

Independent Reporting Mechanism

Report on Local Action Plans
2018–2021

Open
Government
Partnership



Independent
Reporting
Mechanism

IRM Report on Local Action Plans 2018-2021

Early Results and Lessons from 16 Pioneers

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ACKNOWLEDGEMENTS

This report was prepared by the Independent Reporting Mechanism (IRM) of the Open Government Partnership (OGP) in collaboration with regional researchers and reviewed by external experts for quality and consistency. The IRM methodology, quality of IRM products, and review process is overseen by IRM's International Experts Panel. For more information about IRM, refer to the "About IRM" section of the OGP website available [here](#).

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Executive Summary

From ensuring safe water to supporting schools, local governments provide key services impacting people's daily lives. This report takes stock of lessons learned more than five years after the launch of the Open Government Partnership (OGP) Local program. It highlights key ingredients that enable the success of local open government reforms, common challenges to overcome when implementing them, and top recommendations for impactful reforms. These findings come from the assessment of 77 open government reforms implemented by 16 OGP local members from 2018 to 2021.

Ingredients for Stronger Reforms

What factors enable better implementation and outcomes of open government reforms? The IRM found that commitments that achieved the strongest results benefited from several enabling factors, such as clearly defined objectives with realistic activities, strong political support, and strong cross-departmental and multi-stakeholder collaboration throughout the process.

- **Embedding government feedback leads to better results.** One of the most notable areas of success is engaging citizens in prioritizing local government projects and public spending. Crucially, the governments' effort to document and provide feedback to citizens on how these proposals were taken into account strengthened accountability.
- **Participation works best when it addresses the day-to-day challenges of citizens.** The area of urban planning and infrastructure has been a bright spot. Efforts address concrete problems by drawing on user experiences to inform planning decisions, allowing citizens to provide feedback on infrastructure projects, or involving citizens in plans to address specific challenges such as climate change or homelessness.
- **Open data initiatives work best when they support citizen use of the released data.** There has also been a strong emphasis on tools and mechanisms to open up access to government data, increase transparency of procurement, and involve citizens in monitoring contracts. These initiatives have produced some promising results, especially where they support citizens in using the released data, for example to uncover abandoned community projects or participate in oversight of spending decisions.

Common Challenges

What challenges affected the implementation of open government reforms? Many of the planned actions met with obstacles along the way, including COVID-19, changes in political leadership and priorities, poorly conceived commitments, and resource constraints. In many cases, these were exacerbated by an absence of formal mechanisms to ensure ongoing dialogue between government and civil society partners.

- **Open government reforms cannot be sustained without adequate resources.** In almost half of local jurisdictions, limited resources and capacity

meant that governments could not sustain open government infrastructure once established. This is particularly notable in online platforms and portals. Responses to COVID-19 also meant repurposing activities or diverted resources.

- **Political transitions affect commitment implementation.** In some cases, incoming administrations introduced changes to local government priorities, leading to a de-prioritization of the open government agenda. This was sometimes accompanied by sweeping staff changes, leading to loss of institutional memory.
- **Design flaws limit the achievement of results.** A number of commitments included technical design flaws or promised too much and did not achieve the intended results. Other commitments depended on the delivery of actions beyond the control or mandate of those responsible for commitment implementation, which limited their feasibility.

Top Recommendations for Co-Creating and Implementing Local Government Reforms

Experience across these local government pioneers has yielded valuable lessons for OGP Local as a whole and for individual local governments:

Content and design of action plans
Ensure political feasibility , alignment with citizen priorities, and a clear open government approach to achieve stronger commitment results.
Align commitment objectives and activities with political and budgetary cycles, while designing longer-term initiatives that address systemic issues.
Design specific, measurable commitments with clear expected outcomes while allowing for a degree of flexibility in implementation.
Focus on the demand side of open government reforms by supporting the uptake of open data and participation tools and platforms.
Embed government feedback and reasoned response into the design of commitments to strengthen accountability.

Co-creation and implementation process
Build cross-government and cross-party support for open government.
Define clear roles and expectations for civil society engagement in action plan implementation.
Create and institutionalize structures to encourage and support civil society collaboration in action plan implementation.
Embed regular monitoring and ongoing learning into the OGP process to support course correction, sustain stakeholder interest, and build trust.
Ensure sufficient resources and capacity to sustain open government reforms on both the government and civil society sides.

Introduction

Background

In 2016, the Open Government Partnership (OGP) launched the “Subnational Government Pilot Program,” recognizing that many open government innovations and reforms are happening at the local level where governments can engage more directly with citizens and many crucial public services are delivered. The pilot program consisted of 15 “pioneer” subnational governments that signed onto the [Open Government Subnational Declaration](#) and implemented their first action plans throughout 2017. Following the strong early results of the pilot, the OGP Steering Committee approved the expansion of the subnational pilot program, later renamed the OGP Local Program.¹ In 2018, five additional local governments joined the program, bringing the total to 20.

Of those 20 local governments, 16 developed action plans, 12 of which were implemented from 2018–2021, and four of which were implemented from 2019–2021. In total, the sixteen local governments developed seventy-seven commitments, with an average of five each.² In response to delays arising due to the impact of the COVID-19 pandemic, most of the action plans were extended for six to twelve months (see Annex 2).

OGP’s Independent Reporting Mechanism designed and developed this report to assess the implementation of the 16 action plans and provide an overview of local governments’ experiences in delivering them. The second edition of this report extends the previous edition published in May 2022, which focused on the 12 action plans implemented from 2018–2021. This edition provides a new analysis of the four action plans implemented from 2019–2021, offering new summary assessments of each plan and updated key findings across the cohort.

How to read this report

Readers can find an overview of the [key findings](#) across the full cohort of 16 local governments in the first section of the report. They can explore the main [thematic areas](#) covered by the plans and their relevance to OGP values, review a selection of the most promising [early results](#), and review the [main challenges](#) that hindered the completion of commitments. Readers can also learn about the [levels of citizen engagement](#) in action plan implementation across the cohort and reflect on key [lessons and recommendations](#) from the collective experience of the 16 participating local governments.

For those who wish to read a more in-depth analysis of a particular local government’s action plan, Annex 1 provides a [three- to four-page summary assessment](#) of the implementation of each of the 16 local action plans, including early results, verifiability, relevance to open government, potential impact, and level of completion for each commitment, as well as level of civil society and public engagement during design and implementation. These snapshots replace the longer end-of-term reports produced for the first cycle of local government action plans in 2017.

¹ “OGP Local,” Open Government Partnership, <https://www.opengovpartnership.org/ogp-local/>.

² Nariño, Paris, and Seoul each developed three commitments; Austin developed four commitments; the Basque Country, Elgeyo Marakwet, Kaduna State, Madrid, São Paulo, Scotland, Sekondi-Takoradi, South Cotabato, and Tbilisi each developed five commitments; La Libertad developed six commitments; and Jalisco developed eight commitments. Buenos Aires developed fourteen commitments in total. For the purposes of this report, the fourteen commitments have been clustered under five commitment areas (including all fourteen of Buenos Aires’ commitments, the total number of commitments is eighty-six).

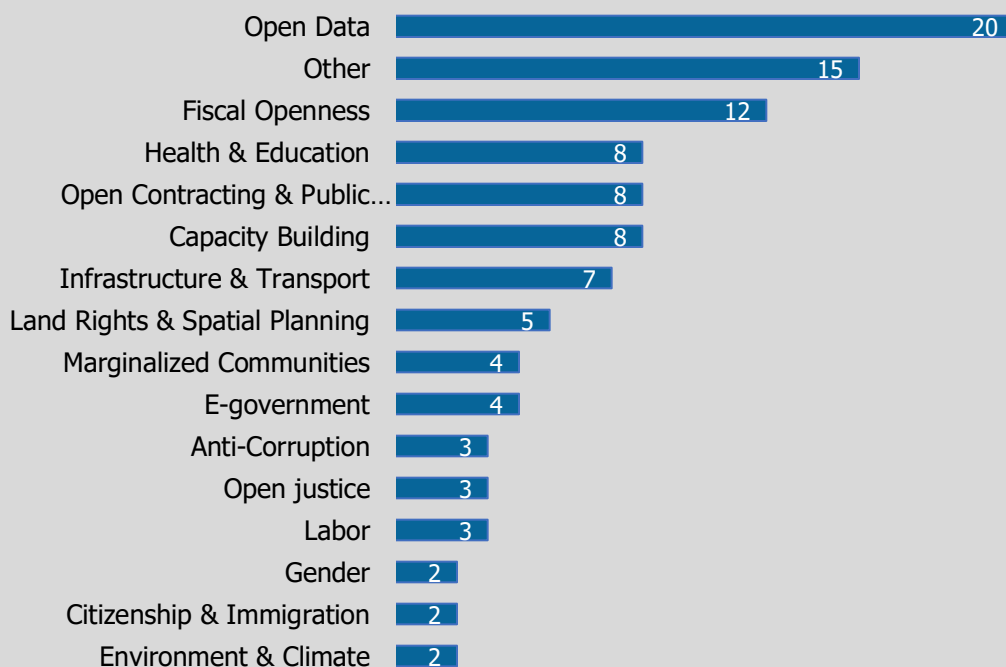
Key Findings

A. THEMATIC FOCUS AND RELEVANCE OF ACTION PLANS

Most commitments in the 2018–2021 local action plans focus on “core” Open Government Partnership (OGP) thematic areas, such as fiscal openness or open contracting. There is a particular emphasis on tools and mechanisms to open access to government data.¹ There is less attention paid to the practical use of that data to exact accountability. As a result, most commitments are relevant to OGP values of access to information and civic participation, but there is a notable gap in the area of public accountability. Commitments have not yet yielded the level of innovation envisaged in the Local Government Program Strategy. The themes of infrastructure & transport and land rights & spatial planning—which are of more direct relevance to the daily experience of citizens at the local level—are notable exceptions and ones that have seen relatively strong early results.

In 2018 and 2019, the 16 local members covered in this report co-created a total of 77 commitments² to be implemented over two years. These commitments addressed a broad range of themes, responding to local needs and priorities.

Commitment Thematic Focus



** Note that some commitments cover more than one thematic area; hence, the figures do not mirror the total number of commitments*

The majority of commitments focus on what might be considered “core” open government themes, such as open data, fiscal openness, and open contracting. These themes are like those found in many OGP action plans at the national level.

However, several commitments focus on areas more directly relevant to the daily experience of citizens at the local level. One such cluster of commitments falls under the areas of infrastructure & transport and land rights & spatial planning. Notable examples include the creation of a dynamic urban map of **Buenos Aires** to help build awareness among citizens of the new urban code and building code, the development of a web platform for tracking land use permits in **Sekondi-Takoradi**, or the design of a subway transfer map for vulnerable populations through citizen participation in **Seoul**. Of the commitments that addressed the issues of infrastructure & transport or land rights & spatial planning, 45% achieved early results. This is compared to 30% of commitments overall, which suggests that these areas may be promising for future local action plans (see further discussion under “Early Results” below).

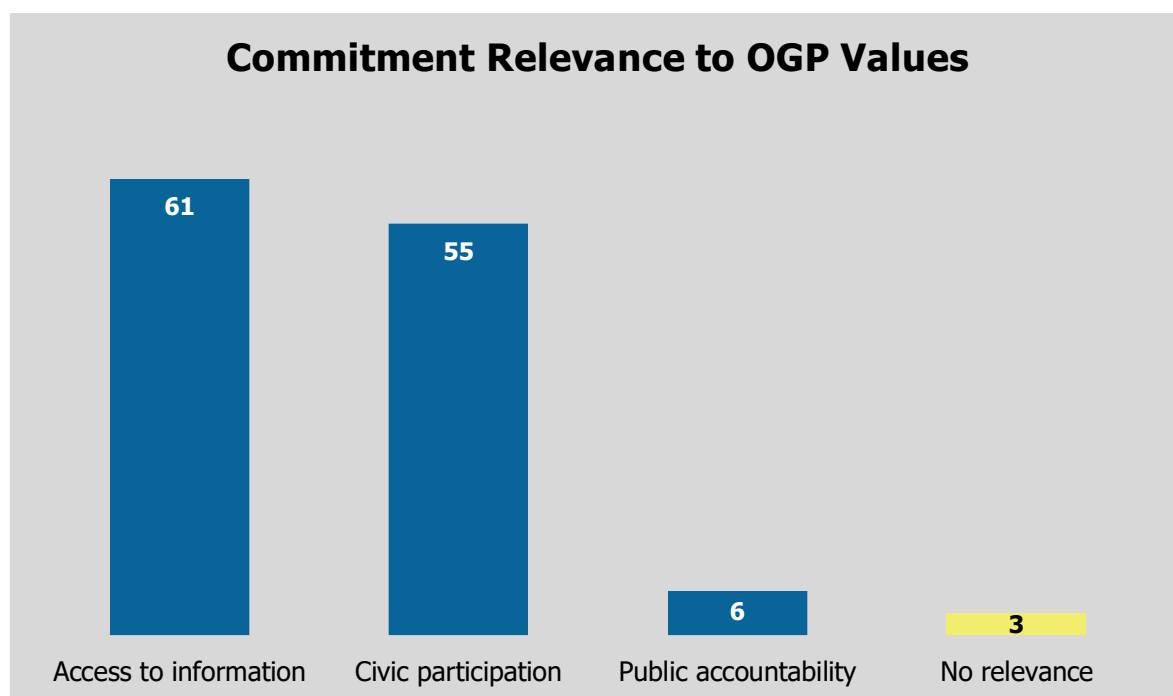
Of the seventy-seven commitments, only four focused on labor issues or business innovation, an area ripe for growth at the local level. Two of these commitments specifically targeted youth groups (supporting youth start-ups in the field of smart cities in **Seoul** and empowering youth to access business opportunities in **Elgeyo Marakwet**), while the other two aimed at strengthening the coffee sector in **Nariño** and the local business environment more broadly in **Kaduna State**. However, none of these achieved strong early results, either because of limited completion (Elgeyo Marakwet, Seoul, Nariño) or because of limited collaboration with civil society organizations (CSOs) due to high turnover of government officials (Kaduna State, Nariño).



Other innovative areas, albeit largely concentrated in a few action plans, include a commitment on migration (Innovation Lab for Citizen Engagement [[ILAB](#)] in the **Basque Country**), two on gender (Open Gender Budgeting and Integrated Sexual Education in **Buenos Aires**), three on the justice sector (Open Justice and Innovation Laboratory in **Buenos Aires**, and Inclusion in court contracting and Public safety data analysis in **Austin**), and one on culture (Opening up information for the promotion of culture in **Buenos Aires**).

Of the 77 commitments, 61 (79%) were relevant to the OGP value access to information and 55 (71%) were relevant to the OGP value civic participation. To advance these values, many commitments relied on online platforms and portals. Three commitments (4%) had no relevance to any OGP values.³

Only six commitments (8%) were relevant to the value of public accountability, which is the same proportion as found in the 2018 national OGP action plans globally. Of the six accountability-focused commitments, none were fully completed. One was substantially completed, four were completed to a limited extent, and one was not started. Furthermore, only two of the accountability-focused commitments achieved early results, namely the introduction of a new community-strengthening mechanism in **Buenos Aires** ("Buenos Aires Convive") and the adoption of the Open Contracting Data Standard (OCDS) to facilitate public oversight of procurement in **Elgeyo Marakwet**. For those that did not achieve early results, this was either because the commitment was not started (strengthening accountability of the regional government in **La Libertad**), limited in its completion (promoting gender equity in **Buenos Aires**), or because the commitment was not precise enough in its design (anonymous online whistleblower reporting channel in **Madrid** and efforts to improve citizens' understanding of, and access to, accountability and scrutiny bodies in **Scotland**).



B. EARLY RESULTS FROM ACTION PLAN IMPLEMENTATION⁴

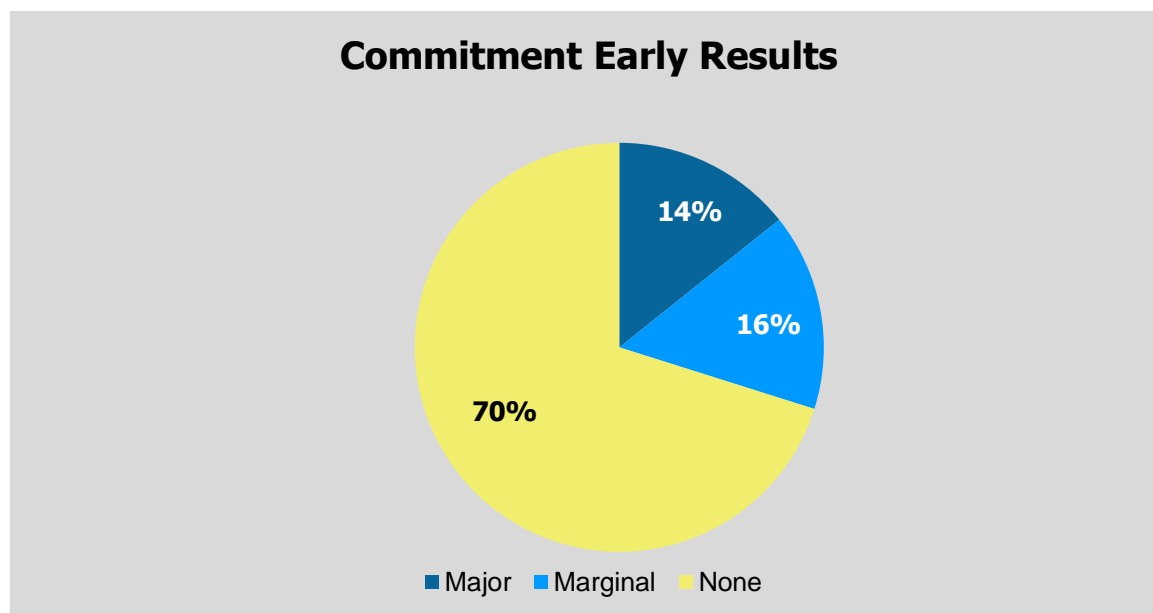
Strong commitment design is key to successful implementation. Commitments that achieved strong early results were also those that were considered to have greater potential impact at the design stage. Of the 23 commitments that achieved early results, only four were rated as having minor potential impact.

Out of the 77 commitments, 23 (30%) were considered to have achieved early results by the end of the action plan implementation period. Of those, 11 commitments (48%) were considered to have played a major role in opening government, while the remaining 10 (52%) played a marginal role. All local OGP members saw early results under at least one commitment, except for La Libertad, Nariño, and South Cotabato.

Commitments that achieved strong early results benefited from several enabling factors, including clearly defined objectives and (often sequential) activities that charted a clear path to a predefined outcome; realistic milestones that were within the control of the action plan implementers; strong political support and leadership; coordinated action and cross-departmental collaboration; and sharing of experiences and ongoing dialogue throughout the process.

Putting citizens at the center of spending decisions

A notable area of success across the cohort has been the promotion of active involvement of citizens in prioritizing local government projects and spending decisions. This has helped ensure that governments are targeting a portion of their budgets on areas that are of most concern to local residents. A key factor in producing positive results in a few of these initiatives has been not only citizens' ability to suggest and vote on priorities, but the governments' feedback and responses to how these proposals were considered, thus strengthening the government accountability to their citizens.



The objective of Commitment 3 in **Buenos Aires'** action plan was to introduce a process through which citizens could monitor the results of the various civic participation mechanisms in the city. Although the Buenos Aires government had already implemented a range of policies and programs to promote civic participation, there was no specific process to determine how the contributions of citizens were considered in government decision-making. To address this, the government published the results of each participatory decision-making process on the [BA Data platform](#), including explanations of how these informed specific public policies. This is an example of how an accountability process can help close the feedback loop between government and citizens, and ultimately this builds confidence among citizens that their input is being considered.

São Paulo also experienced a qualitative improvement in citizen participation, thanks to the adoption of a new participatory budgeting mechanism through the city government's public participation platform [Participe+](#). The platform facilitates follow-up by registering information on the proposals submitted, the number of votes received, and the proposals accepted. Previously, citizens' budget proposals were paper-based, and there was no mechanism to monitor government decision-making.

To promote a stronger culture of inclusive citizen participation and deliberation in the region, the government of the **Basque Country**, in partnership with public agencies and city councils, developed two interrelated innovation models for citizen participation. The [ILAB](#) has so far succeeded in establishing a set of shared principles to guide future participation projects, and they have delivered four participation pilots based on these principles. The government also introduced the concept of an [Open Eskola](#), a model for learning that promotes more active citizenship and a more open administration through training in collaboration skills.

Involving citizens in urban planning

As noted above, the area of urban planning and infrastructure is a bright spot among the 2018–2021 action plans. Central to the success of these initiatives is the fact that the commitments address concrete problems and produce clear outcomes based on the day-to-day experience of citizens. These commitments draw on user experiences to inform planning decisions (Seoul, Buenos Aires), allow citizens to provide direct feedback on infrastructure projects (Sekondi-Takoradi, Kaduna State), or involve citizens in plans to address specific urban challenges such as climate change or homelessness (Austin, Paris).

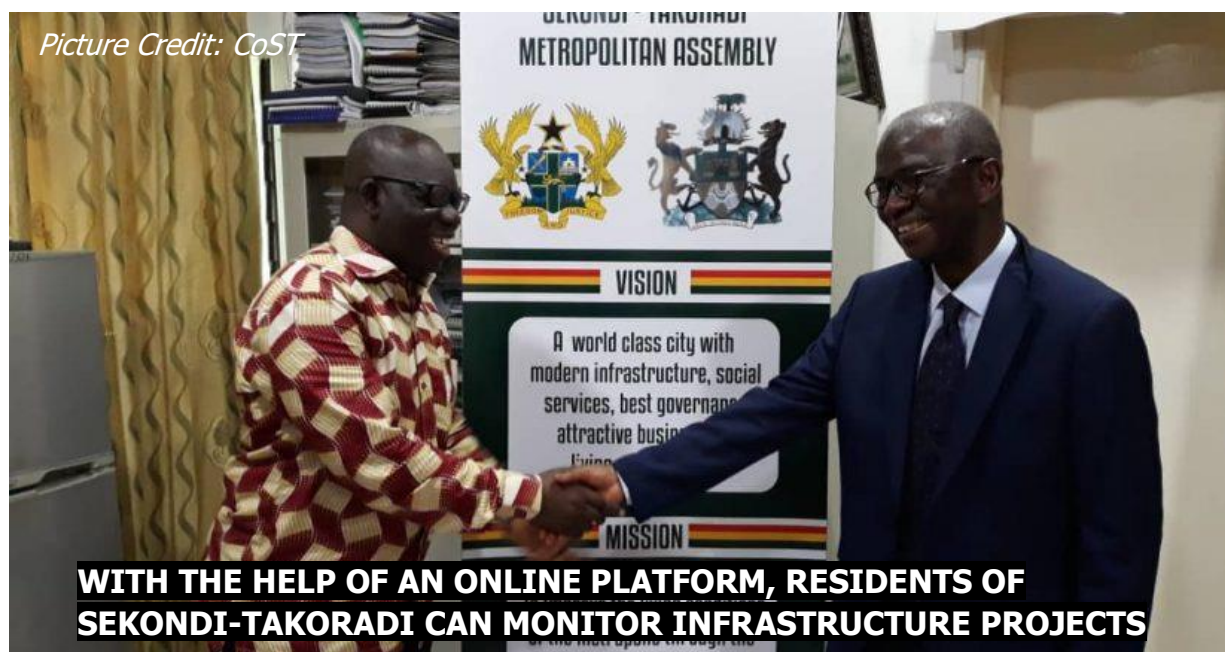
In **Seoul**, the civil society collective Muui worked with the Seoul Metropolitan Government (SMG) to adopt their subway transfer map design principles to make the maps more accessible and inclusive for all citizens. For vulnerable populations, difficulty finding accurate and accessible information on transfer maps in subway stations had been identified as an important obstacle to using the system. Supported by the Seoul Design Foundation, volunteers collected data on the time it took individuals who are part of these vulnerable populations to understand subway transfer maps and developed new design prototypes for the Seoul Metro app. Kakao, one of Korea's largest tech companies, also adapted the inclusive design for their popular KakaoMaps. Furthermore, the initiative has encouraged the Ministry of Interior and Safety to consult Muui on the development of a

set of universal design principles and guidelines for accessibility of government buildings for vulnerable citizens, with a view to implementing them in other areas of public service.

To help address the problem of delays in permit applications and the resulting incentives for bribery, the **Sekondi-Takoradi** Metropolitan Assembly (STMA) developed an [online platform](#) where users can track progress of permit applications and provide feedback to authorities on infrastructure projects. As part of the initiative, the STMA trained 40 planning inspectors, building inspectors, and revenue collectors to use and update the platform. STMA also purchased a drone to monitor infrastructure projects and follow up on reports of illegal infrastructure development. By enhancing the capacity of the building and revenue inspectors, as well as introducing the drones in project surveillance, the STMA can undertake more effective inspection of public infrastructure projects.

Buenos Aires introduced a dynamic urban map of the city to help build awareness among citizens living in the area of the new urban code and building code. The government developed training materials and citizen-friendly information related to construction in the city, including neighborhood boundary information and information on protected land, which it published on the [Plano Abierto](#) platform. Another notable achievement in **Buenos Aires** was an increase in the use of bicycles, due in part to the incorporation of user experiences into improvements to the public cycling system in the city through surveys, awareness-raising campaigns, and training. As a result, by the end of 2020, the number of trips by bicycle had increased tenfold since 2009 and by 27% since 2019.⁵

In **Kaduna State**, the government's "Eyes and Ears" project enabled citizens to provide feedback via multiple platforms on the quality of government projects and services, allowing the government to better prioritize spending. In September 2020 alone, the government received 141 reports and complaints on a range of infrastructure projects. They resolved 90 within a month. The share of infrastructure projects completed on time



has increased significantly as a result, while more than 16 contractors have been blocked based on citizens' reports of unsatisfactory work.⁶

Austin developed a Climate Equity Plan with input from approximately 200 community members, focusing on racially and economically diverse residents, to improve the plan's inclusion of marginalized groups. The plan set Austin's goal of equitably reaching net-zero greenhouse gas emissions by 2040, addressing housing, transportation, land use, natural systems management, and food and product consumption. **Paris** also co-created a new city-wide climate plan, establishing ambitious environmental goals for 2050, including eradication of emissions, full transition to renewable energy, and halving of overall energy consumption. Paris mobilized youth volunteers to help roll out the plan, including through the establishment of the Climate Academy for Climate Volunteers in September 2021, which has engaged nearly 30,000 young people to date.

Both **Austin** and **Paris** have also engaged citizens in addressing homelessness, in the case of Austin by re-codifying the contracting process of the Downtown Austin Community Court to include the perspective of people experiencing homelessness throughout the purchasing process, and in the case of Paris, by establishing a "Solidarity Factory" as a space to facilitate exchanges between citizens and government representatives on issues related to solidarity, homelessness, and COVID-19 (see further discussion below under "Adapting to the COVID-19 Pandemic"). The Solidarity Factory also informs public policy decisions through weekly reports submitted by its director to the Paris City Council.

Opening up public procurement

Initiatives to increase transparency of procurement and involve citizens in contract monitoring processes feature in seven of the 16 action plans. In five cases, these initiatives have produced some promising early results, especially when they have included work to support citizens to use the released data (Kaduna State) or push for more effective policies (São Paulo).

Picture Credit: OGP



Kaduna State made progress in adopting the OCDS across government and successfully launched an [e-procurement portal](#) and an [open contracting portal](#). Although the scope of contracting information on the portals varies across government departments, the portal has enabled citizens to access information more easily on contracting processes online. This was previously either not publicly available or only paper-based. Training on the use of the portals increased the capacity of the Community Youth Volunteer Network Initiative to monitor projects. As a result, the youth network uncovered numerous abandoned or poorly executed projects in the region,⁷ thus helping to hold the government accountable for its use of public resources.

The city of **São Paulo** made several technical improvements to the information it makes available on contracts, bids, and budgetary execution to enable standardization and regional disaggregation of budget and procurement data. Access to this kind of disaggregated data had long been a demand of local civil society organizations because it would enable them to push for more effective public policies and support the fight against socio-spatial inequalities within the city. The city hall also adopted criteria for new investments in the city to allocate a small portion of the budget according to socioeconomic indicators. As a result, underprivileged districts will receive more funds than affluent districts.

In **Elgeyo Marakwet**, the government made significant progress in improving procurement transparency by developing an [open contracting portal](#). While the government has yet to upload all relevant information on the portal, tender outcomes, including evaluation scores and the bills of quantities, are published. Furthermore, the push for reforms in Elgeyo Marakwet's public procurement since joining OGP resulted in the adoption of the OCDS in April 2021, going beyond the initial ambition of Elgeyo Marakwet's action plan.

Increasing financial transparency

Five action plans include efforts to incrementally provide more data and information on local government finances. While commitments sought to contextualize and link data across different government areas, it has helped give citizens a much clearer picture of how government spending is allocated and why certain areas are prioritized.

Scotland made important steps in deepening its commitment to financial transparency, building on the work started under its first action plan. The Scottish parliament enacted the Scottish National Investment Bank Act in 2020, with specific provisions on external accountability and ethical investment. The government also made progressively stronger and more explicit links between spending decisions and outcomes through the publication of a Spending Review Framework,⁸ improved linking and cross-referencing of existing performance reporting under its annual consolidated accounts,⁹ and the publication of a progress review against the [National Performance Framework](#)—the government's overarching monitoring framework for its policy objectives. Toward the end of its action plan, the Scottish government also commissioned a "discovery project" into the design requirements for an online budget portal, with the goal of deepening the ambition of its financial transparency work in the future.

A new member of OGP in 2018, the **Basque Country** made a significant contribution to open government by establishing high-quality standards for the publication and reuse of data, facilitating comparison, and linking data across different public institutions. This includes datasets directly relevant to facilitating citizen oversight of government, such as information on budgets, agreements with other institutions, and subsidies.

