institute for Strategic Studies. Volodymyr Tarnay (Open Contracting Partnership), interview by IRM researcher, 29 October 2020.


85 Displaying their demining status, boundaries, square footage, names, infrastructure objects, industry and agriculture types, and demining organizations.

86 Mostly hospitals in towns.

87 Types of soils and detected explosives, civilian casualties caused by explosions in these areas, and types of economic activities to be conducted after demining.

88 Tymur Pistruiu (Ukrainian Deminers Association), interview by IRM researcher, 9 November 2020.


## 2.4. Commitment implementation

The table below includes an assessment of the level of completion for each commitment in the action plan.

<table>
<thead>
<tr>
<th>Commitment</th>
<th>Completion</th>
</tr>
</thead>
<tbody>
<tr>
<td>(no evidence available, not started, limited, substantial or complete)</td>
<td></td>
</tr>
<tr>
<td>1. Introduce CoST standards</td>
<td>Substantial</td>
</tr>
<tr>
<td>The online portal on infrastructure data (Construction Sector Transparency Initiative [CoST] Portal) started publishing a significant amount of previously unavailable information. It provides data on the repair of public roads (at the state, regional, and local levels). It gathers data from the national agency and 11 regional authorities (up from three regional authorities at the end of 2018). Over 100 residents of Ukraine have used CoST Portal e-tools for monitoring. Due to their civic oversight, approximately 40 kilometers of local roads have been repaired. The government adopted decree #409, which requires data on the construction, reconstruction, and repair of public roads be published using the CoST standards. In practice, information on the portal meets newer standards (Open Contracting for Infrastructure Data Standard), but this has not been institutionalized in legislation yet. In September 2019, the Ministry of Infrastructure assumed the responsibility of the CoST online platform. In addition to publishing data on roads, the government is consulting with seaport and railway state enterprises about publishing infrastructure project data using the CoST standard. (The government has prepared a memorandum of cooperation with air traffic services.) Thus, information on the implementation of other infrastructure projects may be published in the future on the CoST Portal.</td>
<td></td>
</tr>
<tr>
<td>2. Introduce the e-system of selling arrested assets</td>
<td>Substantial</td>
</tr>
<tr>
<td>The government monitored and evaluated the previous procedure for selling seized assets. Using those findings, decree #413/5 amended the procedure by splitting the roles of database administrator and auction organizer. Despite a formally competitive tender process, in practice, the government used very specific selection criteria. This resulted in the E-System of Selling Arrested Assets state enterprise (SETAM) being chosen as the auction organizer. Continued problems with the procedure that maintained conflict of interest and corruption risks led to decree #2933/5. That decree mandated that Prozorro.Sale administer the database, thereby fully separating the functions of database administrator (Prozorro.Sale) and auction organizer (SETAM). The technical integration of the SETAM and ProZorro.Sale systems for the sale of arrested assets was not yet completed by the end of the implementation period. In November 2020, the government set up the working group in charge - consisting of representatives of the Ministry for Development of Economy, Trade and Agriculture; SETAM; and the Ministry of Justice.</td>
<td></td>
</tr>
<tr>
<td>3. Ensure transparency of selling public assets</td>
<td>Complete</td>
</tr>
<tr>
<td>-----------------------------------------------</td>
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</tr>
<tr>
<td>For details regarding the implementation and early results, see Section 2.3.</td>
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<table>
<thead>
<tr>
<th>4. Improve transparency and accountability of public procurement</th>
<th>Substantial</th>
</tr>
</thead>
<tbody>
<tr>
<td>For details regarding the implementation and early results, see Section 2.3.</td>
<td></td>
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<thead>
<tr>
<th>5. Raise public awareness of public funds and projects</th>
<th>Complete</th>
</tr>
</thead>
<tbody>
<tr>
<td>For details regarding the implementation and early results, see Section 2.3.</td>
<td></td>
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<thead>
<tr>
<th>6. Introduce e-calls for CSO funding proposals</th>
<th>Limited</th>
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<tbody>
<tr>
<td>There were four public and expert discussions aimed at drafting legislation and designing an online platform for calls for proposals for financial support to civil society organizations (CSOs). Amendments to the government resolution #1049, regulating the funding contest procedure, were not yet submitted to the Cabinet of Ministers before the end of the action plan cycle. In any case, the Ministry of Youth and Sport together with the E-governance for Accountability and Participation (EGAP) program drafted the terms of reference for the online platform and decided to integrate it into the VzaemoDiiia portal. These two parties also procured an IT developer, and they directed that company to start development. The VzaemoDiiia portal is a section of the Diia digital services portal (see Commitments 12 and 13). It would integrate the new software to run the process of collecting calls for CSO funding proposals. By the end of the implementation period of the action plan, the software had not been launched or tested.</td>
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<table>
<thead>
<tr>
<th>7. Launch the mechanism of verifying final beneficiaries</th>
<th>Limited</th>