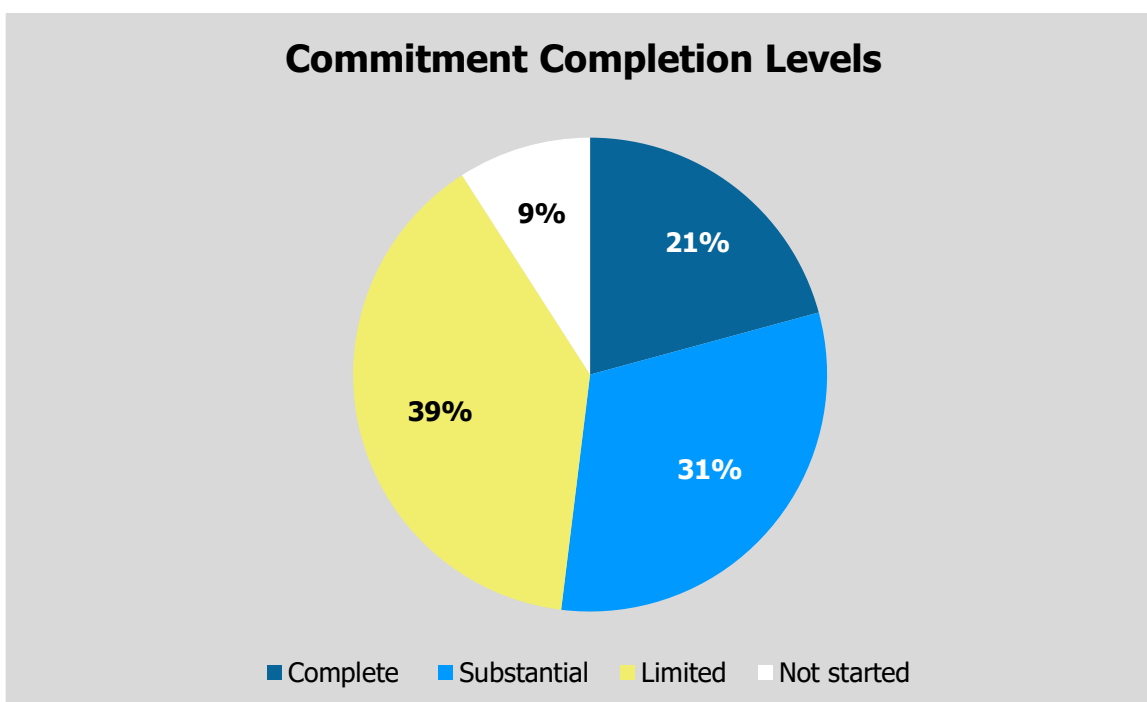
C. CHALLENGES IN ACTION PLAN IMPLEMENTATION

The impact of the COVID-19 pandemic, changes in political leadership and political priorities, poorly conceived or designed commitments, and resource constraints were the main obstacles to implementation in this cohort.

Just over half (52%) of commitments were either fully or substantially completed, while 9% were not started. This compares to 61% of commitments that were fully or substantially completed in the 2018 OGP national action plans. The level of completion varied significantly across local governments. For example, Jalisco and São Paulo fully or substantially completed all of their commitments, whereas five out of six of La Libertad's commitments were not started, and the other was only completed to a limited extent.

Changes in political leadership and loss of institutional memory

Political changes emerged as one of the key challenges to successfully implementing commitments across several local government action plans. In some cases, incoming administrations introduced changes to local government priorities, leading to a de-



prioritization of the open government agenda. This was also sometimes accompanied by sweeping staff changes, which meant that those responsible for commitment implementation were no longer in position, leading to a loss of institutional memory. Regular staff turnover was also a challenge in some cases.

La Libertad is a stark example of the adverse effects of political transitions on the implementation of open government reforms. A new regional government took office in 2019, immediately after the submission of the 2018–2020 action plan. The new administration shifted priorities away from the open government action plan. Among other things, the new administration removed many officials from the previous administration, including the one responsible for drafting the action plan and coordinating five of the six commitments. As a result, these five commitments were not started.

In **Nariño**, a number of the action plan commitments were reformulated once a new administration came to power in 2020. The government replaced the previous administration's open government policy (Gobierno Abierto Nariño) and abandoned its online open government repository, making it difficult to track progress on commitment implementation thereafter.

Madrid also witnessed a change in government during the implementation of its action plan following local elections in May 2019. The change in government affected, in particular, the implementation of Commitments 3 and 5. Under Commitment 3, the city of Madrid had proposed to develop an online tracker to monitor implementation of the Government Plan of the Madrid City Council. However, the launch was delayed and is set to happen in 2022. This was in part due to updates made to the Strategic Plan of the City of Madrid, which is the basis for the tracker. In the case of Commitment 5, the newly elected government rescinded the City Observatory and created a new structure called the Consejo Social de la Ciudad, stating that the Observatory was an inefficient model of citizen participation without the competencies to participate in the broader strategic planning. The government also stated that it did not fall under the scope of the new model for citizen participation that was under preparation.

Tbilisi's action plan suffered a similar fate, with one of its five commitments not started and three only completed to a limited extent. The multiple changes to the city administration during the implementation phase, including two changes to the designated OGP point of contact (POC), resulted in a dissolved sense of ownership of the action plan, a confusing process, and inactivity of the working group (i.e., Multi-Stakeholder Forum [MSF]) on both the government's and civil society's sides. Because the OGP process was tied to specific individuals rather than institutions, personnel changes meant that commitments were simply abandoned.

Commitments under other local action plans were affected by regular staff turnover.

Seoul's second commitment to improving citizens' digital literacy and civic hacking, for example, suffered from two major obstacles: a loss of institutional memory due to frequent changes in the personnel in charge of coordinating the implementation of the commitment and the failure of the government to maintain any internal or public repository. This resulted in confusion over who had access to key information. In **Buenos Aires**, the publication of information on Integrated Sexual Education under Commitment

11 was only completed after the action plan implementation period because of staff changes within the sexual education teams in charge of implementing the commitment. In **Kaduna State**, collaboration between the Investment Promotion Agency and civil society organizations in revising the State's Ease of Doing Business Charter and Service-Level Agreements and Standards was hindered by the rate of staff turnover and rotation of government officials.

Commitment design

A second recurring barrier to successful commitment implementation relates to the design of the commitments themselves. Several commitments included technical design flaws or promised too much, meaning that they did not achieve the intended results.

Commitment 1 in **Madrid** on the development of an anonymous online whistleblower reporting channel is a clear example of poorly conceived commitment design, which led to unintended outcomes. As planned, the government introduced an electronic form on its website for anonymous reporting of corruption cases. While the back-end system allows the electronic processing of files with high standards of security and confidentiality, the online form uses the same systems as other websites and online forms on the Madrid City website, which register the IP address from which the request is made. As a result, the security of communication and anonymity of the person filing the report cannot be guaranteed, undermining the central objective of the commitment.

Tbilisi, Sekondi-Takoradi, and the Basque Country's action plans, meanwhile, offer examples of commitments that overpromised, leading to limited levels of completion. Commitments 1 and 3 in **Tbilisi**, for example, included adopting "supportive legislation" for a Civic Activities Portal "Smart Map" and online one-stop-shop for citizens to access city hall services, respectively. This legislation was not adopted, nor was it clear what the legislation would entail if proposed. In **Sekondi-Takoradi**, meanwhile, several milestones included plans to evaluate the impact of the activities delivered, which was not achieved within the action plan time frame. Examples include the proposed evaluation of a training of community champions on the use of the new infrastructure platform, an evaluation of the effect of the planned Media Award and radio debates on public confidence, or social media research trials to evaluate how effective different outreach messages are at attracting engagement on budget monitoring. A similar scenario occurred under Commitment 1 in the **Basque Country**, where there was insufficient time to conduct proper evaluations of the five pilots carried out to test the standards for information disclosure for so-called "mandate plans" (government programs) of Basque institutions that were developed as part of the commitment.

Other commitments depended on the delivery of other actions beyond the control of those responsible for commitment implementation that limited their feasibility. In **Madrid**, for example, the development of a web platform to communicate relevant information on waste prevention and management in the city had to be reconsidered because the Madrid Court subsequently annulled the city of Madrid's Waste Strategy 2018–2022 on the basis that the technical requirements were not met during the approval of the strategy. In this context, Madrid opted to prioritize transparency by publishing existing data and information regarding waste management in a visual and user-friendly manner. Two of

Elgeyo Marakwet's commitments were negatively affected by external factors, which hindered their full implementation. Under Commitment 1, the government did not ultimately develop a set of procurement guiding documents as planned, in part because the manuals, operating procedures, and templates envisaged were adapted from the national government procurement systems, and there was ultimately little room to make any major changes as planned. Under Commitment 4, the County Department of Public Service and County Administration did not introduce a complaints framework into the staff performance contracting system since performance contracts were not cascaded below county executive members (equivalent to sectoral ministers) as expected.

Certain commitment milestones were only fully defined during implementation due to imprecise commitment design, which ultimately shortened the implementation period. In some cases, the decision to leave the precise design of commitments and milestones until the implementation phase was a deliberate strategy to allow room for a variety of voices to feed into the implementation process. However, the desired level of consultation did not always materialize in practice once the formal consultation structures established under the action plan design phase dissipated.

In **Madrid**, most of the commitments included definition and prioritization work during implementation. This was the case for the development of the [Madrid en Datos](#) open data portal (Commitment 2), the government online commitment tracker (Commitment 3), and transparency in waste management in the city of Madrid (Commitment 4). However, this did not happen in practice. Under Commitment 1, neither the named CSO partners nor the Municipal Office against Fraud and Corruption reported any type of engagement or interaction during the implementation period. Regarding Commitment 2, there was no consultation or participation process to identify the needs or to define the information to be included on the Madrid en Datos data portal, despite this being a specific milestone in the commitment. In **Scotland**, the decision to leave the definition of concrete activities to the implementation phase under Commitment 4 (Improving the Accountability of Public Services) led to mismatched expectations and internal disagreements within the working group responsible for implementation. As a result, the ultimate outcome of the first part of the commitment was the publication of a public services accountability information and signposting [booklet](#) by Citizen's Advice Scotland, which fell short in terms of the commitment's stated ambition to improve the citizen's understanding of and access to accountability mechanisms.

Resource and capacity constraints

In almost half of local jurisdictions, limited resources or capacity negatively affected the government's ability to sustain open government infrastructure once established. This is particularly notable regarding certain online platforms and portals that were not regularly updated or feedback mechanisms that were not effectively run after their initial launch.

In **Elgeyo Marakwet**, the county government's [open data portal](#) failed to yield significant results because the government had not implemented measures for continued updating of the information and the data portal. In **Sekondi-Takoradi**, the Public Procurement Authority online geospatial Information Platform for Public Infrastructure did not include any data from procuring entities, as planned. The planned toll-free lines are also still out

of service because of financial constraints. In **South Cotabato**, the government launched the Integrated Provincial Online Database, which integrates five other government databases (containing information on government programs and services, open contracting, monitoring data, mining, and legislation) in 2019. However, the data uploaded onto iPOD is limited in scope, and much of it is not up to date. In **La Libertad**, the regional government launched the “[Decide La Libertad](#)” web platform based on the “Decide Madrid” model in Spain. While 2,000 people signed up to the website following its launch, it has since become inactive.

Meanwhile, **São Paulo**’s online platform hosting regionally disaggregated education data, [Regionalização](#), is not updated frequently enough to enable civil society to monitor allocations promptly. Currently, data is only available for 2018 and 2019. In **Paris**, while a historical [series of public procurement data](#) dating back to 2013 was republished using the OCDS, limited resources and capacity meant that the city government could not publish additional data as planned, nor was the anticipated data visualization tool launched. Furthermore, the government did not convene the intended internal government working groups meant to redefine the data management strategy, assess demand, and reconfigure the data.

Adapting to the COVID-19 Pandemic

The rapid spread of the COVID-19 pandemic in early 2020 coincided more or less with the halfway point of the implementation phase of most action plans, affecting the commitment completion rate in the second half of action plan cycles. Responses to the pandemic meant that travel and face-to-face meetings were not possible for long periods, which inevitably limited the degree of collaboration between governments and civil society as well as internal coordination within governments. The impact on commitment completion was particularly evident for activities that required close involvement of citizens, such as public participation mechanisms or training sessions. While some efforts were made to hold meetings or run activities online (such as online events to present student open government projects in São Paulo, remote gathering of inputs on the Scottish National Investment Bank’s ethical standards in Scotland, or Facebook live streams on COVID-19 in South Cotabato), this was not always possible, especially in areas where internet penetration is very low, such as in Nariño. Even where they did occur, the reach of online activities was often lower than had been planned for the original offline events. At the same time, the urgency of the pandemic meant time and resources were often diverted, and in some cases, staff redeployed to support the immediate response to the health crisis on both the government and civil society sides.

At the same time, there were some examples of innovative repurposing of commitments to adapt to the crisis. In Scotland, for example, the government brought together a new virtual COVID Public Engagement and Participation team to provide direction to public engagement carried out through the COVID-19 recovery. The Scottish government also published weekly COVID-19 datasets on its open data portal to address the rapid increase in demand for easily accessible data on the pandemic while also developing an Ethics

Framework to consider the ethics, risks, and benefits of sharing such data. Similarly, the government of Madrid created a new ad hoc web portal, providing information related to the spread and evolution of COVID-19 cases in the city, including maps, graphs, and other visualizations. In South Cotabato, the government uploaded COVID-19-related data onto its Open Contracting portal to increase transparency in the procurement process during the pandemic. In Paris, the city government created an umbrella initiative called Volunteers for Paris, which streamlined volunteer engagement programs (including the action plan's Solidarity Factory and Climate Volunteers commitments) and played a central role in Paris' COVID-19 response. The Volunteers for Paris initiative was key to centralizing information and coordinating civil society organizations, volunteers, and government representatives, reaching more than 12,500 Parisians between 2019 and 2021.



D. CITIZEN ENGAGEMENT DURING ACTION PLAN IMPLEMENTATION

In two cases, the level of citizen engagement was strengthened between the design and implementation phases of the action plans (Kaduna State and São Paulo). In both cases, a key enabling factor was the establishment of technical working groups for specific commitments with broad membership, technical expertise, and shared responsibility for implementation.

In all other cases, the level of citizen engagement either remained the same or weakened, and in five cases, citizen engagement weakened significantly (Austin, Elgeyo Marakwet, Madrid, Sekondi-Takoradi, and Tbilisi). This was because the objectives and expectations of civil society participation during implementation were often not clearly defined, and the structures set up to support co-creation of the action plans often dissipated once the plans were signed off.

It should be noted that the level of citizen engagement across the design and implementation phases of action plans is not directly comparable, as the forms and objectives of citizen engagement are not the same. Meaningful citizen engagement in the design of action plans requires broad stakeholder participation in defining action plan priorities and a reasoned response from government on how public inputs were incorporated. Citizen engagement in the implementation of action plans, meanwhile, can take various forms, including collaboration in the delivery of commitments as well as monitoring of commitment implementation.

	2018–2021 Action Plans		Change
	Design	Implementation	
Austin	Collaborate	Consult	Weakened
Basque Country	Collaborate	Collaborate	No change
Buenos Aires	Collaborate	Collaborate	No change
Elgeyo Marakwet	Collaborate	Inform	Weakened
Jalisco	Involve	Involve	No change
Kaduna State	Involve	Collaborate	Strengthened
La Libertad	Consult	Inform	Weakened
Madrid	Consult	No consultation	Weakened
Nariño	Consult	Inform	Weakened
Paris	Consult	Inform	Weakened
São Paulo	Involve	Collaborate	Strengthened
Scotland	Involve	Consult	Weakened
Sekondi-Takoradi	Collaborate	Inform	Weakened
Seoul	Consult	Consult	No change
South Cotabato	Collaborate	Consult	Weakened
Tbilisi	Collaborate	Consult	Weakened

In many cases, the level of citizen engagement during implementation also weakened compared to the implementation phase of the 2017 action plans. Of the 12 local members who have delivered two action plans, the level of citizen engagement during action plan implementation weakened between the first and second cycles in seven cases¹⁰ and remained the same in four cases.¹¹ Only in one case (Paris) did it improve. To a large extent, this can be attributed to the restrictions imposed across all local members to deal with the impact of the COVID-19 pandemic. (See further discussion above). However, the response to the pandemic was not the only cause. Other reasons include absence of formal mechanisms to ensure ongoing dialogue during implementation and failures to adequately communicate progress on commitments.

Dialogue mechanisms

A recurring challenge experienced across several jurisdictions was the absence of formal mechanisms to ensure ongoing dialogue during implementation. In many cases, the government took control of the implementation process with no clear and meaningful roles for civil society in the implementation of commitments beyond a vaguely articulated oversight role. Furthermore, changes in political leadership and turnover of key staff, as discussed above, led to the breakdown in relationships between key government and civil society contact points in some cases. As a result, the emphasis on collaboration during co-creation often lost momentum once the plans were signed off.


In **La Libertad**, stakeholder participation decreased significantly during implementation compared to the action plan design phase. Any engagement that did exist was channeled through the civil society focal point, with the last documented meeting between civil society organizations and the regional government taking place in September 2019—more than a year before the end of the action plan implementation time frame ended. **Madrid** did not establish an MSF either during the design or implementation of its second action plan. As a result, there were no regular spaces for civil society participation and deliberation regarding the OGP process or open government policies in general. The overall level of engagement during the implementation of Madrid's second action plan therefore worsened compared to the design phase. In **Seoul**, there was no formal MSF mechanism in place. Only six meetings took place throughout the implementation cycle, although stakeholders involved in each commitment also met separately to discuss implementation. In **Elgeyo Marakwet**, while the joint structure established for co-creation was not formally disbanded, the government did not schedule joint meetings or implementation activities. The secretariat duties for the MSF—such as maintaining records and coordinating meetings—reverted from CSOs during co-creation to government during implementation. Neither the government nor the CSOs provided evidence of any MSF meetings occurring over the implementation period. As a result, CSOs had inadequate forums to provide input or feedback during implementation. **Tbilisi** also has an MSF (working group) in place, which is legally mandated to work on open government issues. The working group is chaired by the Head of Tbilisi City Hall Administration and consists of around 20 members representing city hall and its respective agencies, CSOs, and development partners. However, although regular meetings took place during the design and initial phases of the 2018–2019 action plan implementation, working group engagement slowed considerably following the replacement of the first OGP POC in 2018.

Technical working groups

In contrast, the level of citizen engagement improved during implementation compared to the design phase in two cases: São Paulo and Kaduna State. This was in part due to the establishment of technical working groups for specific commitments with shared responsibility for implementation. The working groups comprised members of the MSF as well as other government and civil society representatives who had a specific role or particular expertise in the implementation of commitments.

In **São Paulo**, the MSF created five working groups, one for each commitment, formed by municipal agencies (secretariats) involved in each commitment and CSOs represented in the MSF. Members were selected based on their interest or thematic expertise on the commitment. The working groups met in person monthly to monitor progress on the milestones. In addition, the MSF organized several open sessions during action plan implementation, including three meetings to take stock of the implementation of the commitments, five open meetings to disseminate the plan in five different regions of the city, and one thematic webinar on decentralization of the budget, which included presentations from CSOs. In **Kaduna State**, the level of engagement and quality of dialogue between government and civil society during implementation of the action plan also improved compared to the co-creation stage, mainly thanks to strong institutionalization and a clear commitment from the government and CSOs to engage. Commitment implementation, in some cases, was a shared responsibility between both CSOs and government agencies. For example, under Commitment 3, the Tax Justice

Picture Credit: OGP



KADUNA STATE'S TECHNICAL WORKING GROUPS PAVED THE WAY FOR SUCCESSFUL INITIATIVES, LIKE CITIZEN MONITORING OF THE CONDITIONS OF HOSPITALS, SCHOOLS, AND WATER

Network implemented some of the activities with its own funding. Stakeholder engagement was facilitated by the formation of technical working groups for each commitment, comprising equal representation from CSOs and local government; the designation of a Monitoring and Evaluation (M&E) focal point at the OGP Secretariat to ensure continuous monitoring of progress; and quarterly review meetings by the State Steering Committee (their MSF).

Other local governments also established working groups to guide the implementation of specific commitments. However, the level of engagement of working group members often varied from one commitment to another. In the **Basque Country**, for example, much of the focus of collaboration took place through the working groups for each commitment rather than through the MSF. In practice, however, the level of influence of civil society in the different working groups was uneven. There was active civil society participation for three of the commitments (Commitments 2, 3, and 4) and almost none for Commitments 1 and 5. **Scotland's** Open Government Steering Group (their MSF) also established technical working groups to guide implementation for some of the commitments, comprising government commitment teams, civil society members of the steering group, and other stakeholders. However, except for Commitment 1, the working groups were largely unsuccessful. This was either because there weren't systems in place to support them, or the conversations and relationships within the working groups were fragile. The implementation of Commitments 3 and 4, in particular, suffered from significant internal disagreements within the working groups. Commitment 5, meanwhile, was carried out without the guidance of a working group and was largely disconnected from the broader OGP process.

Monitoring and communication

There were mixed experiences in terms of monitoring and communication of commitment progress across the cohort. A few local governments published regular updates on commitment implementation through online channels. In other cases, the failure to adequately communicate progress on commitments led to a loss of motivation on the part of civil society to remain engaged in action plan implementation processes.

In **Austin**, the Office of Innovation provided updates on commitments through an [OGP website](#). It published briefings, information on Austin's wider OGP participation, and specific information on the commitments. Stakeholder participation opportunities included standing community and city meetings, like the monthly [Open Austin](#) meetings and [Open and Smart Advisory Committee](#) meetings, as well as a range of one-on-one discussions between implementers. In the **Basque Country**, the MSF proactively communicated and published its decisions, activities, and results through a [dedicated website](#). The website updates the progress of commitments on milestones, next steps, and, on some commitments, a self-assessment report. The government circulated a questionnaire within the MSF to collect information on the plan's implementation process and published the results obtained. An important addition to the action plan implementation process in **Scotland**, as compared to the first action plan, was the introduction of an online [commitment tracker](#) with regular updates throughout implementation. In addition, the government shared regular updates through its open government [blog](#) and [Twitter](#)

[account](#), as did the civil society Open Government Network—to a lesser extent—through its [Twitter account](#) and [online forum](#). In **São Paulo**, the Special Secretariat for Social Relations and the Supervision for Open Government Affairs (SAGA) developed a methodology for monitoring the implementation of the second action plan, approved by the MSF. Each municipal secretariat that coordinated the implementation of a commitment was responsible for sending a range of documents to SAGA monthly, including proof-of-delivery documents for each milestone. These were published on the official City Hall Electronic Information System ([SEI](#)). Some of the documents can also be found on the City Hall's dedicated [open government website](#). In **Jalisco**, each commitment had its own monitoring committee to provide critical feedback on implementation, made up exclusively of members of civil society whose monitoring work was recognized as a specific milestone within each commitment.

In **Seoul**, on the other hand, stakeholders kept meeting minutes to track their conversation and progress, but these minutes were not made publicly available. Commitment records were not kept centrally, and many of the SMG actors responsible for commitment implementation had been assigned to different posts by the end of the action plan implementation period, which meant that key information on progress was lost. In **Madrid**, the action plan was not published on the main government [webpage](#) dedicated to open government strategy and policies. There was no repository with information on the OGP process, and the government did not provide the public with information on the implementation of the action plan. In **Sekondi-Takoradi**, while MSF members were expected to share information on progress with their respective constituencies, this did not always happen. In **Tbilisi**, an independent consultant was contracted to develop a comprehensive monitoring and self-evaluation methodology along with a monitoring framework and self-evaluation matrix for city hall. However, the monitoring framework was never put into use. In **South Cotabato**, the government set up an OGP page on its [official website](#), but this did not include any information on the progress on commitment implementation. The official government OGP [Facebook page](#) included regular updates, although these were not presented in a way that enabled meaningful monitoring of action plan implementation.

E. RECOMMENDATIONS AND LESSONS LEARNED FROM ACTION PLAN IMPLEMENTATION

Experiences across the cohort of local government action plans have yielded several valuable lessons for the OGP Local Program as a whole, as well as for individual local governments designing and implementing action plans going forward. These pertain to the content and design of action plans on the one hand and the process of co-creation and implementation on the other.

Content and design of action plans	Co-creation and implementation process
Ensure political feasibility , alignment with citizen priorities, and a clear open government approach to achieve stronger commitment results.	Build cross-government and cross-party support for open government.
Align commitment objectives and activities with political and budgetary cycles while designing longer-term initiatives that address systemic issues.	Define clear roles and expectations for civil society engagement in action plan implementation.
Design specific, measurable commitments with clear expected outcomes while allowing for a degree of flexibility in implementation.	Create and institutionalize structures to encourage and support civil society collaboration in action plan implementation.
Focus on the demand side of open government reforms by supporting the uptake of open data and participation tools and platforms.	Embed regular monitoring and ongoing learning into the OGP process to support course correction, sustain stakeholder interest, and build trust.
Embed government feedback and reasoned response into the design of commitments to strengthen accountability.	Ensure sufficient resources and capacity to sustain open government reforms on both the government and civil society sides.

Content and design of action plans

Ensuring political feasibility, alignment with citizen priorities, and a clear open government approach to achieve stronger commitment results

Commitment themes that are aligned with existing priorities of local government stakeholders are likely to get more traction and support from senior officials and politicians. This can help ensure that the necessary resources and time are allocated to commitment implementation. As discussed above, commitments that address salient problems that are directly relevant to the day-to-day experiences of citizens are also likely to have greater reach and impact, such as those that involve citizens in urban planning processes. (See “Early Results.”) Commitments that are deemed relevant to a broad constituency also tend to attract support from nongovernmental partners.

For successful implementation, it is also critical to ensure commitment activities fall both within the mandate of local governments and within the control of commitment implementers. In Elgeyo Marakwet, for example, the planned development of a set of locally specific procurement guiding documents did not take place, in part because it became apparent that there was little scope to make any changes to existing national government procurement guidelines. On the other hand, including commitments purely for political expediency can mean that they are not always relevant to OGP values or are subject to loss of momentum once political priorities change.

It is also important to consider how OGP action plans fit within the overall transparency and accountability ecosystem within a local government. Where there is a preexisting agenda on issues relating to open government, the OGP process can act as a galvanizing force, connecting up different strands of open government work and amplifying the impact of previously discreet initiatives. The development of a Local Open Government Strategic Vision, as required in the OGP Local Handbook, provides an opportunity to present a whole-government perspective to open government that focuses on significant open government priorities and ambitious reforms.¹²

In contrast, if OGP is not sufficiently plugged into existing agendas, it can lose relevance. Increasing efforts to find synergies between local governments' transparency, participation policies, and the OGP agenda can offer greater structure and coherence, and it can ensure continuity in the face of potential changes in government or other external challenges.

Aligning commitment objectives and activities with political and budgetary cycles

The second action plan cycle presents many examples of commitment implementation being disrupted by changes in political leadership and subsequent transitions (most notably in La Libertad, Madrid, Nariño, and Tbilisi). Aligning action plan time frames with political and budgetary cycles, whereby commitment implementation falls within the term of a single administration, can reduce the risk that new political priorities supersede action plan objectives. The new OGP Local Handbook specifically addresses this challenge by requiring action plan cycles to align with the term limits of the local government in office.¹³ This allows for better planning and learning to enable a more strategic approach to open government reforms. Where political changes are inevitable or unforeseen during action plan implementation, maintaining a visible presence during periods of transition could help convey the importance and value of remaining engaged in the open government process to incoming administrations.

At the same time, tying commitments exclusively to political cycles risks creating false incentives to focus on quick wins. Open government reform is a long-term process. Designing longer-term initiatives that address systemic issues rather than short-term opportunistic interventions can help guard against changing political winds. A more flexible approach to sequencing commitments can help with this. The OGP Local Handbook provides greater scope for smarter sequencing by allowing for different commitment implementation time frames within a single action plan: "Once a commitment is completely implemented . . . a new commitment can be co-created and included in the action plan as long as it can be fully implemented within the remaining action plan period."¹⁴

Designing specific, measurable commitments with clear expected outcomes while allowing for a degree of flexibility in implementation

Ensuring that commitments have clearly stated objectives and that milestones include well-defined, measurable activities and outcomes is critical to achieving results. Commitments should clearly state the desired change in behavior or expected result in the policy area and define measurable activities that contribute to achieving that expected

result. Well-defined commitments and milestones strengthen accountability and instill a sense of shared ownership, especially where these have been signed off through a multi-stakeholder process (e.g., Basque Country, Buenos Aires). When commitments are not sufficiently specific in their design, this can lead to mismatched expectations among stakeholders, disagreements on the precise activities to be delivered, and a lack of clarity around who is responsible for implementation (e.g., Jalisco Commitments 3 and 6, Seoul Commitment 1, Scotland Commitment 4). This ultimately undermines accountability, as it is more difficult to identify whether commitments achieved their objectives.

On the other hand, it is important to balance well-defined and specific commitment design with a degree of flexibility in commitment implementation. The design of an action plan reflects the issues and priorities of a specific moment, which are subject to change. Conceiving an action plan as a “living plan” that can evolve to account for changes in context or shifts in political priorities—as was the case in Austin, for example—can therefore be important. This was made more evident during the COVID-19 pandemic, where the need to reprioritize resources to the pandemic response necessitated a degree of adaptation and out-of-the-box thinking. Under such circumstances, making changes to commitments during implementation can help avoid commitments stalling completely and lead to some innovation in tailoring open government approaches to emerging challenges. Examples include the development of an Ethics Framework to consider the risks and benefits of sharing COVID-19-related data in Scotland or the creation of an ad hoc web portal for information related to the spread of COVID-19 in Madrid. In some cases, crises can even present opportunities to boost open government. In Paris, for example, two of the commitments on volunteering initiatives gained more importance and a new sense of purpose amid the COVID-19 pandemic as connecting civil society organizations with local volunteers and government actions became key to the response effort.

Where changes are made to commitments, redesigned activities must continue to contribute to the overall objective of the commitment. To ensure accountability, the OGP Local Handbook requires that any changes to a commitment (be it removing or modifying the commitment) must be consulted and approved with the nongovernmental stakeholders involved in the co-creation process, and it must be fully documented and communicated, including the process for arriving at the decision.¹⁵ Having a strong dialogue mechanism in place throughout implementation can be critical to support this process.

Focusing on the demand side of open government reforms

Supporting the demand side of open government reforms as part of commitment design is essential to help ensure broader impact. As noted above, many commitments across the cohort strongly emphasized developing tools and platforms for opening up data and promoting citizen participation. However, there was less emphasis on assessing demand for and supporting citizens to use these tools, which has meant that they often go unused.

Where there was a greater focus on gauging citizen demand for and supporting the use of such tools, this produced some positive early results (See, for example, Commitment 2 in Kaduna State and Commitment 5 in São Paulo under “Early Results,” above). Promising demand-side interventions include mapping demand for open data, holding thematic

sessions with specialists, local government officials, and civil society representatives to present new tools, or carrying out collaborative activities such as hackathons and demonstration projects that put the available data to use for specific purposes.

Closing the feedback loop to strengthen accountability

Embedding government feedback and reasoned responses into the design of commitments is often a critical component of successful open government reforms. This applies to both the process of developing commitments and the content of the commitments themselves. Where citizens are offered opportunities to monitor government activities, provide feedback on government proposals, or submit complaints, it is essential that the government provides a clear response and demonstrates concrete follow-up action, as was the case for Buenos Aires Commitment 3 or Kaduna State Commitment 5, for example. This ultimately strengthens local government accountability and impact of commitments. Closing the feedback loop between government and citizens can also build confidence among citizens that their input is being considered, making them more likely to engage in future participatory processes. When that does not happen, citizens can quickly become disillusioned with, or even cynical about, open government processes, undermining trust in government.

Co-creation and implementation process

Building cross-government support for open government

A key lesson from the second local action plan cycle has been the importance of promoting the value of open government across local government departments and functions. In practice, open government reforms are often designed within small teams or individual departments in isolation from broader government reform efforts. This can make it difficult to get buy-in from partners when it comes to implementation. It also means that the drive for reform often rests on the will and persistence of an individual (often the designated OGP POC) or group of individuals. As a result, gains can be fragile and quickly dissipate if these individuals move on to other roles or are rotated as a result of political changes, as was the case, for example, in La Libertad and Tbilisi. Building support for open government reforms across political parties can also help ensure that plans are not stalled by a change of political party leadership.

Broad-based support across different government departments can also help ensure that commitments are feasible and that the necessary technical skills are in place for implementation. This can be achieved by including relevant departments and technical experts in commitment design and ensuring that sufficient authority is delegated to those responsible for implementation to enable them to make critical decisions when required. For example, Austin's decentralized approach to implementing its second action plan, whereby the Innovation Office served more as a convener than a lead implementer, opened up space for new government and civil society stakeholders to take leadership on commitments, as well as broadening community outreach. Where new departments are brought into the OGP process, it is critical to support them in understanding the values and goals of open government more broadly and not only focus on the technicalities of commitment design.

Defining clear roles and expectations for civil society engagement in action plan implementation

Involving a broad base of civil society organizations in implementing action plans can help build legitimacy, ensure that a range of perspectives is considered, and allow for collective responsibility for decisions and actions taken. They can contribute with the technical expertise, human resources, and convening capacity to effectively ensure the OGP principle of co-creation and participation is fulfilled.¹⁶ However, it is apparent that there is often a need for a much clearer articulation of what is understood by civil society participation during implementation. Civil society roles can range from inputting into the definition of activities, supporting—or in some cases even leading—the implementation of activities, monitoring the implementation of commitments, or linking with broader constituencies to promote wider adoption of OGP tools. Yet, these roles were rarely articulated in action plans.

Furthermore, different interests at play can often affect the dynamics of civil society participation. For example, there is a distinction to be made between a small number of specialized CSOs participating and wider networks of interest groups and community-based organizations participating, along with the broader public. When participation is very diffuse, it can be easier for government, or indeed certain CSOs, to control the agenda. Moreover, the inclusion of too many voices in the MSF can lead to a sense of paralysis. (See, for example, Sekondi-Takoradi.) Therefore, it is critical to outline expectations regarding civil society participation and jointly identify which stakeholders will participate in implementing specific commitments, at what stage, with which goals, and in what capacity.

Designing mechanisms to encourage and support civil society collaboration in action plan implementation

Creating and institutionalizing structures to support collaboration can help ensure that civil society engagement in open government reforms is sustained beyond the co-creation stage of action plans and across action plan cycles. As noted above, too often, the level of civil society participation dropped off once the action plans were signed off and governments took control of the implementation process. While this may have advantages in terms of efficiency, it undermines the OGP process overall and means that civil society actors lose the motivation to engage in future action plan development. The establishment of working groups to be responsible for the implementation of a single commitment has proven to be a useful channel for sustaining meaningful civil society involvement by focusing minds and ensuring that energy is invested in the technical details of implementation (Basque Country, São Paulo, Kaduna State, and Scotland).

Experience from this cohort also provides some lessons on ways to go beyond the “usual suspects.” These include investing time and resources in outreach, including through traditional communication channels (Sekondi-Takoradi), expanding membership of the MSF to include community organizations with reach (Sekondi-Takoradi), and clear communication and messaging on the value of open government to communities (Kaduna State). Mapping out the range of CSO expertise and skills required for successful co-creation at the beginning of the process can help identify potential allies.

Embedding regular monitoring and ongoing learning into the OGP process

Embedding ongoing transparent monitoring of commitment implementation as part of action plan delivery is critical for several reasons. It can help implementers identify whether they are on track to achieve commitment objectives and correct course when activities are delayed, or their feasibility becomes untenable. Where changes are made, these must be communicated transparently, including the reasons for changes and how decisions were made, to ensure accountability.

Ongoing monitoring can also help keep stakeholders engaged in the open government process. Among the cohort for the second cycle of local action plans, failure to publish regular updates on commitment implementation was common (Seoul, Madrid, Sekondi-Takoradi, South Cotabato, Tbilisi). Long periods of silence on the part of commitment implementers often led to the impression that little was being achieved, creating a sense of frustration among partners who were not directly involved in delivering activities. The need for effective and transparent monitoring processes will become all the more important going forward, given the transition to a self-reporting process (Local Monitoring Body) under future local government action plans envisaged in the OGP Local Handbook.¹⁷

In the longer term, including mechanisms to share experiences and learning across and between different government departments, levels of government, civil society partners, and action plan cycles can help embed a culture of openness and build trust and synergy among open government actors. It can also help guard against loss of institutional memory due to staff turnover and political reprioritization. Sharing learning between national and local processes can also serve to build connections and synergy between different levels of government, and this helps both ends consider ways to address collective challenges that cut across levels. As noted in the OGP Local Handbook, the role of the local government POC is crucial in coordinating dialogue with counterparts at the national level to provide these opportunities for support, mentorship, and learning.¹⁸

For example, the third MSF (2021–2023) in São Paulo recently held an evaluation meeting of the second open government action plan, bringing together members of the second (2018–2020) and third (2021–2023) MSFs to share learning, challenges, and successes—both on the co-creation process and on the implementation of the commitments. This enables new MSF members to absorb the lessons learned from previous processes. In Jalisco, the M&E Committee established in 2019 was able to draw on lessons learned during the implementation of the second action plan in the drafting of commitments for the third action plan, leading to greater specificity in the milestones and greater ambition in the commitments under the new plan. Under the United Kingdom’s third OGP action plan (2016–2018), the Scottish government led a commitment to share learning across different levels of government in the United Kingdom (Britain, Wales, Scotland, and Northern Ireland—as well as local government and elected mayors) to establish effective governance for open government commitments, through collaborative dialogue between governments, civil society, and experts.¹⁹

Ensuring sufficient resources and capacity to sustain open government reforms

As far as possible, ensuring that commitments have sufficient resources (human, financial, and technical) is important to ensure successful implementation and reduce the risk of commitments being abandoned along the way. This applies to both government and civil society partners. One option may be to consider embedding the OGP process under a binding mandate, with resources designated under regular budget cycles. In practice, however, the level of resources allocated to OGP implementation varied considerably across the cohort. In most cases (Elgeyo Marakwet, Kaduna State, La Libertad, Madrid, São Paulo Sekondi-Takoradi, Tbilisi), there was no specific budget allocated to OGP activities, although most had some human resource allocation.²⁰ In other cases, the resources were more substantial, most notably in the Basque Country, where the government allocated between EUR 50,000 and EUR 80,000 per commitment, as well as considerable human resource allocations across the public sector for each commitment.²¹

The resource challenge is even more acute for civil society organizations, especially at the local level. CSOs tend to have limited capacity to engage with OGP processes as these can be time and resource intensive. This suggests there is a need to be strategic about how to support civil society engagement. One option may be to consider smart ways to channel government support to civil society for OGP activities. Such an approach may be viable as long as clear structures are in place to avoid conflicts of interest and ensure that civil society partners maintain the necessary independence from government.

¹ Some commitments cover more than one theme.

² The fourteen commitments in Buenos Aires were clustered under five commitment areas for the purposes of this report.

³ La Libertad Commitment 4: Closing gaps in digital literacy; Jalisco Commitment 6: Policy to improve citizen attention in reports regarding public services in the municipality of Guadalajara; Seoul Commitment 3: Support youth startups in the field of smart cities.

⁴ The following are examples of some of the most promising early results identified across the cohort. For a full assessment of early results in each local government, please refer to the snapshots at the end of this report.

⁵ "Análisis del uso de la bicicleta en la Ciudad Autónoma de Buenos Aires" [Analysis of the use of bicycles in the Autonomous City of Buenos Aires], Vamos Buenos Aires, Observatory of Mobility and Street Security, https://www.buenosaires.gob.ar/sites/gcaba/files/informe_movilidad_ciclista_2010-2020_5.pdf.

⁶ Muhammad Sani Abdullahi, Amaka Okechukwu Opara, Rajul Aswasthi Awasthi, and Stephen Davenport, "GovTech in Kaduna: Responsive and Empowered Governments," *Governance for Development*, 3 May 2021, <https://blogs.worldbank.org/governance/govtech-kaduna-responsive-and-empowered-governments>.

⁷ Yekeen Akinwale, "Citizen Engagements, Advocacy Uncover Abandoned, Poorly Executed Projects in Kaduna," Dataphyte, 4 August 2021, <https://www.dataphyte.com/latest-reports/development/citizen-engagements-advocacy-uncover-abandoned-poorly-executed-projects-in-kaduna/>.

⁸ "Scottish Government's Medium Term Financial Strategy: May 2019," Scottish Government, 30 May 2019, <https://www.gov.scot/publications/scotlands-fiscal-outlook-scottish-governments-medium-term-financial-strategy-2019/pages/7/>.

⁹ "Scottish Government Consolidated Accounts: Annual Report 2019 to 2020," Scottish Government, 17 December 2020, <https://www.gov.scot/publications/scottish-government-consolidated-accounts-2019-2020/>.

¹⁰ Austin, Elgeyo Marakwet, La Libertad, Madrid, Sekondi-Takoradi, Seoul, and Tbilisi

¹¹ Buenos Aires, Jalisco, São Paulo, and Scotland

¹² "OGP Local Handbook – 3: Action Plan Cycle," Open Government Partnership, 7 January 2021, <https://www.opengovpartnership.org/documents/ogp-local-handbook/#3>.

¹³ "OGP Local Handbook – 3: Action Plan Cycle," OGP.

¹⁴ Ibid.

¹⁵ Ibid.

¹⁶ "OGP Local Handbook – 2: Roles and Responsibilities in OGP Local," Open Government Partnership, 7 January 2021, <https://www.opengovpartnership.org/documents/ogp-local-handbook/#2>.

¹⁷ "OGP Local Handbook – 3: Action Plan Cycle," OGP.

¹⁸ "OGP Local Handbook – 2: Roles and Responsibilities in OGP Local," OGP.

¹⁹ "Open Government at All Levels (UK0076)," Open Government Partnership, <https://www.opengovpartnership.org/members/united-kingdom/commitments/UK0076/>.

²⁰ See respective Design Reports for each local government: "OGP Local," Open Government Partnership, <https://www.opengovpartnership.org/ogp-local/>.

²¹ IRM, "Basque Country Design Report 2018–2020," OGP, 2 July 2021, <https://www.opengovpartnership.org/documents/basque-country-design-report-2018-2020/>.

ANNEX 1: OGP LOCAL MEMBER SNAPSHOTS

The local member snapshots review the implementation of the 16 2018–2020, 2018–2021, and 2019–2021 local action plans that Independent Reporting Mechanism (IRM) assessed for the development of this report. They are [Austin](#), [Basque Country](#), [Buenos Aires](#), [Elgeyo Marakwet](#), [Jalisco](#), [Kaduna State](#), [La Libertad](#), [Madrid](#), [Nariño](#), [Paris](#), [São Paulo](#), [Scotland](#), [Sekondi-Takoradi](#), [Seoul](#), [South Cotabato](#), and [Tbilisi](#). It summarizes IRM’s findings on the implementation of their local plans, including the early results achieved, the completion of commitments, and the level of public engagement in the implementation process. The assessment is based on a review of evidence from events and activities that took place during the action plan implementation period between 2018 and 2020–21.

To submit comments or inquiries about the assessment or the IRM process, please email: irmlocal@opengovpartnership.org

IRM ASSESSMENT OF AUSTIN'S 2019–2021 ACTION PLAN

Findings

Austin's 2019–2021 action plan substantially implemented two of its four commitments, with a similar completion rate as the first action plan. Compared to the previous cycle, this action plan undertook a decentralized approach. The Innovation Office served more as a convener than lead implementer, opening space for new government and civil society stakeholders to take leadership on commitments, as well as broadening community outreach. Overall, adaptive learning principles guided implementation. This was reflected in the design of the commitments, which each following four phases: clarify, frame, conceive/prototype/test, and plan/build. Two commitments achieved major early results, one of which shifted its focus during implementation to better align its climate resilience pilot with citizen and government priorities (Commitment 1). The other built on the previous action plan's efforts on homelessness, introducing new opportunities for people experiencing homelessness to participate in public procurement decision-making (Commitment 2). Commitments 3 and 4 saw limited completion of initially planned milestones, but evolved in scope during the implementation period, producing positive results that had not initially been envisaged in the action plan.

1. Early results

Commitments 1 and 2 opened government by enacting Austin's Climate Equity Plan and incorporating user perspectives into the Downtown Austin Community Court's public contracting process, respectively. Commitment 3 did not produce the results planned in the action plan due to a shift in the city government's priorities. Commitment 4 did not implement its most potentially impactful milestones in terms of opening government.

Commitment 1: Community Climate Resilience Pilot

Did it open government? *Major*

In recent years, Austin has dedicated concerted efforts to mitigate the effects of climate change. Between 2011 and 2020, the city reduced over one-quarter of its carbon footprint¹ in line with the climate priorities of the *Austin Strategic Direction 2023*.² This commitment intended to pilot community co-creation of plans for public and private investment in city-owned land and stewardship of the city's Southeast regional green space network. It was co-led by the city's Sustainability Department³ and local civil society organizations (CSO) Go! Austin/iVamos! Austin (GAVA), focusing on listening and building relationships between the community and the city staff.⁴ The commitment's initial design had moderate potential impact.

However, the commitment evolved over the course of implementation. It originally intended to center on co-creating a framework to address community resilience needs in Southeast Austin, an area of the city that has suffered the catastrophic consequences of natural disasters in the recent past.⁵ This pilot was meant to be adapted and extended to other city neighborhoods. The commitment's planned milestones were completed: GAVA

developed a preparedness guide for residents of Dove Springs in Southeast Austin,⁶ and a University of Texas research team produced a report and map identifying neighborhood strengths, assets, and climate hazards.⁷ However, the intended long-range vision document expanded beyond Southeast Austin, resulting instead in co-creation of a city-wide plan—the Austin Climate Equity Plan, adopted in September 2021. Beyond climate mitigation and climate proofing Austin’s infrastructure, this plan also incorporated a social equity lens.⁸

This plan set Austin’s goal of equitably reaching net-zero greenhouse gas emissions by the year 2040, addressing housing, transportation, land use, natural systems management, and food and product consumption.⁹ For development of the city’s previous climate mitigation plan, the 2015 Austin Community Climate Plan,¹⁰ the public had been invited to provide comments at regularly scheduled meetings. In contrast, the new plan gathered input from approximately 200 community members through the Community Climate Ambassadors’ Network¹¹ and an online survey on the SpeakUp Austin!¹² website.¹³ A particular effort was made to consult racially and economically diverse residents to improve the plan’s inclusion of marginalized groups.¹⁴ According to GAVA, many collaborative meetings were held, but there were some delays in implementation as new staff pivoted to an economic focus in response to the COVID-19 pandemic.¹⁵ Nonetheless, by extending its scope, the commitment significantly exceeded its initial ambition to meet community resilience needs through community participation.

Additionally, according to the Office of Innovation,¹⁶ this commitment resulted in City Council resolutions creating a chief resilience officer position¹⁷ and directing the City Manager to improve flood protection and resiliency.¹⁸ It contributed to City Council resolutions supporting resilience hubs,¹⁹ a network of physical facilities providing community specific relief during disaster events.²⁰ The commitment also reportedly influenced the city’s Watershed Protection Department to adopt a climate resilience and equity focus. This is reflected in the Department’s implementation of an equity initiative on racial equity in hiring,²¹ drawing on the city’s equity assessment tool—which resulted from the city’s previous action plan.²²

Commitment 2: Inclusion in Court Contracting

Did it open government? *Major*

Established in 1999, the Downtown Austin Community Court (DACC) works as a problem-solving, rehabilitative court, with a focus on improving basic living conditions for people facing minor charges, many of whom experience homelessness.²³ While recent data shows that the DACC’s rehabilitative rather than punitive approach²⁴ has reduced recidivism,²⁵ Austin’s second action plan went a step further and sought to include the perspective of end-users in DACC’s public procurement processes. This commitment built on the previous action plan’s efforts to include people experiencing homelessness in city policy-making.²⁶

DACC provides housing-related services to clients experiencing homelessness,²⁷ including permanent and transitional housing²⁸ and storage solutions.²⁹ Prior to the commitment,

DACC used a one-size-fits-all contracting approach for procurement, based on assumptions about end-users' needs, rather than user participation. This commitment had a transformative potential impact, planning to introduce engagement with end-users into public procurement decisions.³⁰

As a result of this commitment, DACC re-codified its contracting process, establishing a new practice by which Austin's Homelessness Advisory Committee (AHAC) interviews prospective providers and grants evaluation points that are included in the overall assessment score.³¹ AHAC is a mechanism that was established under the city's previous action plan³² to include the perspective of people experiencing homelessness in public policy design and implementation across city government.³³ Overall, this commitment was substantially completed, although IRM did not find evidence of milestones related to DACC internal processes, such as the planned participatory quarterly assessment report.

According to DACC, this commitment embedded the perspectives of individuals with lived experience throughout the purchasing process. For program evaluation, all DACC contracts now mandate AHAC participation in regular performance reviews.³⁴ In terms of impact, DACC was among the top three Austin government organizations responsible for allocating all the spending related to homelessness assistance (\$179 million for 2019–2021).³⁵ Through this commitment, the City Council has begun to recognize AHAC as a critical focus group for other city service providers beyond DACC, working with AHAC to integrate the similar consultative practices in other departments.³⁶

2. Completion

Commitment	Completion:
1: Community Climate Resilience Pilot	Verifiable: Yes Relevant to open government: Yes (civic participation) Potential impact: Moderate Completion: Complete See details in Section 1: Early Results.
2: Inclusion in Court Contracting	Verifiable: Yes Relevant to open government: Yes (civic participation) Potential impact: Transformative Completion: Substantial See details in Section 1: Early Results
3: Public Participation in City	Verifiable: Yes Relevant to open government: Yes (civic participation)

Anti-Displacement Efforts	<p>Potential impact: Moderate</p> <p>Completion: Limited</p> <p>Average housing rent increased 35% between January 2021 and January 2022, making Austin the city with the second fastest rent increases in the United States.³⁷ Given resulting displacement, the second action plan featured a commitment that sought to co-create an anti-displacement strategy for the neighborhood of Montopolis, as a pilot for its other neighborhoods. Reportedly, the city had previously lacked a direct focus on such efforts.³⁸ During implementation, the commitment's planned milestones were not completed.</p> <p>Instead, the government focused on a city-wide anti-displacement effort. While the commitment was being designed, displacement was thought to impact only certain Austin neighborhoods like Montopolis. However, the COVID-19 pandemic resulted in a general housing scarcity across Austin.³⁹ This led the Department of Housing and Planning to concentrate on the Austin Strategic Housing Blueprint's affordable housing goals⁴⁰ and on the allocation of the Housing Trust Fund⁴¹ across Austin.⁴² Civil society involvement was funneled through the Displacement Mitigation Action Accelerator Program. This resulted in the Austin Neighborhood Stabilization Strategy Tool⁴³ to provide decision makers with data tracking displacement over time and assessing the effectiveness of interventions.⁴⁴</p>
4: Public Safety Data Analysis	<p>Verifiable: Yes</p> <p>Relevant to open government: Yes (access to information)</p> <p>Potential impact: Moderate</p> <p>Completion: Limited</p> <p>According to the Mapping Police Violence project, 34 people were killed by the Austin police between 2013 and 2021.⁴⁵ As race drastically impacts treatment by law enforcement and justice agencies, the availability of high-quality disaggregated police data is essential.⁴⁶ This commitment intended to improve the usability of the police data that has been published on Austin's open data portal since 2017.⁴⁷ After the murder of George Floyd in 2020, in response to the Black Lives Matter movement, city reform efforts included gathering extensive public input on current and desired interactions with the public safety system and reviewing and assessing existing police racial profiling data.⁴⁸ This resulted in a Tableau-based dashboard that featured two maps, which disaggregated the data by neighborhood.⁴⁹ To some degree, this helped shape policy-making</p>

	on racial disparity in policing. ⁵⁰ However, two expected deliverables that would have been central to engaging public usage of this data were not completed; namely, identification of additional datasets to be opened and establishment of an accessible website with opportunities for community feedback on policing.
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3. Civil society and public engagement during implementation

Level of public influence during design: Collaborate

Level of public influence during implementation: Consult

Austin's second action plan was developed through a collaborative co-creation process. The City of Austin Innovation Office led listening sessions and meetings with city departments and committees, and community partners led listening sessions with their members and partners. Based on this input and available city resources, the Innovation Office drafted the action plan.⁵¹ Prior to finalization, the City of Austin Innovation Office shared a Google Docs draft with participant CSOs, including reasoned selection criteria for commitments and the opportunity for CSOs to offer edits, comments, and questions.⁵²

Compared to the first action plan, implementation of the second action plan undertook a decentralized approach. The Innovation Office served more as a convener than a lead implementer, opening up space for new government and civil society stakeholders to take leadership on commitments, as well as broadening community outreach.⁵³ Some of the civil society commitment leads also played a role in implementation of other commitments (e.g., the Austin Justice Coalition led Commitment 2 and participated in Commitment 3).⁵⁴

During implementation, the Innovation Office provided updates on commitments through an Open Government Partnership (OGP) website.⁵⁵ It published briefings, information on Austin's wider OGP participation, and specific information on the commitments. Stakeholder participation opportunities included standing community and city meetings, like the monthly Open Austin⁵⁶ meetings and Open and Smart Advisory Committee⁵⁷ meetings, as well as a range of one-on-one discussions between implementers.⁵⁸

Although each commitment enumerated multiple civil society partners, a more limited number of parties than envisaged were involved in implementation in practice. For example, Commitment 2 mostly engaged AHAC, although it had initially planned to include court clients, neighborhood associations, and homeless advocacy groups, among others. As for Commitment 3, a shift in the planned initiative led to a breakdown in communication with civil society partners.⁵⁹

Most CSOs did not reply to requests for comment.⁶⁰

¹ "Austin Community Carbon Footprint Dashboard," Office of Sustainability, City of Austin, https://public.tableau.com/app/profile/office.of.sustainability.city.of.austin/viz/AustinCommunityCarbonFootprintDashboard/CommunityDashboard?%3Aembed=true&%3Adisplay_count=yes&publish=yes%3Btabs%3DNo%3AshowVizHome%3Dno.

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- ² "Austin Strategic Direction 2023," City of Austin, https://assets.austintexas.gov/financeonline/downloads/Austin-Strategic-Direction_2023.pdf.
- ³ City of Austin, Sustainability Department, <https://www.austintexas.gov/department/sustainability>.
- ⁴ Zach Baumer, climate program manager, City of Austin's Sustainability Department, email correspondence with the IRM, 15 July 2022. The IRM contacted on Go! Austin/iVamos! Austin in May and June (per email and phone) but received no reply.
- ⁵ "Historic Flash Flood Leaves Devastation in Austin," USA Today, 7 November 2013, <https://www.usatoday.com/story/news/nation/2013/11/07/flash-flood-austin-residents-killed-displaced/3459181/>.
- ⁶ "Dove Springs Neighborhood Preparedness Guide," Go! Austin / iVamos! Austin, August 2021, https://drive.google.com/file/d/1dPKlplmekNdjT1_jGUo0W3o9urVX0rfm/view.
- ⁷ "Austin Climate Vulnerability Score," Austin Area Sustainability Indicators (A²SI), <http://www.austinindicators.org/project/climate-and-community-resilience/>.
- ⁸ Llanes Pulido, executive director of Go! Austin/iVamos! Austin, email correspondence with the IRM, 11 July 2022.
- ⁹ "Austin Climate Equity Plan," City of Austin's Sustainability Department, <https://www.austintexas.gov/page/austin-climate-equity-plan>.
- ¹⁰ "Austin Community Climate Plan," 2015, https://www.austintexas.gov/sites/default/files/files/Sustainability/FINAL_-_OOS_AustinClimatePlan_061015.pdf.
- ¹¹ Community Climate Ambassadors, City of Austin's Sustainability Department, <https://www.austintexas.gov/page/community-climate-ambassadors>.
- ¹² The IRM reach out to SpeakUp at the beginning of May and end of June but received no response.
- ¹³ SpeakUp Austin!, <https://www.speakupaustin.org/>.
- ¹⁴ Miriam Solis, Austin Climate Equity Plan taskforce member and assistant professor of the University of Texas, interview with the IRM, 30 June 2022; Sabine Romero, Austin POC, and representatives from the Austin Innovation Office, Alba Sereno and Daniel Culotta, interview with the IRM, 20 May 2022; "Austin Climate Equity Plan."
- ¹⁵ Carmen Llanes Pulido, executive director of Go! Austin/iVamos! Austin, email correspondence with the IRM, 11 July 2022.
- ¹⁶ "Action Plan 2 Completion Memo," City of Austin's Office of Innovation, 18 October 2021, 4, <https://opengovpartnership.bloomfire.com/posts/4499828-report-on-austin-s-ap2>.
- ¹⁷ City of Austin, Resolution 20190509-019, <https://www.austintexas.gov/edims/document.cfm?id=319519>.
- ¹⁸ City of Austin, Resolution 20210127-056, <https://www.austintexas.gov/edims/document.cfm?id=354296>.
- ¹⁹ Baumer, interview.
- ²⁰ "Response to Climate Resilience Resolution 20210408-028," City of Austin Memorandum, 11 August 2021, <https://www.austintexas.gov/edims/document.cfm?id=365919>.
- ²¹ "Watershed Protection Department Equity Initiative Update," 1 September 2021, <http://www.austintexas.gov/edims/document.cfm?id=366555>; "Annual Report Fiscal Year 2021," City of Austin Watershed Protection Department, https://www.austintexas.gov/sites/default/files/files/Watershed/brochures/AnnualReport_2021_Official_Final_Interactive.pdf.
- ²² Austin, "Equity Assessment Tool," <https://www.opengovpartnership.org/members/austin-united-states/commitments/AUS0002/>.
- ²³ DACC, <https://www.austintexas.gov/department/community-court>.
- ²⁴ "How Austin Low-Level Crime Court Helps 'Frequent Utilizers' Experiencing Homelessness," KXAN, 8 December 2021, <https://www.kxan.com/investigations/how-austin-low-level-crime-court-helps-frequent-utilizers-experiencing-homelessness/>.
- ²⁵ "Community Court Touts Data Showing Sharp Drop in Recidivism Among Clients," Austin Monitor, 19 December 2019, <https://www.austinmonitor.com/stories/2019/12/community-court-touts-data-showing-sharp-drop-in-recidivism-among-clients/>.
- ²⁶ City of Austin, "Ending Homelessness Action Plan," 2017, <https://www.opengovpartnership.org/members/austin-united-states/commitments/AUS0001/>.
- ²⁷ DACC, Housing-Focused Support Services, <https://www.austintexas.gov/article/housing-focused-support-services>.
- ²⁸ DACC, Permanent Supportive Housing and Transitional Housing, <https://www.austintexas.gov/article/permanent-supportive-housing-and-transitional-housing>.