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<tbody>
<tr>
<td>The register now displays separate fields for founders and ultimate beneficial owners following a software update. This information is free to access, but it displays the data fields separately only if those fields have been updated by the registered entity since the software update. It remains unclear whether, or to what extent, new and accurate information is available. The working group holding responsibility has not yet published the concept paper on this, and no further steps have been taken. Database registrars and government entities responsible for ensuring the veracity of the data submitted, therefore, do not have updated guidelines for verifying data.</td>
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<table>
<thead>
<tr>
<th>8. Introduce anti-corruption training for officials</th>
<th>Complete</th>
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</thead>
<tbody>
<tr>
<td>The Ukrainian School of Governance (USG) launched an interactive training course, created jointly with the USAID-funded Support to Anti-Corruption Champion Institutions program, on countering corruption and ensuring integrity for public officials. USG also launched an online test on anti-corruption laws, policies, and the respective standards by central and local authorities, and the course overall has been accessed by 199 users. Two civil society experts said the format, content, and target audience of the training course and online test should be revised.</td>
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</tr>
<tr>
<td><strong>9. Provide public access to environmental information</strong></td>
<td><strong>Limited</strong></td>
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<tr>
<td>The Ministry of Environment has only developed a draft concept paper and action plan for implementing this commitment (as part of an Open Environment system). The ministry had not yet launched the software for the Open Environment system, according to an independent ecology expert, due to the merging and restructuring of ministries in 2019 and 2020. The Open Environment system would include a radiation monitoring system. A separate radiation monitoring system, functioning as an online map, existed prior to this commitment.</td>
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<tr>
<th><strong>10. Update the state registers of natural resources</strong></th>
<th><strong>Limited</strong></th>
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<tbody>
<tr>
<td>The government had started to conduct a full inventory and analyzing its registers of natural resources to translate them into digital formats. The State Service of Geology and Mineral Resources was still updating its registers of natural resources. Comprehensive registers of natural resources in open data formats are not available on the Ukraine Geoinform website, the Ministry of Ecology and Natural Resources website, or the governmental Open Data Portal. An independent expert confirmed that the institutional changes in and the loss of specialist staff due to the merging and then reestablishment of the Ministry of Ecology and Natural Resources in 2020 paused the implementation of comprehensive registers. The government did publish data on mineral reserves (i.e., the amount of reserves and location) on the Geoinform website, and this data can be accessed via a search function.</td>
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<table>
<thead>
<tr>
<th><strong>11. Create an interactive map of mined territories</strong></th>
<th><strong>Complete</strong></th>
</tr>
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<tbody>
<tr>
<td>For details regarding the implementation and early results, see Section 2.3.</td>
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<tr>
<th><strong>12. Introduce priority electronic services</strong></th>
<th><strong>Complete</strong></th>
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<tr>
<td>The government launched the unified e-governance web portal (named Diia and also available as a mobile app). The government representative said there are over 120 digital services available (although some of these may be available outside the Diia portal). Diia offers over 40 digital services for citizens and business, categorized in 15 topic areas. Diia includes a plain-language online guide on 17 topic areas. It points users to relevant digital services according to 20 life situations that citizens may encounter (such as registering a birth) or 16 situations for businesses. Within the first week of its launch, 1 million Ukrainians downloaded the app, and over 360,000 people downloaded digital driver’s licenses.</td>
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<tr>
<th><strong>13. Introduce an online platform for civil society-authorities interaction</strong></th>
<th><strong>Limited</strong></th>
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<tbody>
<tr>
<td>The government conducted a public survey and held discussions with civil society and the public about the needs and requirements of an online platform for interaction between executive bodies and civil society organizations. The platform is called VzaemoDiia, and it is to be integrated into the government’s Diia digital services portal. While</td>
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<tr>
<td>14. Introduce online EITI</td>
<td>Substantial</td>
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| The Ministry of Energy and Coal Industry conducted an independent feasibility study on developing an online platform. Then, along with its partners, it commissioned a developer, and the developer has built a version of the online platform that is being tested. However, at the time this report was written, the Ukraine Extractive Industries Transparency Initiative online platform was not publicly available.