- ²⁹ DACC, Storage Solutions for Individuals Experiencing Homelessness, <https://www.austintexas.gov/article/storage-solutions-individuals-experiencing-homelessness>.
- ³⁰ Hannu Torvinen and Paulina Ulkuniemi. "End-User Engagement within Innovative Public Procurement Practices: A Case Study on Public-Private Partnership Procurement," *Industrial Marketing Management*, 58 (2016): 58–68, <https://doi.org/10.1016/j.indmarman.2016.05.015>.
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- ³² "Ending Homelessness Action Plan."
- ³³ City of Austin's Homelessness Advisory Committee (AHAC), <https://austininnovation.wixsite.com/solveforhomelessness/ahac>.
- ³⁴ Robert Kingham, DACC court operations manager, interview with the IRM, 5 July 2022.
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- ³⁸ Jacob Wegmann, associate professor, program director for community and regional planning, University of Texas at Austin, interview with the IRM, 6 June 2022.
- ³⁹ Ibid.
- ⁴⁰ "Austin Strategic Housing Blueprint," Housing and Planning Department, <https://www.austintexas.gov/page/view-blueprint>.
- ⁴¹ Housing Trust Fund, Housing and Planning Department, <https://www.austintexas.gov/department/housing-trust-fund>.
- ⁴² "Action Plan 2 Completion Memo," 7.
- ⁴³ "Austin Neighborhood Stabilization Strategy Tool—Homeowner Version," <https://public.tableau.com/app/profile/city.of.austin.office.of.innovation/viz/NeighborhoodStabilizationStrategyTool-Owner/normalizeddashhousing>.
- ⁴⁴ "Fighting Displacement with Data," Bloomberg Cities Network, 9 June 2021, <https://bloombergcities.jhu.edu/news/fighting-displacement-data>; "Action Plan 2 Completion Memo," 8.
- ⁴⁵ Mapping Police Violence, <https://mappingpoliceviolence.org/>.
- ⁴⁶ According to the POC, the death of George Floyd also affected the public debate and had an impact on the implementation of this commitment.
- ⁴⁷ "Annual Crime Data," City of Austin Open Data Portal, <https://data.austintexas.gov/Public-Safety/2016-Annual-Crime-Data/8iue-zpf6>.
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- ⁴⁹ "2019 Joint Report: Analysis of APD Racial Profiling Data," Office of Police Oversight, City of Austin, <https://public.tableau.com/app/profile/office.of.police.oversight/viz/RacialProfilingDashboard/AnalysisofRacialProfilingbyAPDin2019>.
- ⁵⁰ "Action Plan 2 Completion Memo," 8; "Joint Report: Analysis of APD Racial Profiling Data," Office of Police Oversight, City of Austin, <https://alpha.austin.gov/police-oversight/joint-report-analysis-of-apd-racial-profiling-data/>; "Equity Assessment SWOT Analyses and Report on Racial Inequities within Austin Police Department," Equity Office, City of Austin, 2020, <http://www.austintexas.gov/edims/pio/document.cfm?id=352525>; "End Racial Disparities in Policing," City of Austin, <https://www.austintexas.gov/page/resolution-50>; Culotta, interview.
- ⁵¹ "Action Plan 2 Completion Memo," 2.
- ⁵² Ibid.
- ⁵³ Romero, Sereno, and Culotta, interviews.
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- ⁵⁵ City of Austin's Open Government Partnership Pilot, <https://opengovpartnership.bloomfire.com/>.
- ⁵⁶ Open Austin, <https://www.open-austin.org/>.
- ⁵⁷ "Open Governance Operating Board (AUS0003)," Open Government Partnership, 2017, <https://www.opengovpartnership.org/members/austin-united-states/commitments/AUS0003/>.
- ⁵⁸ Romero, Sereno, and Culotta, interviews.
- ⁵⁹ "Action Plan 2 Completion Memo," 7.
- ⁶⁰ During May and June 2022, the IRM researcher contacted SpeakUp, Basta, Front Steps, Casa Marianella, Austin Justice Coalition, Austin Free Nets, Austin Parks Foundation, and the Guadalupe Neighborhood Development corporation but received no reply.

IRM ASSESSMENT OF THE BASQUE COUNTRY'S 2018–2020 ACTION PLAN

Findings

The Basque Country's 2018–2020 action plan was substantially completed, with three of the five commitments achieving significant early results. The Open Data Euskadi Commitment established high-quality standards for the publication and reuse of data, enabling better comparison between public institutions. The two commitments related to citizen participation (Innovation Lab for Citizen Engagement and Open Eskola) generated a series of principles that will guide future innovation projects in citizen participation and active citizenship. While civil society's role in supporting the implementation of commitments was strengthened as compared to the action plan design phase, this was uneven across commitments.

1. Early results

Commitments 2, 3, and 4 showed the strongest evidence of early results. Commitment 1 focused on establishing the standards and required infrastructure for information disclosure on mandate plans but fell short in terms of advancing broader citizen participation and accountability, while Commitment 5 ultimately did not deliver on establishing a common accountability system for local administrations as intended.

Commitment 2: Open Data Euskadi and Linked Open Data

Did it open government?: *Marginal*

Under this commitment, the Basque Government, through its Department for Public Service, Innovation and Administrative Improvement (Dirección de Atención a la Ciudadanía e Innovación y Mejora de la Administración or DACIMA) in partnership with the Bizkaia Provincial Council (Diputación Foral de Bizkaia) and other government bodies and civil society representatives aimed to define a data publication model for Basque institutions. They also aimed to identify and link datasets that would be most useful for citizens to reuse and create visualizations of that data. The respective institutions agreed upon an open data model, and 27 datasets were selected to be published in an open, reusable, and linked way. This was achieved in 80% of cases.¹ In addition, four services were selected to showcase some of these datasets. However, only three out of these four services were developed, and only partially.² Due to technical difficulties, the services did not reach the phase of open public use.³

This commitment was considered to have moderate potential impact. Through its implementation, the Basque Country promoted inter-institutional collaboration and citizen consultation processes as an ongoing practice and a shift in government culture, placing the importance of open data on citizen demand instead of on availability of information. Although the level of publication of data and standards applied in the Basque Country previously was comparable to its peers, in the action plan implementation period the

potential for reuse had not been developed. This commitment has made a marginal contribution to open government by establishing high-quality standards for the publication and reuse of data, facilitating comparison between institutions and linking data across different institutions.⁴ In addition, datasets directly relevant to facilitating citizen oversight of government were included among the 27 published datasets, including information on budgets, agreements with other institutions, and subsidies. However, not all the public administrations involved opened all the datasets. Longer-term results will depend on the continued application of these standards and the development of tools and services that facilitate accountability to citizens.⁵

Commitment 3: Innovation Lab for Citizen Engagement (ILAB)

Did it open government?: *Major*

Despite recent progress, citizen participation in the design, planning, monitoring, and evaluation of public policies in the Basque Country has not always been sustained or sufficiently inclusive.⁶ To address this gap, the Basque Government, through DACIMA in partnership with Innobasque and the Biskaia Provincial Council (Diptuación Foral de Biskaia), established a mechanism to stimulate innovation and identify good practices in citizen participation in the form of ILAB.

The creation of ILAB involved a range of actors from different public administrations and CSOs, although it was not established as a permanent body. ILAB succeeded in mapping good practice on citizen participation, establishing a set of shared principles to guide future innovation and participation projects,⁷ and delivering four pilots based on a common model.⁸ The pilots addressed various topics, including healthy community, participatory budgeting, participation of migrants, and participation and public space. The pilots experimented with different participation mechanisms, while establishing an informal network to promote innovation in participation beyond the lifetime of the action plan. The stakeholders involved in implementing the commitment evaluated the results very positively.⁹ Key factors that contributed to the successful piloting of participation methods included collaboration among different institutions and actors and the sharing of experiences and ongoing dialogue throughout the process.

Commitment 4: Open School (Open Eskola)

Did it open government?: *Major*

To promote a stronger culture of deliberation and participation in the Basque Country, the Vitoria-Gasteiz City Council (Ayuntamiento de Vitoria-Gasteiz) and the Alava Provincial Council (Diputación Foral de Álava) developed a model for an open school for citizens as a meeting and learning space. The model aims to promote more active citizenship and a more open and transparent administration through training in collaboration skills.

In collaboration with other public agencies, the participating city and provincial councils conducted a mapping of innovative open school practices¹⁰ and developed a clear definition of the Open Eskola concept and mission.¹¹ The result was the publication of an Open Eskola Guide that outlines the proposed open school model.¹² It includes details such as resource needs, instructions on the involvement of different local agencies, roles and responsibilities of all parties involved, and an implementation and follow-up strategy,

among other key elements. The model was then tested through pilots in three municipalities.¹³ The reach of the pilots was limited to a small group of citizens in each municipality. The local governments led the processes and designed the curricula. They dealt with broad questions on citizens' participation rather than specific problems or policy areas. As a result, it is too soon to assess the broader impact of the Open School model on strengthening civic engagement and its effectiveness in influencing public policies.¹⁴ The three municipalities involved in the pilots declared their commitment to maintain and strengthen Open Schools, although it is too early to tell whether this has been the case.

2. Completion

Commitment	Completion
1: Accountability via Mandate Plans (government programs)	<p>Verifiable: Yes</p> <p>Relevant to open government: Yes (access to information, civic participation)</p> <p>Potential impact: Moderate</p> <p>Completion: Limited</p> <p>This commitment aimed to develop, in collaboration with citizens, a set of basic and advanced standards for information disclosure for so-called "mandate plans" (government programs) of Basque institutions at different levels of government. The Open Government Directorate (Dirección de Gobierno Abierto) and the Bizkaia Provincial Council (Diputación Foral de Bizkaia) established an inter-institutional working group to lead on the commitment, and minimum standards for accountability were agreed upon for the respective institutions.¹⁵ The proposed standards were tested with Basque municipalities, although the results of this process are not documented. Five pilots were carried out in the final months of the implementation of the plan.¹⁶ However, the design and implementation of citizen audit mechanisms were postponed to future tool developments. The Basque Country continued implementing the commitment and sharing updates beyond the action plan's cycle in 2021.¹⁷</p>
2: Open Data Euskadi and Linked Open Data	<p>Verifiable: Yes</p> <p>Relevant to open government: Yes (access to information)</p> <p>Potential impact: Moderate</p> <p>Completion: Substantial</p>

	See details in Section 1: Early Results
3: Innovation Lab for Citizen Engagement (ILAB)	<p>Verifiable: Yes</p> <p>Relevant to open government: Yes (civic participation)</p> <p>Potential impact: Moderate</p> <p>Completion: Complete</p> <p>See details in Section 1: Early Results</p>
4: Open School (Open Eskola)	<p>Verifiable: Yes</p> <p>Relevant to open government: Yes (civic participation)</p> <p>Potential impact: Moderate</p> <p>Completion: Complete</p> <p>See details in Section 1: Early Results</p>
5: Basque Integrity System: Ethics in the Public Sphere	<p>Verifiable: Yes</p> <p>Relevant to open government: Yes (civic participation)</p> <p>Potential impact: Moderate</p> <p>Completion: Substantial</p> <p>Led by the Gipuzkoa Provincial Council (Diputación Foral de Gipuzkoa), through this commitment, the Basque Government and three councils jointly developed a shared (but voluntary) model for integrity systems at different administrative levels within the Basque Country. Thanks to the participation of the Association of Basque Municipalities and two municipalities, local government perspectives were incorporated into the model. Additionally, the model was developed taking into consideration citizen input through an online questionnaire with responses from 247 people and three events with participation of 39 people.¹⁸ Three pilot exercises, including a set of training programs, were carried out to test the model. A citizenship training module was also developed, although this had not yet been put forward for potential integration into the school curriculum. The design of a more comprehensive common accountability system for the different administrative levels was ultimately rejected, as it was not considered feasible given the diversity of contexts and degrees of autonomy of the different institutions.¹⁹</p>

3. Civil society and public engagement during implementation

Level of public influence during design: Collaborate (There was iterative dialogue and the public helped set the agenda.)

Level of public influence during implementation: Collaborate (There was iterative dialogue and the public helped set the agenda.)

The level of inter-institutional cooperation in the development of the Basque Country's action plan was one of its great strengths. However, the focus on inter-agency coordination ultimately weakened the role of civil society in the design phase. To address this, the public institutions responsible for implementing the action plan worked to strengthen the role of the CSOs in the Foro Regular (multi-stakeholder forum [MSF]), in particular with regard to monitoring implementation of commitments.²⁰

The level of public influence was overall strong with clearly defined spaces for interaction like commitment working groups, open forums, and a handful of MSF meetings. Participation during implementation mostly took place at the level of commitment working groups. Participation was overall strong, although uneven, depending on the different working groups. There was very active civil society participation for three commitments (2, 3, and 4), while Commitments 1 and 5 saw a fewer number of meetings through the process due to the focus of these two commitments on collaboration among public institutions.²¹ Overall, while the spirit of collaboration between government institutions and civil society was maintained, the latter had limited influence on the implementation process due to time and resources constraints.

In addition, six open meetings were organized, which any interested party could attend, as well as other meetings to monitor the implementation of Commitments 2, 3, and 4.²²

Although the MSF met quarterly during the design process, it met only three times during implementation (twice in 2019 and once in 2020). This small number of MSF meetings is partially explained by the COVID-19 pandemic but also because much of the focus of collaboration took place through the working groups rather than through the MSF.²³ The MSF proactively communicated and published its decisions, activities, and results through a website.²⁴ The website provides updates on the progress of commitments on milestones, next steps, and, on some commitments, a self-assessment report. The government circulated a questionnaire within the MSF to collect information on the plan's implementation process and published the results obtained.

¹ "Guía de Datasets Normalizados" [Guide to Normalized Datasets], https://www.ogp.euskadi.eus/contenidos/proyecto/ogp_compromiso_2/es_def/adjuntos/guia_dtasets.pdf.

² Koldobike Uriarte, interview with the IRM.

³ The datasets have been opened to data re-users. A full account of the achievements can be found here: https://www.ogp.euskadi.eus/contenidos/proyecto/ogp_compromiso_2/es_def/adjuntos/Memoria_Fase_2_C2.pdf.

⁴ According to the third level of the Tim Berners-Lee's 5-Star Open Data Scheme, <https://opendatahandbook.org/glossary/en/terms/five-stars-of-open-data/>.

⁵ Koldobike Uriarte, Fernando José Villatoro, and Maria Aranzazu Otaolea, interviews with the IRM.

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- ⁶ IRM, "Basque Country Design Report 2018-2020," OGP, 2 July 2021, <https://www.opengovpartnership.org/documents/basque-country-design-report-2018-2020/>.
- ⁷ "¡HACIA EL ILAB! co-diseño de un laboratorio de innovación en participación en Euskadi" [To The ILAB! Co-design of a Participatory Innovation Laboratory in Euskadi], https://www.ogp.euskadi.eus/contenidos/proyecto/ogp_compromiso_3/es_def/adjuntos/20190612_Conceptualizaci%C3%B3n_ILAB_OGPEuskadi.pdf.
- ⁸ "Informe de cierre del Compromiso 3 OGP 2018-2020" [OGP Commitment 3 Closure Report 2018-2020], https://www.ogp.euskadi.eus/contenidos/proyecto/ogp_compromiso_3/es_def/adjuntos/TIPI_Informe_cierre_Compromiso3_es.pdf.
- ⁹ "Evaluación Participada de la Ejecución del Plan de Acción OGP Euskada 2018-2020" [Participant Evaluation of the Execution of the OGP Euskada Action Plan 2018-2020], https://www.ogp.euskadi.eus/contenidos/proyecto/ogp_compromiso_3/es_def/adjuntos/Resultados_OGP_Evaluación_Plan_Acción.pdf.
- ¹⁰ Open Eskola, "Informe Preliminar Mapeo" [Preliminary Mapping Report], https://www.ogp.euskadi.eus/contenidos/proyecto/ogp_compromiso_4/es_def/adjuntos/Informe_Mapeo_Open_Eskola.pdf.
- ¹¹ "Borrador Guía Open Eskola," [Draft Guide Open Eskola], https://www.ogp.euskadi.eus/contenidos/proyecto/ogp_compromiso_4/es_def/adjuntos/Borrador_Guía_Open_Eskola_es.pdf.
- ¹² Guía Práctica de Implementación de Una Open Eskola (Practical Guide for the Implementation of an Open Eskola). https://www.ogp.euskadi.eus/contenidos/proyecto/ogp_compromiso_4/es_def/Guia-6_4-OPEN-ESKOLA.pdf
- ¹³ "Reunión online Grupo de Compromiso 07.05.20 Open Eskola k#4: Conclusiones" [Online Meeting Commitment Group 05.07.20 Open Eskola k#4: Conclusions], https://www.ogp.euskadi.eus/contenidos/proyecto/ogp_compromiso_4/es_def/adjuntos/07052020_Reunion_C4_conclusiones.pdf.
- ¹⁴ "Foro Abierto 10.06.20, Open Eskola k#4: Conclusiones" [Open Forum 10.06.20, Open Eskola k#4: Conclusions], https://www.ogp.euskadi.eus/contenidos/proyecto/ogp_compromiso_4/es_def/adjuntos/10062020_Foro_Abierto_k4_Conclusiones.pdf.
- ¹⁵ "Commitment 1: Accountability through Mandate Plans, Euskadi.eus," https://www.ogp.euskadi.eus/ab92-contcomp/es/contenidos/proyecto/ogp_compromiso_1/es_def/index.shtml?r01IdTabs=r01-progress.
- ¹⁶ Participants, Open Government Partnership Euskadi, <https://kontuematea.irekia.euskadi.eus/es>.
- ¹⁷ "2018-2020 Commitment Updates," Basque Country's Open Government website, <https://www.ogp.euskadi.eus/ogp-compromisos/-/grupos-por-compromisos/>.
- ¹⁸ "Sistema Vasco de Integridad, Aportes de la Ciudadanía" [Basque Integrity System, Citizen Contributions], https://www.ogp.euskadi.eus/contenidos/proyecto/ogp_compromiso_5/es_def/adjuntos/Aportaciones_ciudadania_resumen.pdf.
- ¹⁹ "Commitment 5: Basque Integrity System," Euskadi.eus, https://www.ogp.euskadi.eus/ab92-contcomp/es/contenidos/proyecto/ogp_compromiso_5/es_def/index.shtml?r01IdTabs=r01-progress.
- ²⁰ Mikel Barturen, interview with the IRM.
- ²¹ Ander Larrinaga, Luis Petrikorena, and Mikel Barturen, interviews with the IRM.
- ²² Recordings of the six open meetings held for Commitments 2, 3, and 4: <https://www.ogp.euskadi.eus/ogp-euskadi/-/grupos-de-trabajo-por-compromisos/>.
- ²³ Minutes of the meetings: <https://www.ogp.euskadi.eus/documentos/-/documentacion/ogp/convocatorias-y-actas/>.
- ²⁴ "Action Plan for Open Government in Euskadi 2018-2020," <https://www.ogp.euskadi.eus/plan-accion/-/plan-accion-ogp/>.

IRM ASSESSMENT OF BUENOS AIRES' 2018–2021 ACTION PLAN

Findings

The most successful cluster of commitments¹ in Buenos Aires second action plan was that related to opening data and creating additional opportunities for citizen participation across a range of areas, including the legislative and judicial sectors. Other notable commitments included the co-creation of a dynamic urban map of the city to help build awareness among citizens of the new urban code and improvements to the city's cycling system based on user feedback. Despite the challenges posed by the COVID-19 pandemic, the level of participation by government and civil society actors was maintained throughout the implementation of the action plan.

1. Early results

Three of the five commitment clusters produced significant early results, in particular commitment cluster 1. Clusters 3 and 5 did not produce early results due to the limited level of completion of the respective commitments.

Commitment cluster 1: Innovation for an open state

Did it open government?: *Major*

Four of the five commitments under this cluster produced significant early results. Among the most important results were strengthened citizen participation and deepening of access to information across a range of sectors, through enhanced publication of datasets by the city of Buenos Aires, as well as visualizations and implementation of various trainings for citizens and public officials and activities in new areas such as the management of purchases and contracts during the COVID-19 pandemic² (Commitment 2). These actions helped to reduce the gap between supply and demand of information, changing the practice from publishing datasets pre-selected by the government to publishing datasets requested by citizens. Furthermore, the incorporation of four new datasets into the Buenos Aires (BA) Data web platform³ and the implementation of a new community-strengthening mechanism,⁴ aiming to incentivize positive neighborly conduct among citizens around the city, have enabled residents of Buenos Aires to follow-up on the results of community-selected projects within BA Obras, the city's open contracting portal⁵ (Commitment 3). Other activities that led to greater access to information and strengthened participation include the creation of a legislative open data portal⁶ and establishment of a citizen service office by the legislature to file complaints and suggestions⁷ (Commitment 4) and the creation of an Open Justice and Innovation Laboratory (#)⁸ and Latin American Open Justice Network to drive citizen participation in the justice sector⁹ (Commitment 5). The remaining commitment (Commitment 1 on strengthening information publication processes) did not produce significant early results despite being fully completed.

Commitment cluster 2: City on a human scale

Did it open government?: *Marginal*

The most successful of the four commitments under this cluster was Commitment 7 to create a dynamic urban map of Buenos Aires to help build awareness among citizens of the new urban code and building code and to enable them to report issues related to urban planning to the local government. The map (Plano Abierto BA) was launched in December 2018.¹⁰ The General Secretariat of the city worked alongside the Ministry of Urban Development and Transportation, Government Administration of Public Revenues, and the Government Control Agency to develop training materials and citizen-friendly information related to construction in the city, including cadastral information and information on protected land. The data was published on the Plano Abierto BA and disseminated to the public via different events¹¹ as well as to the Corporation of Auctioneers and Real Estate Brokers. The other three commitments under this cluster (Commitment 6: Platform for innovation on sidewalks; Commitment 8: Portal for the elderly; and Commitment 9: Opening up information for the promotion of culture) were completed to varying degrees (limited, fully, and substantially, respectively) but did not produce any significant early results.

Commitment cluster 4: Transport and mobility

Did it open government?: *Major*

Commitment 12 (sustainable mobility) aimed to improve the public cycling system and cycle lanes based on the incorporation of user experiences through face-to-face and virtual participation events and citizen feedback. It also aimed to promote cycling as a means of transport in the city through the dissemination of information. The Buenos Aires government published more than 10 new datasets¹² and created multiple citizen feedback opportunities (more than initially planned). As a result, public officials responsible for the commitment consider that it made an outstanding contribution to open government.¹³ It succeeded in promoting greater use of bicycles by incorporating the perspectives of associations, residents, and organizations on the placement of bike stations through surveys and awareness-raising campaigns and training. According to official statistics, by the end of 2020, the number of trips by bicycle had increased tenfold since 2009 and by 27% since 2019.¹⁴ Although it is not possible to trace a direct causal relationship between the implementation of this commitment and the increase in the use of bicycles, it is possible to identify a positive correlation between consultation and awareness-raising, the increase in cycling, and the positive impact on environmental sustainability. The implementation of the commitment also shows how, for the first time, the contributions of citizens can substantively inform public policy in the area of transportation. The other commitment in this cluster (Commitment 13: My subway) was only completed to a limited extent and did not produce any significant early results.

2. Completion

Commitment cluster¹⁵	Completion

1: Innovation for an Open City (5 commitments)	<p>Verifiable: Yes</p> <p>Relevant to open government: Yes (access to information, civic participation, public accountability)</p> <p>Potential impact: Transformative</p> <p>Completion: Substantial</p> <p>See details in Section 1: Early Results</p>
2: City on a Human Scale (4 commitments)	<p>Verifiable: Yes</p> <p>Relevant to open government: Yes (access to information, civic participation)</p> <p>Potential impact: Moderate</p> <p>Completion: Substantial</p> <p>See details in Section 1: Early Results</p>
3: Gender Equity (2 commitments)	<p>Verifiable: Yes</p> <p>Relevant to open government: Yes (Access to information, Civic participation, Public accountability)</p> <p>Potential impact: Transformative</p> <p>Completion: Limited</p> <p>The two commitments under this cluster were completed to a limited extent. Under Commitment 10 (Open Gender Budgeting), the Buenos Aires government passed a law incorporating gender perspectives into the budget and agreed on a plan to put the law into action. However, the implementation process and opening up of gendered budget information foreseen at the beginning of the commitment were still pending at the end of the action plan implementation period.¹⁶ Under Commitment 11 (Integrated Sexual Education), the government identified criteria and publication formats related to integrated sexual education through focus groups, surveys, and questionnaires.¹⁷ However, the information collected was only published after the action plan implementation period, largely due to staff changes within the sexual education teams in charge of implementing the commitment.</p>
4: Transport and Mobility (2 commitments)	<p>Verifiable: Yes</p> <p>Relevant to open government: Yes (access to information, civic participation)</p> <p>Potential impact: Moderate</p> <p>Completion: Substantial</p>

	See details in Section 1: Early Results
5: Housing (1 commitment)	<p>Verifiable: Yes</p> <p>Relevant to open government: Yes (access to information, civic participation)</p> <p>Potential impact: Moderate</p> <p>Completion: Limited</p> <p>During the first year of implementation, the city's Housing Institute (IVC) worked on the development of a matrix of housing indicators, taking into account the 2030 Agenda for Sustainable Development. In December 2019, the IVC published eight new housing-related datasets on the BA Data website.¹⁸ Although the planned Housing Observatory had already been created prior to the action plan creation, the IVC decided to relaunch it, as well as to publish new information that had been requested by CSOs from the multi-stakeholder forum. However, this had not happened by the end the action plan implementation period.¹⁹</p>

3. Civil society and public engagement during implementation

Level of public influence during design: Collaborate (There was iterative dialogue and the public helped set the agenda.)

Level of public influence during implementation: Collaborate (There was iterative dialogue and the public helped set the agenda.)

Despite the challenges posed by the COVID-19 pandemic, the level of participation by government and civil society actors was maintained throughout the implementation of the action plan. Progress was made regarding the incorporation of new government actors, in particular front-line officials from different branches of government.²⁰

The Open State Roundtable of the City of Buenos Aires (multi-stakeholder forum) held three meetings in 2019 and three in 2020 to monitor commitment implementation. The roundtable also agreed on criteria for the continuation of the implementation of the plan in the context of the COVID-19 pandemic. It developed guidelines for the new co-creation process for the 2021–2022 cycle and the election process for civil society and private sector representatives to the Open State Roundtable to make it more inclusive.²¹

Both the General Secretariat and the CSOs interviewed stated that participation remained strong, although in some cases less frequent than in the national open government process. CSOs also noted that the roundtable could have been more proactive in its response to the pandemic.²² In this regard, the roundtable agreed that, in the face of the challenges presented by the pandemic, elections for new roundtable representatives would be held next year, alongside the new co-creation process.²³

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- ¹ Buenos Aires' second action plan includes a total of fourteen commitments under five clusters.
- ² "Segundo Plan de Acción de Gobierno Abierto de la Ciudad [Second Action Plan for Open Government of the City]," <https://trello.com/b/YfIZd7iO/iniciativa-apertura-e-innovación-para-un-estado-abierto>.
- ³ Buenos Aires Data, "Citizen Participation," <https://data.buenosaires.gob.ar/dataset/participacion-ciudadana>.
- ⁴ Buenos Aires Government, "Programa Buenos Aires Convive [Buenos Aires Live Program]," <https://www.buenosaires.gob.ar/derechoshumanos/convivencia-en-la-diversidad/programa-buenos-aires-convive>.
- ⁵ Buenos Aires Data, "Citizen Participation," <https://data.buenosaires.gob.ar/dataset/participacion-ciudadana>.
- ⁶ Buenos Aires Legislature, <http://datos.legislatura.gob.ar>.
- ⁷ Buenos Aires Legislature, "Report on Citizen Service Office," <https://bit.ly/3eYUfPf>.
- ⁸ <https://www.opengovweek.org/event/presentacion-del-laboratorio-de-justicia-abierta-e-innovacion/>
- ⁹ <https://bit.ly/3nqwAKs>
- ¹⁰ Buenos Aires, "City Planning Map," <https://planoabierto.buenosaires.gob.ar>.
- ¹¹ Including "RealTecno" event; "Tercer Congreso Internacional de Urbanismo, Movilidad y Participación Ciudadana"; "Bienal de Arquitectura"; Belgrano and Palermo Universitos.
- ¹² Buenos Aires Data, <https://data.buenosaires.gob.ar/dataset/>.
- ¹³ Florencia Romano, Maricel Lonati, and Tamara Laznik from the General Secretariat of the City of Buenos Aires, interview with the IRM, 4 November 2020.
- ¹⁴ "Análisis del uso de la bicicleta en la Ciudad Autónoma de Buenos Aires," Secretaría de Transporte y Obras Públicas ["Analysis of the use of the bicycle in the Autonomous City of Buenos Aires," Secretariat of Transport and Public Works], https://www.buenosaires.gob.ar/sites/gcaba/files/informe_movilidad_ciclista_2010-2020_5.pdf.
- ¹⁵ Buenos Aires' second action plan includes a total of fourteen commitments under five clusters.
- ¹⁶ <https://trello.com/b/AGFGMbp3/iniciativa-gobierno-abierto-para-la-equidad-de-género>
- ¹⁷ Buenos Aires Data, "Integrated Sexual Education of the City of Buenos Aires," <https://data.buenosaires.gob.ar/dataset/jurisdiccionales-de-educacion-sexual-integral>.
- ¹⁸ Buenos Aires Data, "City Housing Institute," <https://data.buenosaires.gob.ar/dataset?organization=instituto-de-vivienda>.
- ¹⁹ Romano, Lonati, and Laznik, interviews.
- ²⁰ "Minutas Reuniones Mesa de Estado Abierto [Minutes of Open State Roundtable Meetings]," https://docs.google.com/document/d/1EDf1mz_oHdAQ6Y7VvXh20GLnQxhINeLmSSXiHkobc0/edit.
- ²¹ Open State Roundtable of the City of Buenos Aires, Document Repository, https://drive.google.com/drive/u/3/folders/1jc8ZLDIj1KIP-7d_GvkJKmqPhCU6XQjj.
- ²² Joaquín Caprarulo (ACIJ) and Michelle Volpin (Directorio Legislativo), email correspondence with the IRM, 23 July 2021.
- ²³ Romano, Lonati, and Laznik, interviews.

IRM ASSESSMENT OF ELGEYO MARAKWET'S 2018–2021 ACTION PLAN

Findings

Despite a high level of ambition, Elgeyo Marakwet's second action plan achieved a more limited level of implementation than its first action plan in 2017. Many of the planned policies, legislative amendments, and guidelines envisaged under the commitments did not ultimately materialize, although there was progress in other areas. The adoption of the open contracting data standards, for example, was a significant achievement despite not being included in the original plan. There was a significant decline in the level of public influence during implementation of the action plan with a switch from a CSO-driven co-creation process to a government-led implementation process and limited opportunities for joint meetings or implementation.

1. Early results

Commitment 1 is the only commitment to have produced meaningful early results. Commitments 2, 4, and 5 were only completed to a limited extent. While Commitment 3 was substantially completed, it had little impact because of limited CSO and citizen engagement and limited accessibility and dissemination of the healthcare-related information it produced.

Commitment 1: Promote transparent and accountable public procurement and public oversight

Did it open government? *Marginal*

The main objective of the commitment was to institutionalize and standardize practices in public procurement that facilitate fair access to opportunities and enhance transparency and public oversight of government procurement.¹ The commitment involved two streams of work: the development of guiding documents (in the form of procurement policies and manuals) and the implementation of activities to open up public procurement processes. Despite only limited implementation overall, this commitment produced some positive early results. The government made significant progress in improving procurement transparency, in particular, through the development of the open contracting portal.² While the government has yet to upload all relevant information on the portal, tender outcomes, including evaluation scores and the bills of quantities, are published.³ The first stream of work, in contrast, was largely not started, in part because the procurement manuals, operating procedures, and templates envisaged were adapted from the national government procurement systems, and there was ultimately little room to make any major changes as planned. Although the commitment milestones as described in the action plan had limited implementation, the push for reforms in Elgeyo Marakwet's public procurement since joining OGP resulted in the adoption of the open contracting data standards in April 2021, which went beyond the initial commitment ambition. Although the time between

adoption of the data standard and IRM reporting was short, preliminary comparison of the tenders awarded between May-September 2020 (before adoption of the standard) and May-September 2021 (after adoption of the standard) showed an increase in the number of tenders awarded.⁴

2. Completion

Commitment	Completion
1: Promote Transparent and Accountable Public Procurement and Public Oversight	<p>Verifiable: Yes</p> <p>Relevant to open government: Yes (access to information, civic participation, public accountability)</p> <p>Potential impact: Moderate</p> <p>Completion: Limited</p> <p>See details in Section 1: Early Results</p>
2: Enhance Opportunities for Participation, Access to Information, and Feedback and Complaints Mechanisms	<p>Verifiable: Yes</p> <p>Relevant to open government: Yes (access to information, civic participation)</p> <p>Potential impact: Moderate</p> <p>Completion: Limited</p> <p>The Department of Finance and Economic Planning in collaboration with CSO partners held a workshop with youth representatives to identify the extent to which previous budgets reflected their priorities and needs.⁵ The government held roundtable meetings with People Living with Disabilities and CSOs to promote their inclusion in planning, budgeting, policy-making,⁶ and two wards (Kamariny and Kaptarakwa) established children's assemblies for children to air their perspectives regarding their rights and protection in society.⁷ The government also trained youth to prepare and present budget proposals in the county budgeting processes.⁸ However, due to a backlog of documents for consideration and approval, the cabinet did not discuss or approve most of the draft policies, legislative amendments, and civic education manuals as planned under this commitment within the action plan period. The facility to host the Elgeyo Marakwet County Radio Station as a medium for civic education was still under construction and equipment yet to be procured/installed by the end of the action plan period.⁹ Finally, the county Department of</p>

	Public Service and County Administration did not introduce a complaint-handling framework into the staff performance contracting system since performance contracts were not cascaded below county executive members (equivalent of sectoral ministers). ^{10 11}
3: Accountable Healthcare and Transparent Medical Drugs Supply Chain Management	<p>Verifiable: Yes</p> <p>Relevant to open government: Yes (access to information, civic participation)</p> <p>Potential impact: Moderate</p> <p>Completion: Substantial</p> <p>The Department of Health and Sanitation, with support from Transparency International,¹² automated four out of Elgeyo Marakwet's seven hospitals to capture outpatient and in-hospital information, although the automated system is only accessible to healthcare personnel.¹³ The Department of Health and Sanitation was successful in standardizing health facility brand design and providing infrastructure such as television screens and benches for bigger health units but not for medium-to-low-volume dispensaries.¹⁴ Since its introduction by the national government in April 2021, the county Department of Health and Sanitation is using a countrywide standardized tool for recording drugs movement in health facilities.¹⁵ (This is a modification to the original milestone, which committed the local government to publish this information via public notice boards). While the data is open to the public, access to the system requires log-in credentials, and the data requires high level filtration to generate specific information that may be understandable by citizens.¹⁶ The county government also published morbidity information on its open data portal.¹⁷ However, this has not been updated since 2019 due to a limited collaboration between government statisticians and departmental data clerks.¹⁸</p>
4: Open County Development, Service, and Budget Data	<p>Verifiable: Yes</p> <p>Relevant to open government: Yes (access to information, civic participation)</p> <p>Potential impact: Transformative</p> <p>Completion: Limited</p> <p>The Department of Finance and Economic Planning conducted a baseline assessment on availability, use,</p>

	<p>and need for data across sectors.¹⁹ While the Department did not develop a data policy document as planned, the government, with the support of GiZ, developed a detailed framework for development indicators.²⁰ The Department also launched an open data portal in October 2019 for key statistics in all the development sectors; however, it has not updated the data since then. The same Department published via the government website a simplified version of the approved annual budgets, named the Mwananchi budget,²¹ but failed to develop a donor support policy for partnership, grants management, and public disclosure as planned. It did, however, publish the work plans for conditional grants, together with information on donor-supported initiatives, loans, and conditional grants-supported development initiatives within both original and simplified budget documents,²² although these were not disseminated as widely as originally planned.</p>
<p>5: Empowerment of Youth and Other Special Interest Groups</p>	<p>Verifiable: Yes</p> <p>Relevant to open government: Yes (access to information)</p> <p>Potential impact: Moderate</p> <p>Completion: Limited</p> <p>Although the government mobilized youth to register themselves on a database to help them access empowerment opportunities,²³ the database itself was not developed. It is also not clear whether the register specified their unique challenges, capacities, and potential as stated in the commitment wording. Similarly, while the government partially installed public information systems (electronic public display billboards, TV screens in health facilities, and county websites), it did not utilize these platforms to disseminate opportunities for the target audiences. Beyond establishing and equipping ICT centers as business incubation and innovation centers,²⁴ the government has yet to provide the necessary entrepreneurial support in these centers for young people. The county also failed to establish a digital jobs committee or youth empowerment service desk to facilitate access to opportunities as planned.</p>

3. Civil society and public engagement during implementation

Level of public influence during design: Collaborate (There was iterative dialogue and the public helped set the agenda.)

Level of public influence during implementation: Inform (The government provided the public with information on the action plan.)

The intensity of CSO engagement declined during implementation of the action plan as compared to the design phase. Most CSOs²⁵ attributed the decline to the switch from a CSO-driven co-creation process²⁶ to a government-led implementation process. The secretariat duties for the MSF—such as maintaining records and coordinating meetings—reverted from CSOs during co-creation to the government during implementation. Although the joint structure established for co-creation²⁷ was not disbanded, the government did not provide leadership in scheduling and initiating activities for joint meetings or implementation. Neither the government nor the CSOs provided evidence of any MSF meetings taking place over the implementation period. As a result, CSOs had inadequate forums to provide inputs and/or feedback during implementation.²⁸ In contrast, the level of participation increased for a selection of development partners who were directly involved in supporting the implementation of respective commitments, both technically and financially. These included the World Bank, GiZ, Open Institute,²⁹ Hivos, and Development Gateway.

The government developed and shared among the MSF members and commitment leads an implementation matrix³⁰ meant to facilitate documentation and tracking of implementation progress. However, the commitment leads did not update the matrix, neither was it presented for discussion by the MSF. The Open Governance Institute began developing a commitment tracker, which was piloted for Commitment 3. However, the initiative was not completed due to the COVID-19 pandemic and resource constraints.³¹ The government did not develop any tools or mechanisms to keep other stakeholders engaged during implementation and made little effort to adjust the OGP processes to allow for implementation in light of the pandemic.³²

¹ IRM, “Elgeyo Marakwet 2018–2020 Design Report,” OGP, 24 November 2021, <https://www.opengovpartnership.org/documents/elgeyo-marakwet-design-report-2018-2020/>.

² “Open Contracting,” County Government of Elgeyo Marakwet, <https://elgeyomarakwet.go.ke/open-contracting/>.

³ The Open contracting portal can be accessed here <https://opencontracting.elgeyomarakwet.go.ke/portal/tender>.

⁴ The comparison was based on the IRM researcher’s review of internal reports from the Procurement Directorate.

⁵ Records of youth training activities and budget discussions can be found here: <https://drive.google.com/drive/folders/1QDru4UmrpSJJeA-HuCW-n9A1260kS123Y>.

⁶ Linus Siele, “Governor CSO’s Roundtable Launched,” Current News, May 26, 2019, <https://elgeyomarakwet.go.ke/governor-csos-roundtable-launched/>.

⁷ “Elgeyo Marakwet Childrens Assembly,” County Government of Elgeyo Marakwet Department of Sports, Youth, ICT Gender and Social Services, <https://drive.google.com/drive/folders/1QDru4UmrpSJJeA-HuCW-n9A1260kS123Y>; An example of budgetary allocation Ksh. 300,000 in Kaptarakwa ward for organization of the

Children Assembly in the financial year 2020/2021 is provided in the budget extract available here:

<https://drive.google.com/drive/folders/1QDru4UmrpSJeA-HuCW-n9A1260kS123Y>.

⁸ Records of youth training and budget prioritization can be found here:

<https://drive.google.com/drive/folders/1QDru4UmrpSJeA-HuCW-n9A1260kS123Y>.

⁹ Kilimo Ruto, director of public participation, interview with the IRM, 5 October 2021.

¹⁰ Magrine Serem, director of gender and social services, interview with the IRM, 4 October 2021

¹¹ Ruto, director of public participation, interview with the IRM, 5 October 2021

¹² "Health Accountability Project (HAP)," Transparency International, 2018,

<https://healthworks.ti-health.org/projects/health-accountability-project-hap/>.

¹³ Sample printouts can be found here: <https://drive.google.com/drive/folders/1QDru4UmrpSJeA-HuCW-n9A1260kS123Y>.

¹⁴ A pictured service charter at one of the subcounty hospitals can be found here ([Elgeyo Google Drive](#)). Also, an early commitment assessment carried out by the Open Governance Institute indicated the ongoing activities then, including pictures of the old service charters and signages and waiting bays: Timothy Kiprono, Inayat Sabhikhi, and Gladys Jepkoech, "OGP Local Commitment Status Review Field Assessment Brief Elgeyo Marakwet," Open Governance Institute (July 2019), <https://drive.google.com/drive/folders/1QDru4UmrpSJeA-HuCW-n9A1260kS123Y>.

¹⁵ Kenya Health Information System for Aggregate Reporting and Analysis, <https://hiskenya.org/dhis-web-commons/security/login.action>.

¹⁶ Gideon Kiprop and Jacob Ayienda, county health officials, interview with the IRM, 5 October 2021.

¹⁷ Kenya Health Information System for Aggregate Reporting and Analysis (requires log-in)

<https://hiskenya.org/dhis-web-commons/security/login.action>.

¹⁸ John Maritim, director of economic planning and government POC, interview with the IRM, 4 October 2021.

¹⁹ Ibid.

²⁰ A copy of the County SDG Indicator handbook can be found here:

<https://drive.google.com/drive/folders/1QDru4UmrpSJeA-HuCW-n9A1260kS123Y>.

²¹ "Publications," County Government of Elgeyo Marakwet, <https://elgeyomarakwet.go.ke/publications/>.

²² The government's budget documents can be found here: <https://elgeyomarakwet.go.ke/publications/>.

²³ Mike Mosi, director of sports and youth, interview with the IRM, 4 October 2021.

²⁴ Examples of budgetary allocation for ICT centers in Kapswoar and Anin is given in the budget extract available here: <https://drive.google.com/drive/folders/1QDru4UmrpSJeA-HuCW-n9A1260kS123Y>.

²⁵ Kimutai Chemitei, CSO representative of the business community, interview with the IRM, 29 September 2021; Kenneth Kimaiyo, coordinator of the Elgeyo Marakwet CSOs Network, interview with the IRM, 29 September 2021; and Timothy Kiprono, executive director, Open Governance Institute, interview with the IRM, 30 September 2021.

²⁶ The Open Governance Institute (OGI) is a nonprofit organization that has over the years played a leading role in Elgeyo Marakwet's OGP journey. For this action plan, OGI was awarded the trust fund to support the co-creation process.

²⁷ In 2018, Elgeyo Marakwet established its MSF that steered action plan development processes. This forum constituted an equal representation of government officials and CSOs and the key government leadership. For more information about the MSF and the co-creation process, please refer to the 2018–2020 Design Report, available here: <https://www.opengovpartnership.org/documents/elgeyo-marakwet-design-report-2018-2020/>.

²⁸ Chemitei, interview.

²⁹ "Open County," Open Institute Africa, <https://openinstitute.africa/programmes/responsive-government/open-county/>.

³⁰ "Local Action Plan II Commitment Implementation Matrix," Elgeyo Marakwet County, <https://drive.google.com/drive/folders/1QDru4UmrpSJeA-HuCW-n9A1260kS123Y>.

³¹ The draft commitment tracker tool can be found here: Timothy Kiprono, Inayat Sabhikhi, and Gladys Jepkoech, "Mwananchi OGP Guide Elgeyo Marakwet County OGP Action Plan Commitment Three," Open Governance Institute (July 2019), <https://drive.google.com/drive/folders/1QDru4UmrpSJeA-HuCW-n9A1260kS123Y>.

³² Kimaiyo, Chemitei, Kiprono, and Maritim, interviews.

IRM ASSESSMENT OF JALISCO'S 2019–2020 ACTION PLAN

Findings

The development and implementation of the Jalisco action plan showed improvement in the quality of organized civil society participation. The governance framework in the relationship between government and civil society enables incremental learning: a horizontal and constructive relationship between both sectors, complemented with support for the monitoring work by the government toward civil society (e.g., assessments) and a repository that allows citizen monitoring of all activities. It is recommended to continue strengthening this close relationship, fostering the inclusion of new actors and citizens, in general, within this institutional framework.

Regarding implementation, Jalisco's second action plan achieved a higher level of completion than its previous action plan,¹ with four of its seven commitments completed, and substantial progress on two commitments.²

The commitments have not led to significant early results on opening government, despite collaboration between government and civil society and completion of the planned activities. According to government and civil society stakeholders, this was due to the lack of alignment with open government values, particularly in commitments of the judiciary and the metropolitan area of Guadalajara municipalities, which were focused on internal processes of citizen services and electronic government.

Regardless of these limitations, there has been significant involvement of civil society, during the design and implementation of the commitments and, particularly, through the monitoring committees for each commitment and the Monitoring and Evaluation Committee for the action plan as a whole.

1. Early results

Most of the action plan's commitments were completed, but only one produced notable early results, regarding participation in the approval of bills (Commitment 1). Although the commitments sought to lay the foundations for future changes in government practices, two factors limited their impact. There was little effective civil society participation during the implementation, particularly in commitments where the explicit objective sought this participation. In addition, a focus on technology and management of citizen services was not paired with a strong open government lens.

Commitment 1: Digital Platform for Civic Participation in the Development and Approval of Laws

Did it open government? *Marginal*

The Congress of Jalisco participated in the second OGP action plan with the commitment to develop a portal called "Jalisco Open Congress," which would complement its institutional website through a highly participatory approach and access to public information (including databases) on the state Congress.

Regarding design, this commitment had moderate potential impact. The creation of the site would mean a great step forward in terms of opening the Jalisco legislature. However, the text of the commitment was unclear on the scope of the initiative. Although it aimed to include three types of actors (experts, civil society, and citizens) in the process of creating public policies in Congress, with the idea of promoting the value of civic participation, there are no details on how this involvement would take place. Therefore, there is no clear expectation about the quality of the participation that can be expected and how this can change the current practice. Regarding the value of access to information, the commitment does not specify the scope of how it would lead to greater access of information. General topics, such as management of parliament's budget, open data, and lobbying actions, among others³ are mentioned, but without specifying how citizens can access this information, or how its intelligibility is facilitated.

The commitment was fully completed.⁴ The "Jalisco Open Congress" platform, its most important activity, is available online.⁵ For its creation, meetings were organized with civil society, although the minutes indicate the recurring participation of only two institutions: the Instituto Tecnológico y de Estudios Superiores de Occidente (ITESO) and Universidad del Valle de Atemaja (UNIVA) universities.⁶

One of the main innovations of the portal is the possibility of commenting on the bills generated by the Congress of Jalisco. After a review of all the projects included in the portal, only a minority have received comments from citizens: 31 initiatives out of 1,040 received comments (3%),⁷ which indicates that the platform still needs to improve its outreach. There is no available evidence as to whether congressional staff informed citizens of how their comments were addressed.

Likewise, its creation has opened the possibility of accessing open data related to the institutional life of parliament. This means a change from the previous period, when the parliament had only an institutional portal. However, at the end of the commitment implementation period in August 2021, the platform referred to an open data section that only included six datasets, with information that was previously available (e.g., profile of Congress' lawmakers for the current period).⁸

To achieve significant results, the use of the platform must be encouraged so that Congress employees develop the habit of consulting with and responding to citizens' and experts' comments on the initiatives. In that respect, commitment resulted in marginal changes in improving transparency and civic participation.

2. Completion

Commitment	Level of Completion
1: Digital Platform for Civic Participation	Verifiable: Yes Relevant to open government: Yes (access to information, civic participation)

in the Development and Approval of Laws	<p>Potential impact: Moderate</p> <p>Completion: Completed</p> <p>See details in Section 1: Early Results</p>
2: Review of the Civil Society Organizations Support Program=	<p>Verifiable: Yes</p> <p>Relevant to Open Government: Yes (access to information, civic participation).</p> <p>Potential impact: Minor</p> <p>Completion: Completed</p> <p>The Civil Society Organizations Support Program of the State of Jalisco seeks to increase the institutional capacity of civil society organizations in Jalisco.⁹ The program includes training for civil society and manages a specific budget for its activities. The commitment sought to improve access to information on this social program and the involve civil society in its monitoring through a participatory methodology. The model of this intervention replicated other social programs under the state's jurisdiction.</p> <p>It is important that the program's information is accessible to citizens, given the use of public resources for its execution and the involvement of civil society actors. The text of the commitment points to an incremental improvement—improving the transparency of the social program through the collaboration of civil society. The program is also about generating a "comprehensive model applicable to all social programs," prepared by the government and civil society. However, the milestones do not include activities related to this stage, so there is no information on how this main contribution of the commitment—the institutionalization of this practice in the future—would be rolled out. Given these limitations, the potential impact of this commitment, as designed, is considered minor.</p> <p>The commitment was fully completed.</p> <p>The participatory activities of the program to support civil society organizations include the minutes of the training and discussion meetings on the functionalities of the platform (milestone 2),¹⁰ the forum and roundtables between civil society and public officials (milestone 4),¹¹ and roundtables between civil society and public officials to review the list of beneficiaries and budget management breakdown (milestone 6).¹²</p> <p>However, the results regarding civil society participation in the program monitoring are limited, meaning they are minor changes</p>

	<p>to government practice. Government and civil society differ on this point. The government indicates that the participatory methodology proposed for the program was complied with. Most of the suggestions from the discussion tables for the program were included in its Operations Guidelines (63%). These include contributions from both civil society and state representatives. Several suggestions listed in the annex seek to promote public access to information about the program.¹³</p> <p>The civil society self-assessment has a different perspective. Although they point out that several work meetings were organized, they also mention that “the methodology used to complete the commitment was not developed with civil society or validated by them. There were no specific products or roadmaps explicitly established to achieve the transparency and accountability of the commitment.”¹⁴ Likewise, regarding access to information, the latest civil society report of 2021 has reservations concerning “how the quality of information will be valued in relation to the support program for CSOs, especially everything related to the possibility of access to the program and the disclosure of its results to CSOs,” since “no indicators or formulas are proposed to assess its quality.”¹⁵</p> <p>Regarding the Proposal for a Comprehensive Model of Transparency and Accountability for Social Programs, the government indicates that the commitment developed a methodology based on the participation of the Citizen Sectoral Councils. These are spaces where civil society participates, guaranteeing their inputs are considered in the biennial evaluation of the Operations Guidelines of social programs in other areas.¹⁶ Their implementation would take place after the activities of the second action plan are finished.</p>
3: New Model for the Selection and Appointment of Auxiliary Justice Experts	<p>Verifiable: Yes</p> <p>Relevant to open government: Yes (civic participation)</p> <p>Potential impact: Minor</p> <p>Completion: Substantial</p> <p>During judicial processes in Jalisco, corruption has been a frequent problem in the selection of judicial experts, particularly due to the judges’ arbitrariness in their selection. The commitment suggests the implementation of a mechanism for civic participation through the creation of discussion and consultation spaces with academics and civil society organizations, to make this designation more predictable and</p>

	<p>transparent.</p> <p>The commitment has a minor potential impact. Although the commitment is innovative in the subject addressed, particularly in the involvement of the judiciary, and represents a positive incremental step, the civic participation mechanism described in the action plan only complements the actions the judiciary and the Jalisco legislature must carry out to adopt the new expert selection system.</p> <p>Even though the mechanism includes meetings to discuss reforms, training sessions for judges, and guidelines formulation for the expert selection reform project, the specific impact that civic participation would have is not specified. In turn, the support for a substantial decision-making process is limited. This would have been important given that these are activities of the judicial and legislative powers. It would have put the civil society organizations interested in becoming part of the process at a disadvantage because their participation would only have an advisory character.</p> <p>The commitment was substantially completed. Regarding milestones related to the experts' selection, a meeting to discuss and analyze the draft to regulate the requirements and selection criteria for aspiring experts was carried out.¹⁷ However, the participation of civil society or academia was not verified. The same happened with the milestones related to the establishment of a fair remuneration for experts and the implementation of the new model for experts' selection.¹⁸ The implementation of the microsite is not accessible to the public¹⁹.</p> <p>No evidence shows that the government opened because of this commitment. As civil society and government point out, the commitment was not clearly connected to a significant civic participation mechanism.²⁰ Thus, for civil society, their little participation in this commitment through the monitoring committee was due to the specialized and technical nature that the election of experts requires.²¹ By the end of the action plan period in August 2021, only the milestone corresponding to the reforms of Code of Civil Procedures of the State by the Jalisco Congress remained pending.²²</p>
4: Citizen Services Platform for the Collection and Channeling of	<p>Verifiable: Yes</p> <p>Relevant to open government: Yes (civic participation)</p> <p>Potential impact: Minor</p> <p>Completion: Complete</p>

Reports Regarding Public Services in the Municipality of San Pedro Tlaquepaque	<p>The municipality of San Pedro Tlaquepaque has problems with excess bureaucracy and poor channeling of requests, complaints, and reports raised by citizens.²³ To reduce possible cases of corruption, the commitment seeks to implement an online platform where citizens can monitor cases and civil society can provide inputs.</p> <p>The potential impact of the commitment is minor. The commitment proposes a platform to track citizen complaints and incorporate civic participation mechanisms during implementation. To this effect, milestone 11 of the action plan mentions the importance of collecting feedback and approval from participating civil society as a prior step to the platform's presentation. This constitutes a positive incremental step in the area of citizen services. However, no specific details have been given regarding how this platform, or the civic participation that would help create it, would solve the problem described above.</p> <p>The commitment was completed with the online Digital Citizenship platform²⁴, which includes information on the services provided by the municipality. Regarding the component of civic participation to obtain citizen inputs for the implementation of the commitment, there is evidence of a meeting to present and discuss the platform with civil society. However, only the same two people who participated in the monitoring committee of this commitment joined (the rest were members of government) .²⁵ Therefore, the commitment had marginal results.</p> <p>Finally, the platform has the "TLQ ID" service that, after identification, allows the registration of complaints for further follow-up.²⁶ Although the platform has become the main mechanism for receiving and channeling citizen reports and complaints,²⁷ the government has not provided evidence that it comes with improvements in wait times or that the quality of communication with citizens has improved.</p>
5: Co-creation of an Open Data Portal to Fight Corruption and Provide Useful Information for Citizens of the Municipal Government of Zapopan.	<p>Verifiable: Yes</p> <p>Relevant to open government: Yes (access to information, civic participation)</p> <p>Potential impact: Moderate</p> <p>Completion: Complete</p> <p>Open data portals are tools that contribute to accountability and the reduction of corruption. The municipality of Zapopan seeks to involve citizens in the creation of an open data portal, a collective</p>

	<p>effort with civil society that will include useful information for citizens.</p> <p>The commitment's potential impact is moderate. It proposes the creation of an open data portal that would be designed together with a forum of citizens. The text of the commitment states that "once the content of the portal has been defined by civil society, the information will be required in a mandatory manner from the agencies that generate it, on a monthly basis."²⁸ This would represent a major step forward in terms of access to public information, as it is a binding mechanism for generating information in a specific period of time.</p> <p>The commitment was fully completed. During its implementation, Zapopan worked on three portals: one for open data,²⁹ another for participatory budgeting,³⁰ and a "participatory planning system," defined as a "mechanism through which decision-making is carried out together with citizens."³¹ The self-assessment report indicates that 50 citizens participated in the portal's validation process, which includes information on "audits, social communication expenses, consultancy expenses, sanctioned suppliers, safety records, public works, social programs, licenses, and directory."³² However, there is no evidence of the innovative component of the commitment—the monthly delivery and the government's mandatory publication of information on the datasets determined by civil society. Due to the absence of this key component, the commitment is considered to have had only marginal results in opening government.</p>
6: Citizen Services Policy to Handle Public Services Requests in the Municipality of Guadalajara	<p>Verifiable: Yes</p> <p>Relevant to open government: No</p> <p>Potential impact: Minor</p> <p>Completion: Substantial</p> <p>It is difficult for officials to follow up and report to citizens on the status of different municipal services procedures. Hence, the commitment proposes creating a public policy to handle these requests, accompanied by technological facilities for citizens to complete their procedures online.</p> <p>The commitment is not relevant to OGP values. It aims to generate a digital government mechanism that will help those interested follow procedures online, instead of in person. There is no specific civic participation component in the commitment (e.g., to provide inputs for the implementation of the plan) or an</p>

	<p>explicit objective of generating new information that is publicly accessible to citizens.</p> <p>The commitment has a minor potential impact. It is a positive incremental step regarding monitoring claims and requests, but it does not guarantee better conditions in the delivery of public services in the municipality. Also, there is no information on how the response rate or citizen satisfaction rate would improve.</p> <p>The commitment made substantial progress. Although milestone 3 mentions that "a new attention and service policy would be designed in relation to the follow-up given to the reports," the Jalisco repository does not include evidence of the approval of this new policy.³³ However, the CiudApp³⁴ app and website were created with functionalities to alert citizens about the status of their process (notification messages, among others). However, as pointed out by the Jalisco Civil Society Assessment and Follow-up Committee, "the platform design [does not have] any option for the user to request information" nor does the user receive explicit information "about the expected response time."³⁵</p>
7: Certification of Procedures at Public Service Windows in State Institutions with the ISO 37001 Standard at the Municipality of Tlajomulco de Zúñiga	<p>Verifiable: Yes</p> <p>Relevant to open government: Yes (civic participation)</p> <p>Potential impact: Minor</p> <p>Completion: Complete</p> <p>The public service windows in state institutions are usually spaces prone to corruption practices, since they are the gateways for citizens' needs. As indicated in the action plan, through this commitment, the municipality of Tlajomulco seeks to reduce corrupt practices with the implementation of the ISO 370001 standard (anti-bribery management system) that includes the adoption of civic participation mechanisms.³⁶</p> <p>The commitment has a minor potential impact. As a positive incremental step, the inclusion of a milestone to simplify the catalog of municipal procedures and services stands out, which can effectively help reduce opportunities for bribery (milestone 6). In addition, the commitment would include a social committee that would accompany the ISO 37001 certification process. However, the impact of this component is limited: no information is included on who would be part of the committee or what potential participants would contribute to the implementation of the ISO standard.</p> <p>The commitment was fully completed. The municipality of Tlajomulco de Zúñiga implemented the ISO 37001, which will be</p>

	<p>audited in the future.³⁷ However, the open government objectives, particularly regarding civic participation, have not been achieved. There is evidence that officials from the municipality of Tlajomulco and the Instituto de Transparencia, Información Pública y Protección de Datos Personales del Estado de Jalisco (ITEI) were the main participants in the meetings of the social committee, while only one representative from the civil society participated in the meeting on July 28, 2020.³⁸ Therefore, it is considered that the results of the commitment regarding opening the government were marginal.</p>
<p>8: Inclusive Digital Platform to Gather, Channel, Monitor, and Provide Solutions for Citizens Reports Regarding Public Services in the Municipality of Tonalá.</p>	<p>Verifiable: Yes</p> <p>Relevant to open government: Yes (civic participation)</p> <p>Potential impact: Minor</p> <p>Completion: Substantial</p> <p>The municipality of Tonalá has problems processing requests and complaints from citizens. The commitment seeks to improve this situation through a web portal and mobile app.</p> <p>The platform is relevant to the value of civic participation. The commitment points to a digital government mechanism for citizens to track the status of their reports on public services offered by the municipality. The milestones stated that there will be "training for city council staff on Open Government, accompanied by the Citizen Committee and the Monitoring Committee" (milestone 2) and "presentation, feedback and approval of the contextual handbook by citizen tables with experts" (milestone 5). Although the text of the commitment does not delve into these participatory components, it is relevant to the value of civic participation.</p> <p>The commitment's level of completion was substantial. The government created the website and the app (TonalaApp), but by 2022, the website was no longer available.³⁹ The app is now called Tonalá Atención Ciudadana and has been downloaded more than 100 times.⁴⁰ It has not been possible to find meeting minutes or lists of participants in the Jalisco repository to verify milestones 2 and 5, key to understanding the open government approach of the commitment.</p> <p>According to the self-assessment report, only six citizens participated during implementation, so this component has been limited in scale.⁴¹ For this reason, it is considered that the results of opening government have been marginal.</p>

3. Civil society and public participation during implementation

Level of public influence during design: Involve

Level of public influence during implementation: Involve

The design of the action plan involved civil society in decision-making. To this end, the "citizen roundtables" were convened to determine public problems. They worked on three topics: public services, participation and control, and human rights and employment. These were followed by citizen roundtables for prioritization, in which state entities also participated, and citizen roundtables for drafting commitments. In the voting, up to the prioritization stage, only civil society representatives participated, which helped guarantee this group's representativeness in the results.⁴² The feedback could be given through the three stages of state and civil society interaction: identification of problems, prioritization, and drafting commitments.

On the other hand, during implementation, the Monitoring and Evaluation Committee, made up exclusively of seven representatives of civil society, provided support and gave assessments and reviews to the management of the plan through a feedback process. In addition, each commitment had its own monitoring committee, also made up exclusively of members of civil society, whose monitoring work was recognized as a milestone within each commitment.⁴³ Finally, civil society has been able to publish an independent report with its assessments on the implementation of the plan and present it publicly, with the support of the government.⁴⁴ Likewise, in 2022, two years after the official activities of the plan ended, civil society published an independent satisfaction survey related to the commitments of the Jalisco action plan, which highlights the medium-term progress achieved by the plan in light of the potential user experience. These products made by civil society have been included in the OGP repository of Jalisco, including those that have critical opinions toward government implementation. Therefore, it is considered that the level of influence in both stages reached the level of "Involve."