<table>
<thead>
<tr>
<th>15. Introduce electronic resources for school education</th>
<th>Limited</th>
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</table>
| The Ministry of Education and Science conducted a procurement procedure and identified a contractor to build the National Education Electronic Platform. However, a district court found that the procurement winner obtained an undue advantage; the tendered software did not meet requirements and had an inflated price. The platform is now part of criminal investigations. Furthermore, a civil society expert explained that the software was not open source. Decree #521 indicates that the government has restarted the design and development of the online educational platform.

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<thead>
<tr>
<th>16. Introduce online verification of education certificates</th>
<th>Substantial</th>
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| The Ministry of Education and Science adopted technical requirements for verification. It also commissioned, developed, and installed an online verification software for educational documents. This software exists within the Unified State Education Electronic Database. The government clarified that the online verification service checks higher education certificates, but it still has to be extended to secondary and vocational education certificates, accompanied by a manual, and beta-tested.

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<tr>
<th>17. Introduce the National Repository of Academic Texts</th>
<th>Substantial</th>
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</table>
| UkrINTEI launched the National Repository of Academic Texts. The repository allows registered and unregistered users to search, read, and download full-text PhD dissertations (among other resources) in PDF format. Although local repositories are not fully integrated into the National Repository yet, three higher education institutions made preliminary agreements to test the interaction between the local repositories and the National Repository of Academic Texts. The ecosystem of academic integrity instruments, such as plagiarism-checking online tools, has not yet been developed. So, the repository refers only to external legislation and guidelines on academic integrity and plagiarism-checker tools.

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94 Sviatoslav Abramov (CoST Ukraine), interview by IRM researcher, 27 October 2020.
A prospective organizer was required to have an e-trading system using a particular blockchain-based technology (although other e-trading systems, including Prozorro.Sale, were programmed using other IT). The organizer also had to be able to store and transport arrested assets (although this function can and should be outsourced to another entity), have regional divisions in two-thirds of Ukraine’s regions (while this is not necessary for an online e-trading system), and have a share capital of at least 5 million UAH ($US175,275, although some e-trading systems may be developed and administered with less costs).

According to government, since the implementation period ended, a few CSOs have been selected to test and provide feedback on the beta version of the software of the Unified State Register, according to the law passed in 2018. After the implementation period ended, the updated software of the Unified State Register was introduced into full operation allowing for the introduction of verification of personal information, using information from the State Register of Civil Status, the Unified State Demographic Register, the State Register of Individuals of Terrorism and Financing of Proliferation of Weapons of Mass Destruction.

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Protection and Natural Resources said that it revised the Open Environment system by drafting a concept on digital development and digital transformation in environmental protection, rational use of natural resources, and environmental safety. As part of the implementation of the concept, it is planned to develop new functional modules of the system, which will create a Unified Environmental Platform, email exchange with IRM, 15 April 2021.

Dmytro Averin (independent expert), interview by IRM researcher, 4 November 2020.


The government has since then, published 32 sets of open data on the state of the environment and natural resources.


Dmytro Averin (independent expert), interview by IRM researcher, 4 November 2020.


Oleksiy Vyskub (MDT), email exchange with IRM researcher, 2 November 2020.

For citizens: certifications, ecology, security, family, social benefits, transport, real estate, licenses, and entrepreneurship.

For businesses: real estate, licenses, transport, medicine and pharmacetics, certifications, launching a business.


Since the implementation period, the government has said that the Dia app has seen over 4 million downloads, IRM email exchange with government, 15 April 2021.


Open Government Partnership, The Report on the Realization of the Action Plan for the Implementation of the Open Government Partnership Initiative in 2018–2020, 3 December 2020, https://www.opengovpartnership.org/wp-content/uploads/2020/12/Ukraine_End-of-Term_Self-Assessment_2018-2020_UKR.pdf. Since the end of the implementation period, the government has said that the platform entered its first development stage meaning that certain functionality such as e-calls are being tested in a closed beta development stage. They added that other services, such as e-petitions, e-consultations, etc. are being actively researched and analyzed by experts to meet high international standards and practices and would be developed once the requirements are finalized and IT developers are procured, IRM email exchange with government, 15 April 2021.