¹ Three commitments were fully completed and four were substantially completed.

² Although the government indicates that it has fully completed Commitments 6 and 8, there is no evidence that the milestones related to citizen participation were completed.

³ Action Plan, 31. <https://www.opengovpartnership.org/documents/jalisco-mexico-action-plan-2019-2021/>

⁴ See monitoring dashboard for commitment 1. "Digital Platform for Citizen Participation in the Construction and Approval of Laws," Jalisco Open Government, <http://micrositios.itei.org.mx/compromiso-1/>.

⁵ "Open Jalisco Congress," Open Jalisco Congress, <http://congresoabierto.congresoajal.gob.mx/>.

⁶ See minutes from 24 September 2019 meeting. "Minuta de Reunion," Open Parliament Coordination Transparency and Citizen Participation, 24 September 2019, http://micrositios.itei.org.mx/wp-content/uploads/2019/10/MINUTA-PRIMERA-REUNION-PLAN-DE-ACCION_Legislativo.pdf. Minutes from 10 October 2019. "Minuta de Reunion," Open Parliament Coordination Transparency and Citizen Participation, 10 October 2019, http://micrositios.itei.org.mx/wp-content/uploads/2019/10/Minuta_Legislativo_Accion2.pdf. List of participants from 30 April 30 2020. "Videoconferencia 30 de Abril del 2020 Participantes," http://micrositios.itei.org.mx/wp-content/uploads/2020/06/Lista-de-Asistencia_Acc%C3%B3n07_Poder-Legislativo.pdf.

⁷ Up to October 14, 2022.

⁸ "Open Data," Open Jalisco Congress, <http://congresoabierto.congresoajal.gob.mx/datos>.

⁹ Ver vínculo: <https://programas.app.jalisco.gob.mx/programas/panel/programa/656>

¹⁰ "Report of the First Action Open Government: Program Analysis

Support to CSOs October 2019," Open Government Jalisco, October 2019, http://micrositios.itei.org.mx/wp-content/uploads/2019/10/Informe_accion2_Ejecutivo.pdf.

¹¹ "Report of the Analysis Session of the ROP of the 'Support to CSOs' Program," Jalisco State Government, http://micrositios.itei.org.mx/wp-content/uploads/2019/12/Informe-GA-ROP_Acc%C3%B3n04_Ejecutivo.pdf.

¹² "Report of the Review Session of the Register of Beneficiaries of the Program 'Support for Civil Society Organizations,'" Jalisco State Government, http://micrositios.itei.org.mx/wp-content/uploads/2020/01/Informe-GA-PUB-5.12.2019_Accion06_Ejecutivo.pdf.

¹³ Government of Jalisco (2020) Open Government Commitment of the Executive Power, 53–70.

¹⁴ Monitoring and Evaluation Committee (2020). "Assessment Report," 13

¹⁵ Evaluation and Monitoring Committee (2022). "Commitment Outputs Satisfaction Assessment, Jalisco Second Local Action Plan," 15–16.

¹⁶ "Self-Assessment," 19.

¹⁷ See minutes from 30 October 2019 meeting: http://micrositios.itei.org.mx/wp-content/uploads/2019/12/Minuta_Acc%C3%B3n05_Judicial.pdf.

¹⁸ Ibid.

¹⁹ "Microsite Expert Drawer," Council of the Judiciary, Judicial Branch of the State of Jalisco, http://micrositios.itei.org.mx/wp-content/uploads/2020/09/Manual-de-Usuario_Acc%C3%B3n-19_Poder-Judicial.pdf.

²⁰ José Gerardo Martín Bravo and Andrea Rivera, Jalisco government representatives, interview with the IRM, 23 May 2022; Members of the Monitoring and Evaluation Committee, interview with the IRM, 27 May 2022.

²¹ Monitoring and Evaluation Committee, 15.

²² Milestone 15, "Referral of the Reform Project to the Code of Civil Procedures of the State of Jalisco Regarding the Appointment of Auxiliary Experts," Action Plan, 47.

²³ "Action Plan," 52. <https://www.opengovpartnership.org/documents/jalisco-mexico-action-plan-2019-2021/>

²⁴ Government of Tlaquepaque official website: https://www.tlaquepaque.gob.mx/ciudadania_digital

²⁵ "Feedback Session and Approval of the Participating Civil Society:

Goal 11," Open Government Jalisco, 14 July 2020, http://micrositios.itei.org.mx/wp-content/uploads/2020/08/Minuta_Acc%C3%B3n-11_Tlaquepaque.pdf.

²⁶ Government website for digital services: <https://apps.tlaquepaque.gob.mx/login.php?id=3>

²⁷ "Self-Assessment," 44.

²⁸ "Action Plan," 58. <https://www.opengovpartnership.org/documents/jalisco-mexico-action-plan-2019-2021/>

²⁹ "City of Girls and Boys," Municipal Government of Zapopan, 2020, <https://datos.zapopan.gob.mx/>.

³⁰ "Participatory Budget," Government of Zapopan, 2021–2024, <https://presupuestoparticipativo.zapopan.gob.mx/>.

³¹ Government of Zapopan, "Participatory Planning System," Facebook, 18 August 2020, <https://www.facebook.com/ZapopanGob/photos/sabes-que-es-el-sistema-de-planeaci%C3%B3n-participativaes-el-mecanismo-mediante-el-c/10158247905770090/>.

³² "Self-Assessment," 2020, 56.

³³ "Policy for Improving Citizen Service in Reports, Regarding Public Services of the Municipality of Guadalajara," Government of Guadalajara, http://micrositios.itei.org.mx/compromiso_6/.

³⁴ CiudadApp, <https://mapa.guadalajara.gob.mx/ciudadapp>. The IRM investigator was unable to find CiudadApp on Google Play Store, so not known if it is current. The Monitoring and Evaluation Committee, however, indicates that CiudadApp was available until 2021. Monitoring and Evaluation Committee, 2022, 23.

³⁵ Monitoring and Evaluation Committee, 2022, 23. <https://www.gobiernoabiertojalisco.org.mx/2o-plan-de-accion-local-2019-2020>

³⁶ "Action Plan," 70. <https://www.opengovpartnership.org/documents/jalisco-mexico-action-plan-2019-2021/>

³⁷ This evaluation ended in December 2020, so events after that date are not considered.

³⁸ "Self-Assessment," 2020, 84.

³⁹ For screenshots of what the web was, see "Self-Assessment," 2020, 92–93.

⁴⁰ "Tonalá—Citizen Attention," app allowing "communication between citizens and the Government of Tonalá, Jalisco," Google Play Store, 2 October 2020, https://play.google.com/store/apps/details?id=com.tonalaapp.crm_appciudadano&hl=es&gl=US.

⁴¹ "Self-Assessment," 2020, 96.

⁴² "Action Plan," 16–26. <https://www.opengovpartnership.org/documents/jalisco-mexico-action-plan-2019-2021/>

⁴³ Members of the Monitoring and Evaluation Committee, interview.

⁴⁴ "Assessment II Local Action Plan 2019–2020 of Jalisco," PowerPoint presentation, April 2020.

IRM ASSESSMENT OF KADUNA STATE'S 2018–2020 ACTION PLAN

Findings

Four of the commitments under Kaduna State's 2018–2020 action plan were substantially completed, and one was not started. The most successful commitment in terms of early results was the rollout of open contracting standards across the state's ministries, departments, and agencies (MDAs). While uneven, the rollout led to greater transparency and increased opportunities for civil society monitoring of government spending. The level of engagement and quality of dialogue between government and civil society during implementation of the action plan improved compared to the co-creation stage.

1. Early results

Commitments 2 and 5 showed the strongest early results. While Commitment 1 led to Kaduna State providing a significant amount of budget information, it now faces the challenge of widely publicizing the information and finalizing the citizen budget guides to increase meaningful public participation, especially in budget preparation. Commitment 3 suffered from a lack of specificity, while Commitment 4 (enactment of a freedom of information law) was not started.

Commitment 2: Open Contracting Data Standards (OCDS)

Did it open government? *Marginal*

This commitment aimed to improve transparency and accountability of the procurement process through the development of two open contracting portals and progressive adoption of Open Contract Data Standards (OCDS).

The [Kaduna State e-procurement](#) and [open contracting](#) portals are [operational](#), and the application of OCDS has been scaled to all MDAs. However, the scope of contracting information on the portals varies from one MDA to another in terms of the amount of information uploaded and the processes covered.¹ To promote the use of open contracting tools, the government conducted sensitization activities for media practitioners, communities, citizens, and other stakeholders in the form of workshops and training sessions as well as through social media and radio and television programs.²

Despite the gaps in contracting information available for certain MDAs, the implementation of this commitment has enabled citizens to access information more easily on contracting processes in Kaduna State, online and upon request. Previously such data was either not publicly available or required the requester to go physically to the government's offices to access documents. At the same time, the program of sensitization exercises has served to support citizens to make use of this information to hold the government to account for its use of public resources. For example, training has increased the capacity of the Community Youth Volunteer Network Initiative to monitor projects and uncover

abandoned, poorly executed projects in Kaduna State.³ Nevertheless, it is too early for the implementation of the commitment to show results on increasing competition among bidders.

The expansion of the OCDS across MDAs throughout Kaduna State has also had a positive impact in standardizing data across other related commitment areas, particularly Commitments 1, 3, and 5. Furthermore, the fact that the Kaduna State government is proactively publishing a wider range of government-held information despite the assembly's failure to pass a Freedom of Information framework in the region (Commitment 4) suggests a good degree of political will on the part of the government.

Commitment 5: Citizens' Feedback Portal

Did it open government? *Major*

This commitment aimed to ensure that basic information on government activities and services is readily available to citizens and that they can submit reports and complaints on government projects through a citizen portal, including via a feedback app and toll-free phoneline.

As part of its Eyes and Ears project, the government of Kaduna State developed the citizen feedback application, which can be found on the Kaduna State Project and Planning Commission website.⁴ However, the application does not yet have the functionality to enable the government to provide a response to complaints as planned. The government has also put in place a call center (SMS/toll-free line) to enable citizen feedback.⁵ CSOs and the local government convened a total of five meetings on the use of both systems.⁶ Furthermore, the House of Assembly has designated an official to handle citizen's requests and carry forward complaints.⁷ Additional technology-based feedback products have not been developed largely due to funding constraints.⁸

Through the Eyes and Ears project, the government has received feedback on project quality and citizens' perceptions of government services, allowing it to better prioritize spending. For example, according to one account,⁹ in September 2020 alone, the government received 141 reports via multiple platforms, of which it resolved 90 within a month. The government reached out to some of the citizens who lodged complaints to request more information or to let them know about the progress made. According to the same report, the share of infrastructure projects completed on time has increased significantly as a result, while more than 16 contractors have been blocked based on citizens' reports of shoddy work.¹⁰

2. Completion

Commitment	Completion
1: Participatory Budgeting: Increase budget transparency and citizen participation	Verifiable: Yes Relevant to open government: Yes (access to information, civic participation)

through Community Development Charters throughout the state budget process	<p>Potential impact: Moderate</p> <p>Completion: Substantial</p> <p>Three of four milestones were completed, and one was substantially completed. The Kaduna State government established the Community Development Charter (CDC) Office within the State Planning Department of the Planning and Budget Commission¹¹ and a framework for citizens to effectively prioritize their needs in their CDCs was developed,¹² although neither has been well publicized. While Kaduna State has published citizen budgets,¹³ it did not publish and distribute citizen budget guides, as planned under Milestone 3.</p>
<p>2: Open Contracting Data Standards (OCDS): Implement the OCDS to improve accountability and transparency in the procurement process</p>	<p>Verifiable: Yes</p> <p>Relevant to open government: Yes (access to information, civic participation)</p> <p>Potential impact: Moderate</p> <p>Completion: Substantial</p> <p>See details in "Section 1: Early Results"</p>
<p>3: Improve the Ease of Doing Business in Kaduna State</p>	<p>Verifiable: Yes</p> <p>Relevant to open government: Yes (access to information)</p> <p>Potential impact: Minor</p> <p>Completion: Substantial</p> <p>To complete this commitment, the Kaduna Investment Promotion Agency revised the Ease of Doing Business Charter and MDAs' service level agreements and standards (although these are yet to be officially launched)¹⁴ and established an Ease of Doing Business Committee under the Executive Council Committee of Kaduna State.¹⁵ The Tax Justice Network prepared a Tax Perception Survey in Kaduna State.¹⁶ One challenge noted by the civil society lead for the commitment was the rate of staff turnover and rotation of government officials, making collaboration with CSOs particularly difficult.¹⁷</p>
<p>4: Access to Information: Pass the Bill on Freedom of Information</p>	<p>Verifiable: Yes</p> <p>Relevant to open government: Yes (access to information)</p>

	<p>Potential impact: Moderate</p> <p>Completion: Not Started</p> <p>None of the milestones under this commitment were started because the Freedom of Information Law on which it depends has not been passed into law by the Kaduna State House of Assembly.</p>
<p>5: Citizens' Feedback Portal: Increase and strengthen citizen-government engagement through multiple channels, such as the CitiFeeds app</p>	<p>Verifiable: Yes</p> <p>Relevant to open government: Yes (access to information, civic participation)</p> <p>Potential impact: Moderate</p> <p>Completion: Substantial</p> <p>See details in Section 1: Early Results</p>

3. Civil society and public engagement during implementation

Level of public influence during design: Involve (The government gave feedback on how public inputs were considered.)

Level of public influence during implementation: Collaborate (There was iterative dialogue and the public helped set the agenda.)

According to all ten interviewees,¹⁸ the level of engagement and quality of dialogue between government and civil society during implementation of the action plan improved compared to the co-creation stage, mainly because of the increased collaboration in the implementation of activities between the state and non-state actors. More specifically, the implementation of Kaduna State's action plan benefited from strong institutionalization and a clear commitment from the government and CSOs to engage. Commitment implementation in some cases was a shared responsibility between both CSOs and government agencies. For example, under Commitment 3, the Tax Justice Network implemented some of the activities with its own funding, such as running campaigns to promote tax for service and administering taxpayer perception and ease of doing business surveys.

Some of the tools and mechanisms that enhanced stakeholder engagement in the implementation of the OGP commitment areas and monitoring/tracking of progress included: (1) the formation of Technical Working Groups for each OGP commitment area, which included equal representation from CSOs and local governments;¹⁹ (2) the designation of a monitoring and evaluation (M&E) focal point who sits at the OGP Secretariat to ensure continuous monitoring of the progress of implementation of activities;²⁰ (3) quarterly review meetings by the State Steering Committee;²¹ (4) Technical Working Group monthly meetings;²² and (5) an OGP Week in April 2019.²³

- ¹ Rebecca Sako-Joh, CSO co-chair of the TWG responsible for Commitment 2 and a member of the State Steering Committee, interview with the IRM, 16 September 2021.
- ² OCDS TWG review document, June 2021, "Report on the Two Days Engagement with State and LGA Procurement Officers to Improve OCDS Documentation in Kaduna State" held at Fabs Hotel, Zaria on 6 April 2021, <https://drive.google.com/drive/folders/1IIgE83jrnk7jCNIr6ONZ2cip2NbMCGun>.
- ³ Yekeen Akinwale, "Citizen Engagements, Advocacy Uncover Abandoned, Poorly Executed Projects in Kaduna," Dataphyte, August 4, 2021, <https://www.dataphyte.com/latest-reports/development/citizen-engagements-advocacy-uncover-abandoned-poorly-executed-projects-in-kaduna/>.
- ⁴ Kaduna State Planning and Budget Commission, <https://www.pbc.kadgov.ng/>.
- ⁵ The number is 08001235444. See, for example: https://drive.google.com/drive/folders/118EY8WRsDziBJMNVz_yXLQ8okEYoO4hQ.
- ⁶ See the attendance list for a townhall meeting creating awareness on Kaduna State Eyes and Ears Citizen Engagement held on 30 March 2021 at the Planning and Budget Commission's Conference Hall—Zone 2; Townhall Meeting Objectives; Report of Townhall Meetings on Creation of Awareness of the Kaduna State Eyes and Ears Citizen Feedback Mechanism held 22–30 March 2021 (shared by Salisu Baba and Justin Ashio).
- ⁷ The House of Assembly designated Bashir Muhammed as the state officer for citizens in the House of Assembly; Saeid Tafida, civil society co-chair on Citizen Engagement Commitment, FollowTaxes.Org, interview with the IRM, 12 September 2021; Salisu Baba, director of development aid coordination and former director of M&E under citizen engagement, interview with the IRM, 12 September 2021.
- ⁸ Tafida and Baba, interviews.
- ⁹ Muhammad Sani Abdullahi, Amaka Opara, Rajul Awasthi, and Stephen Davenport, "GovTech in Kaduna: Responsive and Empowered Governments," World Bank Blogs, 5 March 2021, <https://blogs.worldbank.org/governance/govtech-kaduna-responsive-and-empowered-governments>.
- ¹⁰ Ibid.
- ¹¹ "Report of Kaduna Open Government Partnership (OGP) State Steering Committee Quarterly Review Meeting," held 11 September 2019 at the Hon. Commissioner's Office, Planning and Budget Commission, Kaduna, 3.
- ¹² For examples of Community Development Charter documents, see: Jaba LGA Community Development Charter Template 2019, Kaduna South LGA 2019, and Makarfi LGA 2019, <https://drive.google.com/drive/folders/1IIgE83jrnk7jCNIr6ONZ2cip2NbMCGun>.
- ¹³ "Report of 2019 Budget Town Hall Meeting," held on 12 August 2018 at Umaru Musa Yar'adua Hall, Murtala Square Kaduna, and "Minutes of A One Day Engagement with Civil Society Organizations (CSOs) Virtual Budget Review Engagement with CSOs," held on 19 May 2020 at the Data Lab, Planning and Budget Commission, via Zoom, <https://drive.google.com/drive/folders/1IIgE83jrnk7jCNIr6ONZ2cip2NbMCGun>.
- ¹⁴ Felix Oloruntoba, civil society co-chair of the TWG responsible for Commitment 3, interview with the IRM, 12 September 2021; Umma Aboki Yusuf, executive secretary of the Kaduna Investment Promotion Agency and local government co-chair of TWG responsible Commitment 3, interview with the IRM, 16 September 2021.
- ¹⁵ Yusuf, interview.
- ¹⁶ "Report on Tax Perception Survey in Kaduna State," prepared for the Tax Justice Network, Kaduna, March 2021, shared by Felix Oloruntoba.
- ¹⁷ Oloruntoba, interview.
- ¹⁸ Musa Kakaki, Saeid Tafida, Salisu Baba, Felix Oloruntoba, Jummai Bako, Justin Ashio, Mohammed Lawal, Rebecca Sako-John, Umma Aboki Yusuf, and Arc Suleiman Muhammad interviews.
- ¹⁹ "Kaduna State Action Plan 2018-2020," 34–35, <https://www.opengovpartnership.org/wp-content/uploads/2018/10/Kaduna-State-Action-Plan-2018-2020.pdf>.
- ²⁰ Ibid.
- ²¹ "Signed Meetings Attendance List for the OGP Steering Committee Meeting," held on 20 March 2019; OGP Kaduna, "Implementation of the Kaduna State Open Government Partnership Action Plan," 20 November 2018; "Report on the Implementation of Kaduna State Open Government Partnership Action Plan," 13 August 2018; OGP Steering Committee meeting of 20 March 2019; Steering Committee meeting of 28 March 2019; "Report of Kaduna Open Government Partnership (OGP) State Steering Committee Quarterly Review Meeting," held on 11 September 2019 at the Hon. Commissioner's Office, Planning and Budget Commission, Kaduna (documents provided during the interviews).

²² "OCDS TWG Review Report of June 2021"; "Attendance list for the Citizen Engagement TWG online meeting," held on 14 May 2020; "Video of the online meeting for the Citizen Engagement TWG," held on 14 May 2020 (documents provided during the Interviews).

²³ OGP Kaduna Local Program 2019 OGP Week, "To Empower the OGP Community in the State for a Responsive Governance," held on 8–14 April 2019; "2019 OGP Week Report," held on 8–14 April 2019 (documents provided during the interviews).

IRM ASSESSMENT OF LA LIBERTAD'S 2018–2020 ACTION PLAN

Findings

La Libertad did not start five out of its six commitments, and the remaining commitment was only completed to a limited extent. Stakeholder participation in the action plan decreased significantly during implementation as compared to the action plan design phase, with all engagement channeled through a single civil society focal point. The absence of any meaningful results can be attributed largely to changes in priorities under the new regional governor who took office immediately after the submission of the action plan.

1. Early results

Given that five out of six commitments were not started, and one has seen only limited progress, La Libertad's second action plan has delivered no early results. This is the case despite the fact that two commitments (1 and 2) were considered to have potentially transformative impact, thanks largely to the introduction of the [Decide La Libertad](#) platform.¹ It is worth noting that neither commitment was ill-conceived nor unrealistic in its design (factors that otherwise could have explained weak implementation). The lack of early results is explained entirely by the limited level of completion of commitments. This is partly due to the apparent lack of political support for OGP from the incoming regional government and the resulting changes in staff and priorities under the new administration. It is also due to the impacts of the COVID-19 pandemic.²

2. Completion

Commitment	Completion:
1: Decide La Libertad—Strengthening Citizen Participation	<p>Verifiable: Yes</p> <p>Relevant to open government: Yes (access to information, civic participation)</p> <p>Potential impact: Transformative</p> <p>Completion: Limited</p> <p>Only two out of seven milestones were completed. The remaining five were not started. The regional government acquired the Decide La Libertad web platform under a free license from Decide Madrid in Spain and adapted it to the local context.³ One of the first uses of the platform was for the approval of the 2019 participatory budget. At that time, up to</p>

	<p>2,000 people signed up to the website, although many of these were from a single institution and included public officials.⁴ However, the platform has since become inactive. The government expects to resume the initiative as part of the activities for the third action plan (2021–2023).⁵</p>
<p>2: Strengthening Accountability of the Regional Government</p>	<p>Verifiable: Yes</p> <p>Relevant to open government: Yes (access to information, public accountability)</p> <p>Potential impact: Transformative</p> <p>Completion: Not started</p> <p>This commitment was meant to provide new mechanisms for public accountability in the region, including through a dedicated section on the Decide La Libertad web platform, which has been discontinued (see Commitment 1). Although the regional government held some early internal discussions on the objectives of the commitment, the Open Government Regional Council (multi-stakeholder forum) that was responsible for its implementation never met.⁶</p>
<p>3: Strengthening Capacities of Civil Society</p>	<p>Verifiable: Yes</p> <p>Relevant to open government: Yes (access to information)</p> <p>Potential impact: Minor</p> <p>Completion: Not started</p> <p>The milestones in this commitment were either not started, or there was insufficient evidence to confirm their completion. According to the government, it designed a “virtual classroom,” including draft courses on open government and advocacy materials for CSOs. The government also stated that it would include open government guidelines from the national government and the Economic Commission for Latin America and the Caribbean in these courses.⁷ However, the government did not provide any evidence for the existence of these materials. The remaining milestones were not started.</p>
<p>4: Closing Gaps in Digital Literacy</p>	<p>Verifiable: Yes</p> <p>Relevant to open government: No</p> <p>Potential impact: Moderate</p> <p>Completion: Not started</p> <p>According to the government, the new administration switched its focus away from tackling digital literacy among the general</p>

	population (the objective of this commitment) toward promoting online education activities for schools. ⁸ Hence, this commitment was not started.
5: Sharing Good Practice on Citizen Participation with Municipalities in La Libertad	<p>Verifiable: Yes</p> <p>Relevant to open government: Yes (access to information, civic participation)</p> <p>Potential impact: Minor</p> <p>Completion: Not started</p> <p>This commitment was not started. It was not included in the working agenda of the Regional Coordination Council, where the regional government, municipalities, and civil society meet to design and implement regional policies.⁹</p>
6: Monitoring Anemia and Child Malnutrition	<p>Verifiable: Yes</p> <p>Relevant to open government: Yes (access to information)</p> <p>Potential impact: Minor</p> <p>Completion: Not started</p> <p>This commitment aimed to streamline and publish indicators on child malnutrition, anemia, nutrition, and other health data in the region. The Regional Department of Health disengaged from the initiative in favor of other priorities even before the onset of the COVID-19 pandemic. According to the government, there are plans to include this commitment in La Libertad's third action plan, which is currently being drafted.¹⁰</p>

3. Civil society and public engagement during implementation

Level of public influence during design: Consult (The public could give inputs.)

Level of public influence during implementation: Inform (The government provided the public with information on the action plan.)

Stakeholder participation decreased significantly during implementation as compared to the action plan design phase. Any engagement that did exist was channeled through the civil society focal point. The last documented meeting between CSOs and the regional government took place on 26 September 2019,¹¹ after which point the participation of civil society ended.¹²

In 2019, CSOs complained about the lack of regularity of meetings and the apparent lack of commitment by the new regional government (which took office in 2019, immediately after the submission of the 2018–2020 action plan) to move the open government agenda forward in the region.¹³ Among other things, the new administration removed many of the officials from the previous administration, including the one responsible for drafting the

action plan and coordinating five of the commitments. According to the government, a key challenge was the fact that CSOs lacked the basic public management skills and understanding of the public policy cycle to support the implementation of the action plan.

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The action plan included a commitment by the government to establish a monitoring mechanism for each commitment. Some progress was made by including completion indicators for each commitment in the OGP repository, but the information has not been updated since 2019. For instance, all commitments—except Commitment 1—showed 0% progress by September 2021. Commitment 1 shows 28.57% completion.¹⁵ Beyond this, the government of La Libertad did not adopt any tool for keeping stakeholders engaged during implementation.

¹ IRM, “La Libertad Design Report 2018-2020,” OGP, 21 May 2020, <https://www.opengovpartnership.org/documents/la-libertad-design-report-2018-2020/>.

² Gustavo Hurtado and Marco Zegarra, officials of the Regional Government of La Libertad, interview with the IRM, 10 September 2021.

³ “GRLL Presents the Portal ‘Decide La Libertad,’” TU Region Informa, May 28, 2018, <http://www.regionlalibertad.gob.pe/noticias/locales/9106-grll-presento-portal-decide-la-libertad>.

⁴ Regional Government of La Libertad, List of participants for the Decide La Libertad website, <https://www.regionlalibertad.gob.pe/transparencia/participacion-ciudadana-l/presupuesto-participativo/proceso-de-presupuesto-participativo-2019/agentes-participantes-4/9587-relacion-agentes-participantes-inscritos/file>.

⁵ Hurtado and Zegarra, interview.

⁶ Ibid.

⁷ Ibid.

⁸ Ibid.

⁹ Ibid.

¹⁰ Ibid.

¹¹ “Agenda for the Meeting between CSOs and the Regional Government,” 26 September 2019, <http://gobiernoabierto.regionlalibertad.gob.pe/eventos/eventos-y-reuniones/80-reunion-gobierno-abierto-26-09-2019/322-acta-de-reunion-de-gobierno-abierto-26-09-2019/file>.

¹² Mercedes Eusevio, POC from civil society, interview with the IRM.

¹³ Meeting with the Open Government Regional Council, 15 April 2019.

¹⁴ Hurtado and Zegarra, interview.

¹⁵ “Commitments Tracking Panel,” Commitments of the Action Plan 2018–2020, <http://gobiernoabierto.regionlalibertad.gob.pe/aga-la-libertad/compromisos>.

IRM ASSESSMENT OF MADRID'S 2018–2021 ACTION PLAN

Findings

Madrid's second action plan achieved a lower completion rate than its first action plan in 2017. This was due to a combination of factors, including impacts of the COVID-19 pandemic; technical, legal, and budgetary obstacles not foreseen during the design stage of the commitments; and changes in priorities on the part of the newly elected city government in 2019. For example, one important commitment (the creation of a citizen assembly-like body called "Observatorio de la Ciudad" [City Observatory]) was rescinded in February 2020 on the basis that it was an inefficient model of citizen participation and did not fall under the scope of the new government's model for citizen participation. In addition, the overall level of engagement during the implementation of the second action plan worsened significantly as compared to both the design phase and the first action plan cycle.

1. Early results

Commitment 5 was the only one to have shown early results, albeit marginal, within the extended action plan timeframe. Commitments 1, 2, and 4 were only completed to a limited extent, while the main output of Commitment 3, an online government commitment tracker, was not launched until later.

Commitment 5: Creation of "Observatorio de la Ciudad"

Did it open government?: *Marginal*

IRM considered this commitment to have transformative potential impact in its design phase, since it aimed to open up decision-making on government actions directly to a representative sample of citizens for the first time.¹ The Observatorio de la Ciudad was created as a space for citizen participation, composed of a representative sample of the city's population selected at random by lottery. The mandate of the City Observatory was to monitor municipal actions and policies and analyze, amend, and recommend action on citizen proposals made through the citizen participation platform "Decide Madrid." It was permanent and independent in its operation. The City Observatory was highlighted as one of the emerging innovative practices by the Organisation for Economic Co-operation and Development (OECD).²

On February 1, 2019, the City Council approved the Regulation of the City Observatory, following a public consultation process³ and gave it strong (although not legally binding) decision-making powers on the citizen proposals made through "Decide Madrid." Between February and March 2019, the 49 members and 147 substitute members of the City Observatory were selected via lottery, and three working sessions of the City Observatory were held between March and October 2019.⁴ The initial results during the months that the Observatory was in operation show that citizens deliberated and proposed concrete action on whether to implement those citizen proposals that had the most votes on the

“Decide Madrid” platform. Likewise, members of the Observatory voted on the issues to be prioritized and the municipal policies to be analyzed in various working groups focusing on the following, among others: environment and sustainable transport; cleanliness, care and maintenance of public spaces; and inequality between districts. These decisions made within the Observatory were presented to the municipal authorities to inform decision-making and prioritization in these areas.

However, at the time of this writing, the City Observatory had ceased to exist as a space for citizen participation. In November 2019, the newly elected Madrid Government began the process of rescinding the City Observatory, arguing that it was an inefficient model of citizen participation and did not fall under the scope of the new model for citizen participation that was under preparation.⁵ Government representatives stated that the topics of discussion that were taking place within the Observatory did not focus on the broader government strategy and plan and were hyper specific, focusing on proposals presented through the Decide Madrid platform. Despite public support for the maintenance of the Observatory,⁶ the Council approved the repeal in February 2020.⁷ The Council then constituted a new advisory body on June 11, 2021 (outside of the action plan implementation period) called “Consejo Social de la Ciudad,” to guide strategic planning through the participation of the most representative economic, social, professional, and neighborhood organizations.⁸

Thus, while the City Observatory led to changes in government practice during the short time it was operational and had the potential to continue to grow as a participatory mechanism, ultimately, it did not lead to a sustainable change in practice. This limited the scope of the commitment’s early results relative to the conditions that existed prior to implementing the plan.

2. Completion

Commitment	Completion
1: Anonymous Online Whistleblower Reporting Channel	<p>Verifiable: Yes</p> <p>Relevant to open government: Yes (public accountability)</p> <p>Potential impact: Moderate</p> <p>Completion: Limited</p> <p>For the implementation of the activities within this commitment, in February 2019, the Municipal Office against Fraud and Corruption introduced an electronic form on its website allowing anonymous reporting of corruption cases. The system being used (SIGSA—an integral system of management and file follow-up) allows the electronic processing of files with high standards of security and confidentiality. However, the online form uses the same systems as other websites and forms on the</p>

	<p>Madrid City website, which register the IP address from which the request is made, among other parameters.⁹ As a result, the secure communication and anonymity of the person filing the report cannot be guaranteed, which is central to the commitment objective.¹⁰</p>
2: Madrid in Data	<p>Verifiable: Yes</p> <p>Relevant to open government: Yes (Access to information, civic participation)</p> <p>Potential impact: Moderate</p> <p>Completion: Limited</p> <p>In May 2021, three months before the end of the implementation period, the city of Madrid signed two contracts to work on an open data portal: one to provide new visual functionalities to the portal¹¹ and one to create specific visualizations on eight datasets.¹² The prototypes were under development at the time of reporting. The city also published ad hoc web visualizations on thematic areas (e.g., COVID-19)¹³ and visualizations carried out within the scope of the municipal geoportal.¹⁴ However, while the city of Madrid took into account the results of various existing surveys, it did not conduct specific consultation activities with Districts Boards and Citizens to help identify and refine the data that would be included on the web portal, as envisaged by one of the two milestones of this commitment. The sum of these activities, including the consultancies hired to improve the site and its functionalities, have the potential to significantly improve Madrid's data ecosystem, building toward the commitment's objective. However, since those activities were in progress at the time of reporting and the first milestone to hold consultations was not completed, the commitment completion is limited.</p>
3: Online Government Commitment Tracker	<p>Verifiable: Yes</p> <p>Relevant to open government: Yes (access to information)</p> <p>Potential impact: Moderate</p> <p>Completion: Substantial</p> <p>The city of Madrid City implemented this commitment along two parallel lines of work: Developing an online tracker to monitor implementation of the Government Plan of the Madrid City Council. At the same time, developing a second version with additional technical specifications to allow greater sustainability and operational capacity for the tracker in the future. The incorporation of the tracker into the Madrid City Council's IT</p>

	<p>project portfolio, the functional design, and IT development were finalized.¹⁵ However, the tracker was not launched within the timeframe of the action plan: initial iteration expected in October 2021 and updated version operational by March 2022. In part, this was due to updates made to the Strategic Plan of the city of Madrid, the basis for the tracker.</p>
<p>4: Transparency in Waste Management</p>	<p>Verifiable: Yes</p> <p>Relevant to open government: Yes (access to information)</p> <p>Potential impact: Moderate</p> <p>Completion: Limited</p> <p>The commitment was designed within the broader strategic framework of the city of Madrid's Waste Strategy 2018–2022, which was subsequently annulled by the Madrid Court on the basis that the technical requirements were not met during the approval of the strategy.¹⁶ In this context, the city of Madrid opted to prioritize transparency by publishing existing data and information with regard to waste management in a visual and user-friendly manner.¹⁷ The city government carried out an analysis of the functional requirements of the project and prepared the specifications for outsourcing online visualization of data. The city of Madrid also established a partnership with Carlos III University to undertake an analytical project on urban waste.¹⁸ However, the envisaged platform was not developed within the timeframe of the action plan.</p>
<p>5: Creation of the “Observatorio de la Ciudad”</p>	<p>Verifiable: Yes</p> <p>Relevant to open government: Yes (civic participation)</p> <p>Potential impact: Transformative</p> <p>Completion: Complete</p> <p>See details in Section 1: Early Results</p>

3. Civil society and public engagement during implementation

Level of public influence during design: Consult (The public could give inputs.)

Level of public influence during implementation: No consultation

The overall level of engagement during the implementation of Madrid’s second action plan worsened as compared to both the design phase and the first action plan cycle. For the development of the action plan, the government consulted on the draft commitments. During the implementation process, no consultation was held, and the government did not inform stakeholders of commitment progress.

The city of Madrid did not establish a MSF during the design¹⁹ or implementation of the second action plan. There is no evidence of the existence of regular spaces for civil society interaction, participation, and deliberation regarding the OGP process or the open government policies and strategies in general.

The action plan is not published on the main government webpage dedicated to open government strategy and policies, and it is hard to access to the Open Government Action Plan 2018–2020 on the city of Madrid website.²⁰ Likewise, there is no repository with information on the OGP process, and the government did not provide the public with information on the implementation of the action plan.

Only two CSOs, Access Info Europe and Compromiso y Transparencia, reported having a meeting (at their request) with the government point of contact, on September 7, 2020, to discuss the overall funding and OGP action plans (current and future), but there was no follow-up on the meeting.²¹

Regarding the engagement of civil society and citizens on the implementation of specific commitments, the situation is similar. Most of the commitments included definition and prioritization work during implementation. The IRM design report included specific recommendations on the incorporation of citizen views during the implementation of commitments, particularly in the cases of Madrid in Data (Commitment 2), the government online commitment tracker (Commitment 3), and transparency in waste management in the city of Madrid (Commitment 4).²² However, this did not happen in practice. Under Commitment 1, neither the named CSO partners nor the Municipal Office against Fraud and Corruption reported any type of engagement or interaction during the implementation period.²³ Regarding Commitment 2, there was no consultation or participation process identifying the needs and/or defining the information that would be included in the web portal Madrid in Data, despite this being a specific milestone in the commitment. In the case of Commitment 5, two public consultations were held on the City Observatory—one prior to its establishment²⁴ and one prior to its subsequent repeal²⁵—following legal requirements.²⁶

¹ IRM, “Madrid, Spain Design Report 2018-2020,” OGP, 9 November 2021, <https://www.opengovpartnership.org/documents/madrid-spain-design-report-2018-2020/>.

² OECD, *Catching the Deliberative Wave: Innovative Citizen Participation and New Democratic Institutions*, 2020, OECD Publishing, Paris, <https://www.oecd.org/gov/innovative-citizen-participation-and-new-democratic-institutions-339306da-en.htm>.

³ Ayuntamiento de Madrid, *Acuerdo del Pleno, de 29 de enero de 2019, por el que se aprueba el Reglamento Orgánico del Observatorio de la Ciudad*. Published in the Boletín Oficial de la Comunidad de Madrid, BOCM n.27, 1 February 2019, <https://bit.ly/34jI2jH>.

⁴ The lottery can be seen on YouTube: <https://bit.ly/3yLCLj1>. Press release: “El Observatorio de la Ciudad ya tiene 49 vocales elegidos por sorteo” [The City Observatory Already has 49 Members Chosen by Lottery], Ayuntamiento de Madrid, 12 March 2019, <https://bit.ly/3yEQ8Be>.

⁵ Dirección General de Transparencia del Ayuntamiento de Madrid, *Memoria de análisis de impacto normativo de la derogación del Reglamento Orgánico del Observatorio de la Ciudad*, 18 December 2019, 2, <https://bit.ly/3wA80LK>.

⁶ General Directorate of Citizen Participation of the Madrid City Council, report on the result of the public consultation for the repeal of the City Observatory, accessed 25 May 2021, <https://bit.ly/3wwEM0o>. The

analysis of the synthesis of the most supported comments shows that the majority of citizens that participated supported the maintenance of the Observatory as a space for citizen participation.

⁷ Ayuntamiento de Madrid, *Acuerdo de 25 de febrero de 2020 del Pleno por el que se aprueba el Reglamento Orgánico por el que se deroga el Reglamento Orgánico del Observatorio de la Ciudad*, publicado en el Boletín Oficial de la Comunidad de Madrid, BOCM n. 8.591, 27 February 2020, <https://bit.ly/3fRykKS>.

⁸ For more information on the Consejo Social de la Ciudad, see <https://www.madrid.es/portales/munimadrid/es/Inicio/El-Ayuntamiento/Espacio-asociativo/Organos-de-participacion/Consejo-Social-de-la-Ciudad/?vgnextfmt=default&vgnextchannel=86ee9271cd0d9710VgnVCM1000001d4a900aRCRD>.

⁹ According to Article 23 "Activity Register" of the National Security Scheme (RD 3/2010).

¹⁰ Experts consulted include Ximona Levi (X-Net), David Martínez García (Executive Director Transparency International Spain). For more information on available technology and data on whistleblower protection and anonymity, see the report *Expandiendo tecnología de anonimización en Europa*, Blueprint for Free Speech and FIBGAR (Spanish), 2021, https://static1.squarespace.com/static/5e249291de6f0056c7b1099b/t/60fee0eeadca8478bb758b21/1627316470324/Expandiendo+Tecnologia+De+Anonimizacion+En+Europa_EAT.pdf.

¹¹ Minor contract with file number 2021NCM024, <https://datos.madrid.es/egob/catalogo/300253-15-contratos-actividad-menores.xlsx>.

¹² Minor contract with file number 2021NCM028, <https://datos.madrid.es/egob/catalogo/300253-15-contratos-actividad-menores.xlsx>.

¹³ "Covid-19: City of Madrid," Madrid City Council, 2020, <https://transparencia-covid19-madrid.hub.arcgis.com/>.

¹⁴ "Visualizador Actividad Económica," D.G. Planificación Estratégica, <https://madrid.maps.arcgis.com/apps/webappviewer/index.html?id=6f4533df3a9c409ea51198f46038f17d&ext=ent=-424842.4715%2C4916890.8487%2C-390827.9939%2C4936535.165%2C102100>; ArcGIS Online, Mercado de Trabajo – Ciudad de Madrid – 2020, Madrid City Council, 2020, <https://madrid.maps.arcgis.com/apps/dashboards/106a04bfd00e466a9d03a222041e2d7a>; Geoportal del Ayuntamiento de Madrid, geoportal, 2022, https://geoportal.madrid.es/IDEAM_WBGEOPORTAL/visor_ide.iam?ArcGIS=https://sigma.madrid.es/arcgisportal/rest/services/OBRAS/MPOBRAS_ASFALTO/MapServer.

¹⁵ Last version/update of the initial project portfolio 2021 Madrid City Council IT, 18 February 2021, published on the municipal intranet.

¹⁶ "Juzgado de lo Contencioso-Administrativo nº 18 de Madrid," Administración de Justicia, 21 February 2020, https://www.madrid.es/UnidadWeb/Contenidos/RC_Valdemingomez/Publicaciones/Sentencia65_2020.pdf.

¹⁷ Antonio Relaño, POC, interview with the IRM, 27 May 2021.

¹⁸ Antonio Relaño, POC, and Lydia Navarro, Deputy General Manager of Waste Collection, interview with the IRM, 20 September 2021, and correspondence with the IRM, 24 September 2021.

¹⁹ IRM, "Madrid, Spain Design Report 2018-2020," OGP, 9 November 2021, <https://www.opengovpartnership.org/documents/madrid-spain-design-report-2018-2020/>.

²⁰ "Open Government," Madrid City Council, n.d., <https://www.madrid.es/portales/munimadrid/es/Inicio/El-Ayuntamiento/Gobierno-abierto/?vgnextfmt=default&vgnextchannel=c573c98a1df4b410VgnVCM100000171f5a0aRCRD&vgnextoid=c573c98a1df4b410VgnVCM100000171f5a0aRCRD>

²¹ Information provided by Patricia González and Helen Darbishire of Access Info Europe.

²² IRM, "Madrid, Spain Design Report 2018-2020," OGP, 9 November 2021, <https://www.opengovpartnership.org/documents/madrid-spain-design-report-2018-2020/>.

²³ The IRM consulted Filtrala, Access Info Europe, Fundación Ciudadana Civio, Transparencia Internacional España. Access Info Europe, Fundación Ciudadana Civio, Transparencia Internacional España responded and confirmed that no engagement took place.

²⁴ Ver proceso de Consulta Pública sobre el Reglamento Orgánico del Observatorio de la Ciudad [Comments on the draft Organic Regulation of the City Observatory], Decide Madrid, entre los días 17 y 24 de septiembre de 2018, accessed 25 May 2021, <https://bit.ly/3wyHDps>.

²⁵ Ver proceso de Consulta pública previa sobre la derogación del Reglamento Orgánico del Observatorio de la Ciudad, Madrid Disponible, accessed 25 May 2021, <https://bit.ly/34wDXsF>.

²⁶ Law 39/2015, of 1 October 2015, on the Common Administrative Procedure of the Public Administrations (LPAC), Article 133 the Public Administrations (LPAC), regulates the participation of citizens in the procedure for the elaboration of rules with the status of law and regulations.

IRM ASSESSMENT OF NARIÑO'S 2019–2021 ACTION PLAN

Findings

The Nariño government's first action plan had three commitments that were implemented to a limited extent. From the evidence collected, none generated notable early results within the two-year implementation period. This could be due to lack of systematic civil society participation in the action plan cycle, and the impact of the pandemic and a change in the regional government which led to the modification of the commitments. For example, Nariño's open government policy was integrated into its social innovation policy, which led to several activities being reformulated, and not aligning with the objectives of the original action plan. Gaps in public documentation of the process and limited replies to IRM requests for comment prevented representation of nongovernmental actors' perspectives in this snapshot.¹

1. Early Results

Existing evidence² regarding the commitments' level of completion shows that the activities and milestones were carried out partially and unsystematically. There is no evidence of early results from implementation of the commitments.

2. Completion

Commitment	Level of completion
1: Coffee with Data:	<p>Verifiable: Yes</p> <p>Relevant to open government: Yes (access to information)</p> <p>Potential impact: Minor</p> <p>Completion: Limited</p> <p>The general objective of this commitment was to strengthen the coffee industry in Nariño, which has proven to be a way to replace illicit crops in the region, while strengthening the rural economy. Nariño is one of the main coffee-producing regions in Colombia, particularly of specialty, artisanal coffees. However, domestic coffee consumption has not been a regional priority. The commitment proposed to promote the exchange of ideas between coffee growers and specialized coffee shops to define and validate citizen participation strategies aimed at increasing the internal consumption of high-quality, artisanal, and specialty coffee from Nariño. To achieve this, the government committed to creating an</p>

	<p>open data platform around coffee,³ which included market information (on coffee production and consumption) so that producers inform their decisions through a participatory methodology. The commitment could help develop new data on the production and marketing of artisanal coffees that would later be made available to the public in Nariño. In addition, the commitment proposed continuing the organization of annual public events on coffee, creating networks between coffee growers and marketers, and holding workshops to promote work in the coffee industry. These are positive, though minor steps forward that could lead to better product penetration in the local market.⁴ It could help promote the coffee industry, improve the quality of life for the people involved in it and potentially, be recognized as an alternative to working in illegal industries (such as coca cultivation).</p> <p>The commitment had a limited level of completion. The open data portal was not developed, however, some information was produced about coffee shops in the region, on a small scale,. For example, it was found that in the capital Pasto there were 18 places to get specialty coffees.⁵ In 2022, under Nariño's new government, the coffee portal <i>Si es especial, es de mi Nariño</i>⁶ was implemented. However, it does not meet open data standards. It only includes a link to register for face-to-face and virtual coffee tasting activities.</p> <p>Milestone 2 (consumer participation to promote the consumption of specialty artisanal coffees) showed some progress: five meetings⁷ were held between producers and marketers of Nariño coffees, both in Pasto⁸ and Ipiales.⁹ In addition, the event <i>Frenesí del Café Especial de Nariño</i> was held, in which producers and the general public participated in learning about the supply chain, distribution, and marketing of regional coffees.¹⁰ Finally, the government, together with businessmen from the sector, provided evidence of the joint construction of the coffee cluster¹¹ generation policy. Because of this, the commitment yielded results in terms of citizen participation.¹² Therefore, the commitment generated positive, although limited, results on government openness.</p>
2: Environmental Democracy	<p>Verifiable: Yes</p> <p>Relevant to open government: Yes (access to information, civic participation).</p> <p>Potential impact: Minor</p> <p>Completion: Limited</p>

	<p>The Nariño action plan highlights that rural communities have been excluded from decision-making processes in the region, particularly regarding the environment and water care. Some of the main causes of this exclusion have been inequalities among the population, such as ignorance of regulations and difficulties in participating in collective action before the state.¹³ Based on the knowledge of rural communities of Nariño, the commitment seeks to generate socio-environmental information, while involving them in decision-making spaces.</p> <p>Organizing the activities indicated in the action plan—including meetings with rural communities and publishing new information based on official data and "knowledge" obtained through participatory meetings—constitutes a positive, yet minor step in the area of environment and water care. The commitment text does not include any ambitious or innovative mechanism for achieving this goal. It focuses on holding meetings with the expectation that the information will later be socialized by the government.</p> <p>The commitment has a limited level of completion. Although the 2019¹⁴ progress report of the Nariño government indicates that the milestones show progress, it is not possible to identify through an independent source that they were actually achieved. However, it was indicated that two meetings were held ("Territorial knowledge meetings" << <i>Encuentros territoriales de saberes y conocimientos</i> >>). Nevertheless, the participating rural organizations are not identified, nor is there concrete evidence of said meetings (such as photos, lists of participants, summaries of what was discussed in the meetings, posting of the meeting on social networks, etc.). The self-assessment report of Nariño points out a series of institutional events as part of the activities carried out for the action plan. However, according to how they are described, these events do not seem to be framed in the objectives of the action plan of Nariño.¹⁵</p> <p>Milestone 2 outlines an event on environmental democracy, but the evidence shared with the researcher is about a march for Environment Day,¹⁶ which does not respond to the activities described in the action plan. The new government does include evidence of holding a commemoration event for the International Day of Community Water Management, which was attended by representatives of rural communities.¹⁷</p> <p>Finally, to support the actions taken to implement the open data portal, the previous government of Nariño shared internal documents on the environment and a link to an unofficial portal</p>
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	<p>that is no longer available.¹⁸ Likewise, the current government indicates that the open data portal is contained in the GOBERNAR platform. However, that website is not active.¹⁹</p> <p>Overall, the commitment's results on opening government were marginal.</p>
3. Nariño Decide	<p>Verifiable: Yes</p> <p>Relevant to open government: Yes (access to public information, civic participation)</p> <p>Potential impact: Minor</p> <p>Completion: Limited</p> <p>Corruption during electoral times is a recurring problem in Nariño.²⁰ To address this problem, the commitment sought to strengthen the "Nariño Decide" network, a coalition of civil society organizations that has exercised oversight in previous electoral campaigns. The commitment would generate an online platform for Nariño Decide and civic participation activities during its implementation. Therefore, it is considered that the commitment is relevant to the access to public information and civic participation values.</p> <p>The commitment has a minor potential impact. Although it represents a positive incremental step in the fight against corruption during elections, the activities proposed to implement it do not address this problem. For example, it speaks of generating civic forums with candidates or creating communication campaigns to promote informed voting, but how these activities would help solve the problem of corrupt practices during electoral campaigns (vote buying, political violence, etc.) is not explained.</p> <p>The commitment had a limited level of completion. According to the evidence collected, citizens and candidates participated in events in the municipalities of Sandoná, Yacuanquer, Los Andes, and Guaitarilla. These events aimed to present the citizens' problems and expectations to the candidates, and to listen to the candidates' campaign proposals.²¹ In Pasto, on the other hand, activities were organized with candidates for regional government who signed onto a set of commitments in the event that they were elected.²² There is limited evidence²³ of the implementation of the milestones regarding the institutionalization of the Nariño Decide alliance. The latest official Facebook activities culminated in October 2019.²⁴ According to the government, there is an agreement with the United Nations Development Program (UNDP) for the creation of an open government observatory in Nariño, an initiative that has not yet materialized.</p>

	Also, the website indicated in the action plan was not created. According to the government in a July 2022 report, "the Technical Secretariat will manage resources for the creation and administration of a website that will serve as a repository of information on the actions of Nariño Decide." Likewise, they point out that "the open government team will create the platform to make visible and show the content produced by the Nariño Decide."
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3. Public and civil society participation during implementation

Level of public influence during design: Consult

Level of public influence during design: Inform

The action plan mentions the existence of a co-creation forum. However, there is no evidence²⁵ of who participated in this forum or if it included nongovernmental organizations. For the design of the action plan, it is noted that consultation activities were carried out, but specific organizations are not mentioned. Those mentioned are "the academia, the productive sector, non-governmental organizations and citizens in general."²⁶ The action plan does mention the participation of specific people from outside the government in the co-creation activities.²⁷ Likewise, graphic evidence of work meetings and the participation of civil society organizations in draft commitments (which did not materialize)²⁸ has been documented. There is no evidence on the quality of these discussions or how the voice of civil society was integrated. It is considered that the process reached the level of "Consult," given that there were opportunities for nongovernmental actors to contribute to the construction of the action plan.²⁹

For the implementation of the action plan, the level of public influence was minimal. According to a representative of the Nariño government, the previous regional administration favored a "communicational approach" to the implementation of the action plan, which translated into providing information mainly through the government's social networks.³⁰ Thus, the previous government prioritized communication regarding the activities carried out over the active participation of nongovernmental actors in the monitoring and implementation process. The repository of the current administration of the Nariño government is not accessible,³¹ which makes it difficult to verify the level of civil society involvement in implementing the plan during the new administration. The evidence provided by the current management on the involvement of civil society during implementation shows circumstantial participation at the level of each commitment (rather than in a MSF). Therefore, it is considered that the process only reached the level of "Inform."

The IRM was unable to locate members of civil society who participated in any phase of the action plan.³²

¹ **Note on the investigation process:** The IRM researcher sent emails on 11 and 19 May, requesting a first meeting with the officials in charge of implementing the action plan. The researcher had a first virtual meeting with Mr. César Ipuján on 24 May 2022, which provided many of the perspectives included in the government testimony on the OGP process. On 26 May, the IRM researcher sent a reminder email about the agreements adopted at the 24 May meeting: (a) send a list of civil society contacts, (b) send documentary evidence on compliance. The IRM researcher sent two additional reminder emails about these commitments (on 31 May and 7 June) without receiving an answer. The IRM researcher called the Nariño government but received no response. The IRM team in Washington sent a communication to the Nariño contact point on 27 June 2022, reminding him of the importance of documenting the process, to which Mr. Carlos Mantilla responded. A new interview was then agreed on, 29 June. In that interview, an extension of the deadline until Wednesday, 6 July, was given, to gather more information. No information was received from the point of contact until 28 July, but this only consisted of information on compliance with milestones and documentary evidence, not the civil society contact list.

² On the efforts of the IRM researcher to document the results report, see footnote 1 of this report.

³ The action plan outlines "open data on the production and consumption of specialty coffees that allows informed decision-making." "Action Plan," 10.

⁴ Regarding the component of civic participation, it is unclear in the commitment text which decision-making process would have civic participation. It is understood that the "cafés con datos" are spaces for sharing information, but they can hardly be considered a decision-making platform with the citizenry. Therefore, this value has not been considered relevant, as understood by OGP.

⁵ The progress report acknowledged the existence of the Nariño Café website, but that website is no longer available (last modified 10 June 2022).

https://datos.narino.gov.co/sites/default/files/LE_TENGO_EL_DATO_No008.pdf (p. 8).

⁶ "If It Is Special, It Belongs to My Nariño," Café Mi Nariño, <https://cafe.narino.gov.co/sitio/>.

⁷ "2019–2021 OGP Local Action Plan Progress Report," page 1, <https://gana.xn--nario-rta.gov.co/participacion/ogplocal/documentos/category/28-informes>

⁸ Evidence was available on the following website which is no longer accessible.

<https://ganadatos.narino.gov.co/?q=story/%C2%BF-d%C3%B3nde-tomar-café%C3%A9-especial-de-nari%C3%B1o>; "GoberNar—Open Government of Nariño," Facebook, 1 April 2019, <https://www.facebook.com/GobiernoAbiertoNar/posts/2608468605835212/>.

⁹ "Coffee with Ipial Data Transparency," Gana/Open Government of Nariño, <https://gana.nariño.gov.co/participacion/ogplocal/documentos/category/23-cafe-con-datos-ipiales-transparencia>.

¹⁰ Arturo Obando Ibarra, "Coffee Frenzy Learnings," Gana/Open Government of Nariño, <https://gana.nariño.gov.co/blogs/1677-aprendizajes-frenesi-del-cafe>.

¹¹ Regarding the "coffee cluster" initiative, for one that works in the government of Nariño, together with the tourism and agricultural clusters, see: "In Defense of Ours!," Government of Nariño, 2022, <https://sitio.narino.gov.co/clusters/>.

¹² "#MiNariñoLab—Open Government and Social Innovation Laboratory works hand in hand with the businessmen and coffee growers of our department," see: "Government of Nariño," Facebook, 11 June 2021, https://m.facebook.com/story.php?story_fbid=pfbid0315T8drZUUPDbndVfzJUHDRVtVfUqE2Q8VRp19QqVXCyo2FDmQtXH2Jac7MCmouV3l&id=254672267943304; "GoberNar—Open Government of Nariño," Facebook, 10 June 2021, <https://www.facebook.com/1321425637872855/posts/pfbid0sHegssm75ZptBDJffqsW9UN1a74vCeEGC1n4JCqQ6ZY1iiKoY9FznGVCCXTqKtasl/>.

¹³ "Action Plan," 17

¹⁴ "2019–2021 OGP Local Action Plan Progress Report, pages 3–5, <https://gana.xn--nario-rta.gov.co/participacion/ogplocal/documentos/category/28-informes>

¹⁵ See: "The Government of Nariño through the Ministry of Environment and Sustainable Development in coordination with the Departmental Water Plan— PDA Nariño, the Quillasinga de Tangua Indigenous Council, the Regional Autonomous Corporation of Nariño – CORPONARIÑO, the Campo Limpio Corporation, and the Metropolitan Cleaning Company – EMAS successfully developed the collection of polluting waste for water sources in the Municipality of Tangua": <https://www.facebook.com/page/155111861563722/search?q=agua&filters=eyJycF9jcmVhdGlvbl90aW1lOjAiOiJ7XCJyYW1lXCi6XCJjcmVhdGlvbl90aW1lXCi5XCjhcmaXCI6XCj7XFcInN0YXJ0eXJlYXJlcXFiOlcXCIyMDE5XFcXciXcXFcw3RhcncRfW9udGhcXFcwIxcXCIyMDE5LTFCXFcwIjBmRfW>

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- ¹⁶ Video on social networks that shows the participation of the government of Nariño in the March for the Defense of the Environment. "#NotaDelDía Nariño Joined the World March in Defense of the Environment," Facebook, 20 September 2019, <https://www.facebook.com/GobNarino/videos/410829529574130/>.
- ¹⁷ Government of Nariño, "International Day of Community Water Management," Facebook, 27 November 2020, https://web.facebook.com/GobNarino/videos/178932770561514/?extid=CL-UNK-UNK-UNK-AN_GK0T-GK1C-GK2C&ref=sharing&rdc=1&rdr.
- ¹⁸ The researcher confirmed that the information was available at following link, which is no longer accessible (June 2022): <http://cambioclimatico.nodopacificosur.com>
- ¹⁹ The following link is the default webpage generated for gobernar.narino.gov.co by Plesk, which is no longer accessible (October 2022) <https://gobernar.narino.gov.co/>.
- ²⁰ "Action Plan," 22.
- ²¹ Arturo Obando Ibarra, "Alliance for Open Government in Action," Gana/Open Government of Nariño, <https://gana.nariño.gov.co/blogs/1678-narino-decide>.
- ²² <https://www.facebook.com/photo?fbid=149821769593829&set=pb.100036980198430.-2207520000.0>.
- ²³ On the IRM researcher efforts to document the results report, see footnote 1 of this report.
- ²⁴ "Alliance Nariño Decide," Facebook, <https://www.facebook.com/narino.decide.71>.
- ²⁵ On the IRM researcher efforts to document the results report, see footnote 1 of this report.
- ²⁶ "Action Plan," 4.
- ²⁷ Among them were Mr. Arturo Obando, Mr. Hernán Martínez, and Mrs. Angela Caicedo, representatives of civil society in the "first governmental technical table" for commitments' formulation. See: "OPEN GOVERNMENT LOCAL ACTION PLAN 2019–2020, Co-creation Process of the I [is this title correct?] Departmental Action Plan, Methodological Route."
- ²⁸ These two pieces of evidence are available at: "What Is a Multi-stakeholder Forum?," Gana/Open Government of Nariño, <https://gana.nariño.gov.co/participacion/ogplocal/foro-multiactor>.
- ²⁹ See "Writing Commitments for OGP," Gana/Open Government of Nariño, 8 August 2019, <https://gana.nariño.gov.co/participacion/ogplocal/documentos/category/27-compromisos>.
- ³⁰ César Ipuján, representative of the government of Nariño, interview with the IRM, 24 May 2022.
- ³¹ The following link is the default webpage generated for gobernar.narino.gov.co by Plesk, which is no longer accessible (October 2022) <https://gobernar.narino.gov.co/>
- ³² Mainly Mr. Arturo Obando and Mrs. Angela Caicedo, who took part in designing the action plan. There is no public email from either of them.

IRM ASSESSMENT OF PARIS' 2019–2021 ACTION PLAN

Findings

Two of Paris' three commitments were substantially completed, with one achieving major early results, reflecting improvement since the first action plan. Commitment 2, which was rated as having the strongest potential impact at the design phase, strengthened citizen participation in the city's climate response. Commitment 1 achieved marginal early results by supporting citizen participation in city services for people experiencing homelessness. However, Commitment 3 saw only limited completion, as most of its intended deliverables on open procurement were not implemented as planned.