After the implementation period, it became available at: https://eiti.gov.ua/.

Rimma el Dzhuveidi (MES), email exchange with IRM researcher, 13 November 2020.


Rimma el Dzhuveidi (MES), email exchange with IRM researcher, 13 November 2020.

Mykola Skyba (Ukrainian Institute of the Future), email exchange with IRM researcher, 22 November 2020.


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After the implementation period, it became available at: https://eiti.gov.ua/.
As confirmed by Volodymyr Kamyslyn (UkrINTEI), email exchange with IRM researcher, 5 November 2020; and by Mykhalo Serebryakov (Together Against Corruption), interview by IRM researcher, 28 October 2020.


III. Multistakeholder Process

3.1. Multistakeholder process throughout action plan implementation

In 2017, OGP adopted the OGP Participation and Co-Creation Standards intended to support participation and co-creation by civil society at all stages of the OGP cycle. All OGP-participating countries are expected to meet these standards. The standards aim to raise ambition and quality of participation during development, implementation, and review of OGP action plans.

OGP’s Articles of Governance also establish participation and co-creation requirements a country or entity must meet in their action plan development and implementation to act according to the OGP process. Ukraine did not act contrary to OGP process.157

Please see Annex I for an overview of Ukraine’s performance implementing the Co-Creation and Participation Standards throughout the action plan implementation.

Table 3.1: Level of Public Influence

The IRM has adapted the International Association for Public Participation (IAP2) “Spectrum of Participation” to apply it to OGP.158 In the spirit of OGP, most countries should aspire to “collaborate.”

<table>
<thead>
<tr>
<th>Level of public influence</th>
<th>During development of action plan</th>
<th>During implementation of action plan</th>
</tr>
</thead>
<tbody>
<tr>
<td>Empower</td>
<td>The government handed decision-making power to members of the public.</td>
<td></td>
</tr>
<tr>
<td>Collaborate</td>
<td>There was iterative dialogue AND the public helped set the agenda.</td>
<td>✔️</td>
</tr>
<tr>
<td>Involve</td>
<td>The government gave feedback on how public inputs were considered.</td>
<td></td>
</tr>
<tr>
<td>Consult</td>
<td>The public could give inputs.</td>
<td></td>
</tr>
<tr>
<td>Inform</td>
<td>The government provided the public with information on the action plan.</td>
<td></td>
</tr>
<tr>
<td>No Consultation</td>
<td>No consultation</td>
<td></td>
</tr>
</tbody>
</table>

During implementation, government officials and civil society in Ukraine’s multistakeholder forum—the Coordination Council (CC) – officially met only once, in December 2019.159 The CC officially met far fewer times during implementation than during the co-creation process, when they held quarterly meetings. However, the CC secretariat (hosted by the Secretariat of the Cabinet of Ministers of Ukraine [SCMU]) met three times to discuss organizational issues of the council with officials and civil society groups.160

Furthermore, members of the CC and nonmembers from civil society organized four public thematic working group meetings.161 Some members stopped participating in the CC during this time,162 while others did not attend these meetings due to limited organizational capacity.163 Thus, these meetings were not considered decision-making CC meetings, because they did not achieve quorum. The CC considered that electing new members would be necessary before the approval of a new action plan. The SCMU and a civil society representative co-chaired CC meetings (including these smaller thematic working groups), and civil society was able to shape the agenda.
In 2020, the CC did not meet at all. The government secretariat ascribed this to the COVID-19 pandemic,164 even though numerous online activities did occur during 2020 for developing the new action plan. The government even held a virtual public discussion with civil society on a specific commitment (i.e., transparent public finance).165

There may have been limited opportunities for engagement in the CC. However, civil society groups acknowledged that there was active input from and collaboration between government and civil society in the implementation of all the commitments.166 The government representative emphasized the central role of civil society organizations (CSOs) and international partners in commitment implementation.167 That representative also highlighted collaborative formats between these parties and authorities, such as the multistakeholder memorandum to develop the mechanism to verify information on ultimate beneficiaries. Also, the Ministry of Youth and Sport formed a working group with grassroots civil society representatives to develop procedures for conducting e-calls for funding CSO projects and activities.

Other related activities engaged the public on open government throughout implementation. In particular, the government held multiple events during Open Government Week (11–17 March 2019).168 According to the government, these events were designed to implement commitment activities.169 Government authorities held a discussion with the public about the content and services of the prospective online platform for citizen-authority interaction (Commitment 13).170 The government, civil society, and international partners organized a public discussion about the procedures of e-calls for funding civil society programs (Commitment 6).171 There was also a conference related to Commitment 17, titled the National Repository of Academic Texts and Digital Services of Open Science.172 Later that year, on 3 July 2019, the CC secretariat and civil society collected and discussed inputs for Commitment 7, to develop the mechanism for verifying information on ultimate beneficiaries.173

157 Acting Contrary to Process - Country did not meet (1) “involve” during the development or “inform” during implementation of the action plan, or (2) the government fails to collect, publish and document a repository on the national OGP website/webpage in line with IRM guidance.
160 Natalia Oksha (SCMU), email exchange with IRM researcher, 2 November 2020; and Olesya Arkhypaska (member of the multistakeholder forum), interview by IRM researcher, 27 October 2020.
161 Olesya Arkhypaska (member of the multistakeholder forum), interview by IRM researcher, 27 October 2020.
162 Oksana Kosenko (United Nations Development Programme in Ukraine), interview by IRM researcher, 29 October 2020.
163 Natalia Oksha (SCMU), email exchange with IRM researcher, 2 November 2020.
165 Olesya Arkhypaska (member of the multistakeholder forum), interview by IRM researcher, 27 October 2020; and Oksana Kosenko (United Nations Development Programme in Ukraine), interview by IRM researcher, 29 October 2020.
168 Natalia Oksha (SCMU), email exchange with IRM researcher, 2 November 2020.


### 3.2. Overview of Ukraine’s performance throughout action plan implementation

Key:
- **Green** = Meets standard
- **Yellow** = In progress (steps have been taken to meet this standard, but standard is not met)
- **Red** = No evidence of action

<table>
<thead>
<tr>
<th>Multistakeholder Forum</th>
<th>During Development</th>
<th>During Implementation</th>
</tr>
</thead>
</table>
| **1a. Forum established:**  
The Coordination Council, mandated by government decree, oversees action plan implementation. | **Green** | **Green** |
| **1b. Regularity:**  
The Coordination Council met once in December 2019, but there were three meetings of the council management working group. Several council members met occasionally to discuss progress on individual commitments, but these meetings did not fulfill quorum requirements. In 2020 the council did not meet at all. OGP standards require that the forums meet at least once every quarter. | **Green** | **Yellow** |
| **1c. Collaborative mandate development:** This standard was assessed in the IRM Design Report. | **Green** | **N/A** |
| **1d. Mandate public:**  
Information on the Coordination Council mandate, structure, and membership is available on the governmental OGP web page. However, the most recent updates on the council membership (as of January 2020) are not on the council webpage. They are on the legislation portal. | **Green** | **Yellow** |
| **2a. Multistakeholder:**  
The Coordination Council includes both governmental and nongovernmental representatives. | **Green** | **Green** |
| **2b. Parity:**  
The council includes an even balance of governmental and nongovernmental representatives, both in its membership and leadership. | **Green** | **Green** |
| **2c. Transparent selection:** The selection process did not change during the implementation period. | **Green** | **N/A** |
| **2d. High-level government representation:**  
During the development of the action plan, the council included a minister, a governmental agency head, and deputy ministers. During implementation, it included the government state secretary, a deputy department head, and deputy ministers. | **Yellow** | **Yellow** |
### 3a. Openness:
The Coordination Council meetings were announced *post-factum*. Therefore, other stakeholders could not participate. Council members invited non-forum sectoral experts from civil society to take part in meetings of its thematic working groups. In addition, any non-council stakeholder was able to provide inputs for specific commitments during public discussions.

<table>
<thead>
<tr>
<th>3b. Remote participation:</th>
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<tr>
<td>Yes, there were opportunities for Coordination Council members and invited stakeholders.</td>
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<tr>
<th>3c. Minutes:</th>
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<tbody>
<tr>
<td>The Coordination Council proactively reports on its meetings and decisions. It also communicates its activities and results to wider government and civil society stakeholders. This is performed via its official government OGP web page. The government also disseminates this information via its social media web page.</td>
</tr>
</tbody>
</table>

**Key:**  
Green = Meets standard  
Yellow = In progress (steps have been taken to meet this standard, but standard is not met)  
Red = No evidence of action

#### Action Plan Implementation

<table>
<thead>
<tr>
<th>4a. Process transparency:</th>
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</table>
| Updates on the progress of commitments are announced on the government OGP web page, alongside other news. There is no dedicated online tracker on the progress against milestones, reasons for delay, or next steps. | Yellow  

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<tr>
<th>4b. Communication channels:</th>
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</table>
| The government OGP web page lacks a built-in feature for the public to comment on action plan progress updates. Some news is accompanied by a call for inputs via email. | Yellow  

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<thead>
<tr>
<th>4c. Engagement with civil society:</th>
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</table>
| In 2019 the government conducted at least one action plan implementation review meeting between government bodies. The government hosted at least four commitment-specific meetings with civil society (including during the Open Government Week in March) to discuss national action plan implementation. In 2020 it held at least one commitment-specific public meeting with civil society about ensuring the transparency of public finance. | Yellow  

<table>
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<tr>
<th>4d. Cooperation with the IRM:</th>
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| The Secretariat of the Cabinet of Ministers shared the link to the draft IRM Design Report on its social media web page. The Secretariat encouraged public input during the public comment phase. It also circulated the draft IRM Design Report among other central government ministries and agencies and collected their feedback. | Green
4e. MSF engagement:
The Coordination Council met at least once to monitor and deliberate on the implementation of the action plan, in December 2019. The authorities reported on progress in implementing commitments. Public officials and invited civil society representatives discussed implementation challenges. There is no evidence of joint government–civil society monitoring activities by the multistakeholder forum in 2020. The Secretariat of the Cabinet of Ministers performs the monitoring.

4f. MSF engagement with self-assessment report:
The government announced a public call for feedback on the draft end-of-term self-assessment report on its OGP web page. The announcement contained a hyperlink to the draft text and indicated an email address for comments during a two-week period. The call was also announced on the OGP Ukraine social media web page.

4g. Repository:
The Secretariat of the Cabinet of Ministers has published a repository on the government OGP website. It is available online, without barriers to access, linked to evidence, and updated regularly. The repository contains a timeline on the action plan process and implementation. Each news item is hyperlinked to a separate governmental web page with more details. In addition, the repository contains an online form for subscribing to a governmental digest.

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176 Natalia Oksha (SCMU), email exchange with IRM researcher, 2 November 2020.
177 Olesia Arkhipyska (member of the multistakeholder forum), interview by IRM researcher, 27 October 2020.
181 Olesia Arkhipyska (member of the multistakeholder forum), interview by IRM researcher, 27 October 2020.
182 Natalia Oksha (SCMU), email exchange with IRM researcher, 2 November 2020.
185 “Timeline,” the Government Portal, the Unified Web-Portal of Executive Authorities of Ukraine, Cabinet of Ministers of Ukraine Secretariat, accessed November 2020, https://www.kmu.gov.ua/timeline/category_id=188&tags=%D0%9F%D0%B0%D1%80%D1%82%D0%BD%D0%B5%D1%81%D1%82%D0%B2%D0%BE%202%D0%92%D1%8E%D0%B4%D0%BA%D1%80%D0%B8%D1%82%D0%BB%D0%89%20%D0%A3%D1%80%D1%8F%D0%B4%22&type=posts.
188 Natalia Oksha (SCMU), email exchange with IRM researcher, 2 November 2020.
191 Natalia Oksha (SCMU), email exchange with IRM researcher, 2 November 2020.
193 Olesya Arkhipyska (member of the multistakeholder forum), interview by IRM researcher, 27 October 2020.
196 “Timeline,” the Government Portal, the Unified Web-Portal of Executive Authorities of Ukraine, Cabinet of Ministers of Ukraine Secretariat, accessed November 2020, https://www.kmu.gov.ua/timeline?category_id=18&tag=%D0%9F%D0%B0%D1%80%D1%82%D0%BD%D0%B5%D1%80%D1%81%D1%82%D0%B2%D0%BE%20%D1%96%D0%B4%D0%BA%D1%80%D0%B8%D1%82%D0%B8%D0%B9%20%D0%93%D1%80%D1%8F%D0%B4%22&type=posts.
IV. Methodology and Sources

Research for the IRM reports is carried out by national researchers. All IRM reports undergo a process of quality control led by IRM staff to ensure that the highest standards of research and due diligence have been applied.

The International Experts Panel (IEP) of the IRM oversees the quality control of each report. The IEP is composed of experts in transparency, participation, accountability, and social science research methods.

Current membership of the International Experts Panel is

- César Cruz-Rubio
- Mary Francoli
- Brendan Halloran
- Jeff Lovitt
- Juanita Olaya

This review process, including the procedure for incorporating comments received, is outlined in greater detail in Section III of the Procedures Manual\(^\text{197}\) and in Ukraine’s Design Report 2018-2020.

About the IRM

The Open Government Partnership (OGP) aims to secure concrete commitments from governments to promote transparency, empower citizens, fight corruption, and harness new technologies to strengthen governance. OGP’s Independent Reporting Mechanism (IRM) assesses development and implementation of national action plans to foster dialogue among stakeholders and improve accountability.

Dmytro Khutkyy is an independent researcher. In Ukraine he serves as an Expert at the Reanimation Package of Reforms and the Coalition for the Advance of e-Democracy. Globally, he acts as the Policy and Advocacy Advisor at the European Digital Development Alliance.

Annex I. IRM Indicators

The indicators and method used in the IRM research can be found in the IRM Procedures Manual. A summary of key indicators the IRM assesses is below:

- **Verifiability:**
  - Not specific enough to verify: As written in the commitment, do the objectives stated and actions proposed lack sufficient clarity and specificity for their completion to be objectively verified through a subsequent assessment process?
  - Specific enough to verify: As written in the commitment, are the objectives stated and actions proposed sufficiently clear and specific to allow for their completion to be objectively verified through a subsequent assessment process?

- **Relevance:** This variable evaluates the commitment’s relevance to OGP values. Based on a close reading of the commitment text as stated in the action plan, the guiding questions to determine the relevance are:
  - Access to Information: Will the government disclose more information or improve the quality of the information disclosed to the public?
  - Civic Participation: Will the government create or improve opportunities or capabilities for the public to inform or influence decisions or policies?
  - Public Accountability: Will the government create or improve public facing opportunities to hold officials answerable for their actions?

- **Potential impact:** This variable assesses the potential impact of the commitment, if completed as written. The IRM researcher uses the text from the action plan to:
  - Identify the social, economic, political, or environmental problem;
  - Establish the status quo at the outset of the action plan; and
  - Assess the degree to which the commitment, if implemented, would impact performance and tackle the problem.

- **Completion:** This variable assesses the commitment’s implementation and progress. This variable is assessed at the end of the action plan cycle, in the IRM Implementation Report.

- **Did It Open Government?** This variable attempts to move beyond measuring outputs and deliverables to looking at how the government practice, in areas relevant to OGP values, has changed as a result of the commitment’s implementation. This variable is assessed at the end of the action plan cycle, in the IRM Implementation Report.

**Results oriented commitments?**
A potentially starred commitment has more potential to be ambitious and to be implemented. A good commitment design is one that clearly describes the:

1. **Problem:** What is the economic, social, political, or environmental problem? Rather than describing an administrative issue or tool (e.g., ‘Misallocation of welfare funds’ is more helpful than ‘lacking a website.’).
2. **Status quo:** What is the status quo of the policy issue at the beginning of an action plan (e.g., “26 percent of judicial corruption complaints are not processed currently.”)?
3. **Change:** Rather than stating intermediary outputs, what is the targeted behavior change that is expected from the commitment’s implementation (e.g., “Doubling
response rates to information requests” is a stronger goal than “publishing a protocol for response.”?

**Starred commitments**

One measure, the “starred commitment” (✪), deserves further explanation due to its particular interest to readers and usefulness for encouraging a race to the top among OGP-participating countries/entities. To receive a star, a commitment must meet several criteria:

- The commitment’s design should be **Verifiable**, **Relevant** to OGP values, and have **Transformative** potential impact. As assessed in the Design Report.
- The commitment’s implementation must be assessed by IRM Implementation Report as **Substantial** or **Complete**.

This variable is assessed at the end of the action plan cycle, in the IRM Implementation Report.

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