The level of public engagement was stronger during the action plan's design phase than during its implementation. The government led the formulation of the action plan, but selected commitments that reflected citizens' priorities. These were developed through Paris' Citizen Council, a citizen participation mechanism that operates beyond the city's open government process.

1. Early results

Commitments 1 and 2 achieved the clearest early results. In parallel to the implementation period, the city government centralized the volunteer engagement programs targeted by these commitments, along with other programs, into an umbrella initiative called Volunteers for Paris.¹

Commitment 1: The Solidarity Factory

Did it open government? *Marginal*

Homelessness is currently on the rise in France.² To address this, the city of Paris has a long-standing network of services to assist people living in precarious circumstances³ and a track record of civic engagement on social exclusion.⁴

This commitment, led by the Social Action Center and built on the Solidarity Factory, an ongoing Parisian government initiative launched in 2018 to connect prospective volunteers with Parisian CSOs, connects CSOs with government and private sector resources. These resources include meeting space, transportation, and facilitation of collaboration with relevant government bodies. The Solidarity Factory also hosts cultural and training activities related to civic participation and shifting cultural norms on solidarity and social exclusion.⁵ This initiative is paired with an annual Solidarity Night, whereby about 2,000 volunteers walk the streets of Paris to conduct an informal census of people experiencing homelessness. Data collected during Solidarity Nights is used to analyze and map the sociodemographic profiles, life trajectories, and needs of this population, thus informing the provision of public services.⁶

This commitment aimed to continue mobilizing and training volunteers, establish a physical location for the Solidarity Factory, and engage people currently or formerly experiencing homelessness in the initiative. It resulted in the establishment of a Solidarity

Factory headquarters in the former townhall of Paris' second arrondissement in January 2021.⁷ During the implementation period, the Solidarity Factory continued to hold the annual Solidarity Night and hosted 45 trainings for citizens on assisting people living in precarious circumstances. However, the commitment did not engage people currently or formerly experiencing homelessness in the design of solidarity actions, as planned.

The commitment's impact was magnified by the city's response to the pandemic, and political decisions on volunteer management. CSOs played a central role in Paris' COVID-19 response, with a resulting increase in the number of volunteers across Paris. The Solidarity Factory became a central node for this volunteer engagement.⁸ Parallel to the implementation period, the city government created an umbrella initiative called Volunteers for Paris, which streamlined the Solidarity Factory and other volunteer engagement programs (such as the Climate Volunteers).⁹ The Volunteers for Paris¹⁰ initiative was key to centralizing information and coordinating civil society organizations, volunteers, and government representatives, reaching more than 12,500 Parisians between 2019 and 2021.¹¹

The implementation of the commitment marginally strengthened Parisian volunteers' engagement in addressing homelessness. The director of the Solidarity Factory reports that the establishment of the headquarters has facilitated new opportunities for exchanges between citizens and government representatives on issues related to solidarity, homelessness, and even COVID-19. It has provided a space for encounters, training courses, and provision of information on available volunteer opportunities for citizens, linking CSOs, the government, and citizens (e.g., information on the current missions of CSOs, dates and activities of solidarity actions taking place, etc.). The Solidarity Factory also informs public policy decisions through weekly reports submitted by its director to the City Council.¹² People experiencing homelessness use the headquarters to keep cool in the summer, read a book, or meet other people, and CSOs can request the use of rooms for meetings, activities, and events. Overall, the commitment has helped the Solidarity Factory strengthen its foundations and provided the public with information on related government activities.

Relevant civil society organizations did not reply to requests for comments.¹³

Commitment 2: Climate Volunteers

Did it open government? *Major*

In 2018, the city of Paris and 15,000 citizens co-created¹⁴ a new Climate Plan,¹⁵ establishing ambitious environmental goals for 2050, including eradication of emissions, full transition to renewable energies, and halving overall energy consumption.¹⁶ This commitment, led by the Direction of Green Spaces and the Environment Urban Ecology Agency, fostered citizen mobilization in deployment of the Climate Plan through Climate Volunteers. In 2018, this city of Paris volunteer initiative began facilitating youth participation in the energy transition.¹⁷ The commitment aimed to disseminate information on the Climate Plan and Climate Volunteers to the public, to engage citizens as volunteers and strengthen their role in the plan's governance and monitoring.

The commitment completed all of its intended milestones. It introduced communication support for the Climate Plan,¹⁸ a monthly climate newsletter,¹⁹ a climate volunteer

resource center, and an informational website.²⁰ The Paris of the Future event took place in May 2019.²¹ In addition, the commitment resulted in establishment of the Climate Academy for Climate Volunteers in September 2021,²² along with other participatory trainings.²³ For citizen engagement in governance and monitoring of the Climate Plan, the commitment continued meetings of the Climate Agora formed in 2018,²⁴ a consultative multi-stakeholder body made up of citizens; associations; and business representatives, and linked a digital citizens' council.²⁵

The Climate Academy introduced the Climate Volunteers' first formal training opportunities. The academy offers training for volunteers on climate issues and facilitates mobilization to combat climate change. Nearly 30,000 youth have participated in the academy to date.²⁶ Since its introduction, the Climate Academy has played an increasingly central role in youth engagement with Paris' climate response. It has begun to partner with schools throughout the city and now offers participatory opportunities to facilitate and attend workshops, roundtables, and trainings.

The commitment's impact was magnified by the city's approach to the pandemic, volunteer management, and participatory governance. CSOs played a central role in Paris' COVID-19 response, with a resulting increase in the number of volunteers across Paris, including in the Climate Volunteers.²⁷ Parallel to the implementation period, the city government created an umbrella initiative called Volunteers for Paris, which streamlined the Climate Volunteers and other volunteer engagement programs (such as the Solidarity Factory).²⁸ The Volunteers for Paris²⁹ initiative was key to centralizing information and coordinating civil society organizations, volunteers, and government representatives, reaching more than 12,500 Parisians between 2019 and 2021.³⁰ In terms of citizen engagement in climate governance, beyond the Climate Agora, citizens now have the opportunity to present climate proposals through city citizen participation mechanisms, such as the Citizens' Assembly³¹ and the participatory budgeting initiative,³² among others.

Relevant organizations did not reply to requests for comments.³³

2. Completion

Commitment	Completion:
1: The Solidarity Factory	<p>Verifiable: Yes</p> <p>Relevant to open government: Yes (access to information, civic participation)</p> <p>Potential impact: Minor</p> <p>Completion: Substantial</p> <p>See details in Section 1: Early Results</p>

2: Climate Volunteers	<p>Verifiable: Yes</p> <p>Relevant to open government: Yes (access to information, civic participation)</p> <p>Potential impact: Moderate</p> <p>Completion: Complete</p> <p>See details in Section 1: Early Results.</p>
3: For Open Public Procurement	<p>Verifiable: Yes</p> <p>Relevant to open government: Yes (access to information)</p> <p>Potential impact: Minor</p> <p>Completion: Limited</p> <p>Through this commitment, the Parisian government sought to partially adopt the OCDS³⁴ by making its procurement data available on the city open data portal.³⁵ Prior to the implementation period, the data was largely available through another platform,³⁶ but was not adherent to the open contracting data standard. The commitment largely centered on internal measures and did not directly attempt to improve citizen usage or oversight of the data.</p> <p>During the implementation period, a historical series of public procurement data dating back to 2013 (with annual updates) was republished using the OCDS.³⁷ However, the expanded data was not published as planned, nor was the anticipated data visualization tool launched. Furthermore, the commitment did not implement the intended internal government working groups, meant to redefine the data management strategy, assess demand, and reconfigure the data.</p> <p>Relevant government agencies and civil society organizations did not reply to requests for comment.³⁸</p>

3. Civil society and public engagement during implementation

Level of public influence during design: Consult

Level of public influence during implementation: Inform

Two of the commitments in the action plan were co-created through Paris' Citizen Council,³⁹ a forum for citizens to identify policy priorities. The council is one of several mechanisms institutionalized by Paris to foster public participation in policymaking beyond OGP.⁴⁰ The council developed a series of initiatives in 2018. Workshops and meetings were held with citizens and hyperlocal organizations to propose concrete actions for these initiatives. Afterward, the government assigned two of these initiatives, along with a third

initiative, to the OGP action plan in the form of commitments. The selection of these commitments for the OGP action plan was not a consultative process, although the commitments selected reflected long-time priorities for both government and citizens.⁴¹

Overall, the level of public influence decreased during the implementation phase. The government did not establish a specific forum or iterative public dialogue with stakeholders to follow up on commitment implementation. However, information on implementation was shared through several City Council websites, including *le PGO*.⁴² According to governmental sources and as mentioned above, citizen mobilization under the first two commitments' initiatives was strengthened as a result of the pandemic, with a rising number of engaged volunteers.⁴³

¹ Sabine Romon, former POC, interview with the IRM, 20 May 2022; "Devenez Volontaire de Paris" [Become a Paris Volunteer], 13 September 2022, <https://www.paris.fr/pages/volontaires-de-paris-engagez-vous-6922>.

² "Number of people without a home in France from 2017 to 2021," Statista, 10 January 2022, <https://www.statista.com/statistics/1085952/number-homeless-france/>.

³ "Personnes en situation de précarité" [People in Precarious Situations], Paris.fr, <https://www.paris.fr/personnes-en-situation-de-precarite>.

⁴ For example, in 2015, the Pact Against Extreme Exclusion was enacted through mobilization of several hundred civil society associations and private and public stakeholders. This pact featured over 100 commitments to establish a new landscape of social interventions aimed at vulnerable and disadvantaged groups. For more information, see *Pacte parisien de lutte contre la grande exclusion*, February 2015, <https://cdn.paris.fr/paris/2019/07/24/1760f38cfc3d88b17b5efff6ccda6c79.pdf>.

⁵ "La Fabrique de la Solidarité: agir avec les acteurs de la solidarité" [The Factory of Solidarity], Paris.fr, 9 November 2022, <https://www.paris.fr/pages/la-fabrique-de-la-solidarite-6389>.

⁶ "Nuit de la Solidarité 2022: le bilan détaillé," Paris.fr, 30 June 2022, <https://www.paris.fr/pages/nuit-de-la-solidarite-2022-19971>.

⁷ "Paris: la Fabrique de la solidarité s'installe dans la mairie du II^e" [Paris: The Factory of Solidarity Settles in the Town Hall of the 2nd Arrondissement], *Le Parisien*, 17 January 2021, <https://www.leparisien.fr/paris-75/paris-la-fabrique-de-la-solidarite-s-installe-dans-la-mairie-du-ii-17-01-2021-8419646.php>.

⁸ Soraya Ouferoukh, Director of the Solidarity Factory, interview with the IRM, 21 June 2022.

⁹ Romon, interview; "Devenez Volontaire de Paris," <https://www.paris.fr/pages/volontaires-de-paris-engagez-vous-6922>.

¹⁰ According to the POC, "Volunteers for Paris" is an umbrella initiative that was created in 2019 to streamline and unify different engagement programs promoted by the city, such as those embodied in these two commitments (Solidarity Volunteers, later renamed Solidarity Factory, and Climate Volunteers, among others). For more information, see "Devenez Volontaire de Paris," <https://www.paris.fr/pages/volontaires-de-paris-engagez-vous-6922>.

¹¹ Ouferoukh, interview.

¹² Ibid.

¹³ The IRM researcher contacted Secours Paris, Emmaus, Caritas at the end of May and beginning of June, but received no response.

¹⁴ "Volontaires du Climat: passez à l'action avec l'Agence Parisienne du Climat!" [Climate Volunteers: Take Action with the Parisian Climate Agency!], Agence Parisienne du Climat, 9 November 2019, <https://www.apc-paris.com/publication/volontaires-climat-passez-a-laction-avec-lagence-parisienne-climat?fbclid=IwAR1zvtAQVgtVMYXTbxITT3WMa6RQA8eeYycqCXjp3iySQJgKhCViUsYJ9SM>.

¹⁵ The first Plan Climat Air Energie: 500 mesures pour la Ville de Paris, Paris.fr., 28 July 2021, <https://www.paris.fr/pages/nouveau-plan-climat-500-mesures-pour-la-ville-de-paris-5252>.

¹⁶ *Paris Climate Action Plan: Towards a Carbon Neutral City, 100% Renewable Energies, Resilient, Fair and Inclusive*, City of Paris Green Parks and Environment Urban Ecology Agency, 2020, <https://cdn.paris.fr/paris/2020/11/23/257b26474ba3ba08ee02baa096f9c5dd.pdf>.

¹⁷ With an enrollment of about 15,000 participants, after taking part in the citizen vote on the Climate Plan, the Climate Volunteers initiative sets out three levels of engagement: one for those willing to undertake climate action in their daily life, another for citizens willing to raise awareness among their communities, and a third for action at the level of an association or company. For more information, see *Volontaires du Climat: à Paris*,

on agit!, <https://www.paris.fr/pages/volontaires-du-climat-a-paris-on-agit-1000-volontaires-reunis-a-l-hotel-de-ville-6142>.

¹⁸ *Plan Climat Air Energie*, <https://www.paris.fr/pages/nouveau-plan-climat-500-mesures-pour-la-ville-de-paris-5252>.

¹⁹ *Recevez la lettre du climat*, Paris.fr, https://f.infos.paris.fr/f/p?g=pJF8khJHNjYj0kiOhtqpVII6kM0D3NdhgVuegOd4xDwcN8TXnhZ4qrMLsJVxYokaXJN4IbA EEuhAJOV7 x6xx74Ygiva87UNvbZO YCLQpUIYPCf-KDGJrhDLjxgpgRK2 ZWpNxoosHrI4-21rsXuUdP0FH4SrqQgrx1nY2qaN27TesopPwG5qGmXd8vcFPkc1zRKldMBhiOuULYtdAn76y7pHW2IRuCA3HehOIJv7F_NqJfe0QaLJzK83cbi.

²⁰ "L'Académie du Climat" [What Is the Climate Academy?], Paris.fr., <https://www.academieduclimat.paris/>.

²¹ "Le Paris de l'Avenir: un week-end pour la transition écologique" [The Paris of the Future: A Weekend for Ecological Transition], Paris.fr., 26 May 2019, <https://www.paris.fr/pages/le-paris-de-l-avenir-les-inscriptions-sont-ouvertes-6739/>.

²² L'Académie du Climat, <https://www.academieduclimat.paris/>.

²³ Ibid.

²⁴ "Retour sur l'Agora du 25 mai lors de l'événement Paris de l'Avenir" [A Look Back at the Agora on May 25 during the Paris de l'Avenir Event], Paris Climate Action, 30 May 2019, <https://parisactionclimat.paris.fr/en/node/245>.

²⁵ "Une Assemblée citoyenne pour faire entendre votre voix" [A Citizens' Assembly to Make Your Voice Heard], 30 March 2022, Paris.fr., <https://www.paris.fr/pages/assemblee-citoyenne-20187>.

²⁶ "L'Académie du Climat, un lieu pédagogique et participatif pour les jeunes" [The Climate Academy, an Educational and Participatory Place for Young People], Paris.fr., 21 September 2021, <https://www.paris.fr/pages/l-academie-du-climat-un-lieu-pedagogique-et-participatif-pour-les-jeunes-17848>.

²⁷ Ouferoukh, interview.

²⁸ Romon, interview; "Devenez Volontaire de Paris," <https://www.paris.fr/pages/volontaires-de-paris-engagez-vous-6922>.

²⁹ According to the POC, "Volunteers for Paris" is an umbrella initiative created in 2019 to streamline and unify different engagement programs promoted by the city, such as those embodied in these two commitments (Solidarity Volunteers, later renamed as Solidarity Factory, and Climate Volunteers, among others). For more information, see "Devenez Volontaire de Paris," <https://www.paris.fr/pages/volontaires-de-paris-engagez-vous-6922>.

³⁰ Ouferoukh, interview.

³¹ *Une Assemblée citoyenne pour faire entendre votre voix*, <https://www.paris.fr/pages/assemblee-citoyenne-20187>.

³² "Follow the Progress of the Winning Projects!," Paris.fr., 1 November 2022, <https://budgetparticipatif.paris.fr/bp/jsp/site/Portal.jsp>.

³³ The IRM researcher contacted Low Carbon City, Respire, Pipkin Environment and Alternative at the beginning of May and mid-June but received no response.

³⁴ Open Contracting Partnership, 2022, <https://www.open-contracting.org/>.

³⁵ "Data," Paris.fr., <https://opendata.paris.fr/pages/home/>.

³⁶ Maximilien, Le Portal des Marchés Publics Franciliens, <https://marches.maximilien.fr/entreprise>.

³⁷ "Marchés publics - Liste des marchés de la collectivité parisienne" [Public Markets - List of Markets in the Paris Community], Paris.fr., 14 October 2022, https://opendata.paris.fr/explore/dataset/liste-des-marches-de-la-collectivite-parisienne/information/?disjunctive.nature_du_marche&disjunctive.fournisseur_nom&disjunctive.fournisseur_c ode_postal&disjunctive.fournisseur_ville&disjunctive.perimetre_financier&disjunctive.categorie_d_achat_de&disjunctive.categorie_d_achat_texte.

³⁸ IRM researcher emails (3 and 7 of June 2022) to M. Belkhodja and M. Jacobee received no reply. IRM also contacted civil society organizations, at the beginning and end of June, and only received a reply from Dataactivist, which did not end up on a meeting due to lack of response.

³⁹ "Toutes les instances représentatives de la Ville" [All the Representative Bodies of the City], Paris.fr., 12 May 2022, <https://www.paris.fr/pages/devenir-un-acteur-de-la-participation-3934>.

⁴⁰ In addition to the Citizen Council, Paris has institutionalized a number of mechanisms to foster public participation in policymaking, such as Paris Ideas and a participatory budgeting program, among others. For more, see: "The Digital Platform for the Paris of Tomorrow," Paris.fr., <https://idee.paris.fr/>; and *Toutes les instances représentatives de la Ville*, <https://www.paris.fr/pages/devenir-un-acteur-de-la-participation-3934>.

⁴¹ Romon, interview.

⁴² "What Is the Open Government Partnership (OGP)?" Paris.fr., 9 September 2022, <https://www.paris.fr/pages/le-partenariat-pour-un-gouvernement-ouvert-pgo-c-est-quoi-8055>.

⁴³ Romon and Ouferoukh, interviews.

IRM ASSESSMENT OF SÃO PAULO'S 2018–2021 ACTION PLAN

Findings

Overall, IRM found that the level of completion of São Paulo's second action plan is considerably higher than its first action plan in 2017, with Commitments 3, 4, and 5 fully completed and Commitments 1 and 2 substantially completed. The level of public influence also improved during implementation as compared to the design phase, in part thanks to the introduction of multi-stakeholder working groups to oversee the implementation of each commitment. A key challenge remaining is the capacity of citizens to make use of open government tools provided through the action plan.

1. Early results

Commitments 1, 4, and 5 showed the strongest early results. Although Commitment 2 was substantially completed and Commitment 3 fully completed, they did not achieve strong results. Changes to Commitment 2 during its first month of implementation limited its overall ambition. For Commitment 3, the low level of uptake of the transparency tools it provided affected its impact, despite the fact that it went beyond its original scope.

Commitment 1: Budget Transparency and Participation

Did it open government?: *Marginal*

This commitment resulted in a qualitative improvement in the participation process in the city of São Paulo, thanks largely to the Municipal Finance Secretariat's adoption of a new participatory budgeting mechanism through the city government's public participation platform [Participe+](#) (see Commitment 3). Previously, citizens' budget proposals were paper based and there was no follow-up mechanism to monitor government decision-making. Participate+ facilitates follow-up by registering information about the proposals submitted, the number of votes received, and the proposals accepted, via a publicly accessible platform. In addition, to support greater budget transparency, the Municipal Finance Secretariat published a guide to budgeting for the general public,¹ while other government departments conducted training for councilors on themes related to budget planning in partnership with private agencies.² The commitment was almost completed, except for milestone 1.2, which aimed to carry out and publicize a survey of projects and initiatives on budgeting participation existing in the City Hall. While a selection of projects was presented and discussed within the Intersecretarial Working Group³, IRM did not find evidence of a public survey of projects.

While some civil society⁴ representatives considered the participation platform a positive addition to the city,⁵ others pointed to the need for improvements to the quality of feedback⁶ and monitoring of the execution of approved proposals.⁷

Commitment 4: Monitoring Educational Resources

Did it open government?: *Marginal*

The core of this commitment was the development of a digital tool to track and monitor the resources and expenditures of Regional Departments of Education and Educational Units, to enable participatory decision-making on resource allocation. The Municipal Education Secretariat launched the platform⁸ on October 23, 2020.⁹ The creation of an online platform with regionally disaggregated education data is an important step in providing more detailed information (such as the number of students and teachers, and grades on national standardized exams) on how public money for education is spent in the city. It can aid researchers and practitioners in building their own indicators. It can also provide technical insights for other departments (health, housing, etc.) considering implementing similar platforms. For the tool to be more useful to the community, it should be updated more frequently (monthly, or at least quarterly) so civil society can monitor allocations in a timely manner. Currently, data is only available for 2018 and 2019. Due to the COVID-19 pandemic, many of the activities to promote the tool among students, initially planned to be held in-person, had to be conducted remotely. This decreased the level of participation of the target audience.¹⁰

Commitment 5: Open Contracting

Did it open government?: *Major*

The city of São Paulo's secretariat of management made several technical improvements to the information the city makes available on contracts, bids, and budgetary execution, to enable standardization and regional disaggregation of budget and procurement data.¹¹ Civil society has long been asking for this kind of disaggregated data on the City Hall budget, as it is essential to improve the effectiveness of public policies and the fight against socio-spatial inequalities within the city. Changes did not come into effect until early 2021, so impacts on data quality were unknown at the time this report was drafted. However, according to one member of civil society,¹² debates about the importance of regionalization of budget data moved forward within the public administration as a result of the commitment.

A further important outcome of this commitment was the interlinking between the São Paulo City Hall and the Office of the Comptroller General (federal government) databases in 2019.¹³ The City Hall has also adopted spatial criteria for new investments in the city, to allocate a small portion of the budget according to socioeconomic indicators.¹⁴ As a result, a small increase in funds to underprivileged districts, compared to more affluent districts, is expected. Although this policy is not a direct consequence of the action plan, this commitment has contributed to deepening understanding of the subject and paved the way for advances in this policy area.¹⁵

2. Completion

Commitment	Completion

1: Budget Transparency and Participation	<p>Verifiable: Yes</p> <p>Relevant to open government: Yes (access to information, civic participation)</p> <p>Potential impact: Minor</p> <p>Completion: Substantial</p> <p>See details in Section 1: Early Results</p>
2: Decentralization and Local Development	<p>Verifiable: Yes</p> <p>Relevant to open government: Yes (access to information, civic participation)</p> <p>Potential impact: Minor</p> <p>Completion: Substantial</p> <p>São Paulo City Hall developed and published Regional Action Plans for each of São Paulo's 32 subdistricts in November 2020, based on citizen proposals collected through public hearings and online feedback.¹⁶ São Paulo City Hall also published a spreadsheet showing the status of progress on the actions, although this has not been updated since 2020, when Regional Action Plan implementation was initially due to end.¹⁷ At the beginning of the implementation phase, the MSF discussed and agreed to change one of the milestones—the development of neighborhood plans—to focus instead on more feasible objectives, such as the publication of a methodological guide for the development of the plans. This change indicated that the commitment had lost momentum.</p> <p>The City Hall met several challenges in the process, particularly with maintaining consistency among sub-prefectures and their action plans. These action plans have contributed significantly to institutional learning that will feed into the next cycle of constructing regional action plans.</p>
3: Streamlining Transparency and Participation Portals	<p>Verifiable: Yes</p> <p>Relevant to open government: Yes (access to information)</p> <p>Potential impact: Minor</p> <p>Completion: Complete</p> <p>All five milestones in this commitment were completed, most notably: (i) improvements to São Paulo City Hall's Transparency Portal¹⁸ to make it more user-friendly and better integrated; and (ii) the launch of Participe+, the city's new platform for online consultation and social participation based</p>

	on the city of Madrid's CONSUL tool. The latter was beyond the ambition of the original milestone, which only committed to exploring the feasibility of such a platform. However, one challenge remaining is the low level of usage of the available data and tools by the public. ¹⁹ Some actions suggested by stakeholders to increase usage include: ²⁰ (i) mapping demands for open data; (ii) carrying out collaborative activities such as hackathons; (iii) holding thematic workshops for specialists, councilors, and civil society representatives to present data and new tools.
4: Monitoring Educational Resources	Verifiable: Yes Relevant to open government: Yes (access to information, civic participation) Potential impact: Moderate Completion: Complete See details in Section 1: Early Results
5: Open Contracting	Verifiable: Yes Relevant to open government: Yes (access to information) Potential impact: Moderate Completion: Complete See details in Section 1: Early Results

3. Civil society and public engagement during implementation

Level of public influence during design: Involve (The government gave feedback on how public inputs were considered.)

Level of public influence during implementation: Collaborate (There was iterative dialogue and the public helped set the agenda.)

The level of public influence on São Paulo's second action plan increased during implementation. To facilitate implementation, the MSF created five working groups, one for each commitment. The working groups were formed by municipal agencies (Secretariats) involved in each commitment, and CSOs were represented in the MSF, based on their interest and/or thematic expertise on the commitment. The working groups met in person every month to monitor progress on the milestones. Unlike the ordinary meetings of the MSF, which were open to the public, the working groups meetings were closed unless there was an express invitation made to external entities.

In addition, the MSF organized a number of open sessions during action plan implementation, including three meetings to take stock of the implementation of the commitments (two were held online due to the pandemic);²¹ five open meetings to

disseminate the plan in five different regions of the city, gathering a total of 113 people;²² and one thematic webinar on decentralization of the budget that included presentations from CSOs.²³

The municipal government secretary and Supervision for Open Government Affairs (SAGA) also developed a methodology for monitoring the implementation of the second action plan, approved by the MSF. Each municipal secretariat that coordinated the implementation of a commitment was responsible for sending the following documents to SAGA on a monthly basis: a monthly commitment monitoring sheet; minutes of the monthly meetings; attendance lists of the monthly meetings; and proof of delivery documents for each milestone. These were published on the official City Hall Electronic Information System.²⁴ Some of the documents can also be found on City Hall's dedicated open government website.²⁵

According to two civil society representatives, there were numerous examples of meaningful exchanges between civil society and government and positive examples of effective co-creation.²⁶ Specific examples include: an open meeting to gather contributions from civil society on reforms to the Transparency Portal (Commitment 3); civil society contributions to advance the issue of budget disaggregation at City Hall (Commitment 5); and discussions with civil society on reforms to the budget participation mechanism and Participate+ platform (Commitments 1 and 3). Nevertheless, there is recognition by both civil society and the City Hall that there is still room for improvement in terms of communication and dissemination of the action plan.²⁷

¹ "Orçamento Cidadão na Cidade de São Paulo," Governo Aberto da Cidade de São Paulo, 2020, https://www.prefeitura.sp.gov.br/cidade/upload/oramento_cidado_na_cidade_de_so_paulo_loa_2020_v1_1586467281.pdf.

² "Unified Election Process for Members of Tutelary Councils," Cidade de São Paulo, 2 December 2019, https://sei.prefeitura.sp.gov.br/sei/documento_consulta_externa.php?id_acesso_externo=247866&id_documento=26182103&infra_hash=51f78d6ef857d2c6fe2feecd39a468f8.

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⁴ Fernanda Campagnucci, executive director of Open Knowledge Brazil, interview with the IRM, 27 September 2021; Gisele Craveiro, coordinator of the Development and Participation Co-laboratory Research Group at University of São Paulo, interview with the IRM, 23 September 2021.

⁵ There are many public transparency online platforms from São Paulo local government, such as Prato Aberto, Pátio Digital, Observa Sampa. There are also civil society initiatives such as [Cuidando do meu Bairro](https://cuidando.do.meu.bairro). More information is available at the project's website: <https://cuidando.vc/>.

⁶ Mayara Torres, participative councillor (Cidade Ademar), interview with the IRM, 28 September 2021.

⁷ Maria Angélica Oliveira, representative of Projetos Integrados de Desenvolvimento Sustentável (PIDS) and former member of the MSF (2018–2020), interview with the IRM, 20 September 2021.

⁸ "Regionalização," Cidade de São Paulo Educação, <https://livroaberto.sme.prefeitura.sp.gov.br/regionalizacao/saiba-mais>.

⁹ "2ª Reunião do 3º Fórum de Gestão Compartilhada," Governo Aberto da Cidade de São Paulo, 19 February 2021, <https://youtu.be/JdD0dJS96-E>.

¹⁰ Patrícia Marques and Maria Camila Florencio, supervisor and policy analyst at SAGA/City Hall, interview with the IRM, 23 September 2021.

¹¹ "Aprimoramento na regionalização do orçamento público municipal," 17 July 2020, https://sei.prefeitura.sp.gov.br/sei/documento_consulta_externa.php?id_acesso_externo=327636&id_documento=43738155&infra_hash=3d2db0365a6eed8dd84f7b434ab70e1a.

¹² Pedro Marin, public budget and planning coordinator at Fundação Tide Setubal and MSF member (2018–2020), interview with the IRM, 5 October 2021.

¹³ "Aprimoramento na regionalização do orçamento público municipal," https://sei.prefeitura.sp.gov.br/sei/documento_consulta_externa.php?id_acesso_externo=327636&id_documento=27818166&infra_hash=8e9eb0695ae612d127b2c1120434dee4.

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¹⁶ "Subprefecture Action Plans," Cidade de São Paulo, <https://gestaourbana.prefeitura.sp.gov.br/planos-de-acao-das-subprefeituras/>.

¹⁷ "Spreadsheet Information," regarding Subprefecture Action Plans, Cidade de São Paulo, <https://gestaourbana.prefeitura.sp.gov.br/wp-content/uploads/2020/11/Plano-de-Acao-das-Subprefeituras-2020-Status-das-Acoes-Planejadas.xlsx>.

¹⁸ "Portal da Transparência," Portal da Transparência, <http://transparencia.prefeitura.sp.gov.br/>.

¹⁹ Fernanda Campagnucci, Gisele Craveiro, and Marcus Bonfim, representatives of Ferro-Electric Capacitor (FECAP), interview with the IRM, 21 September 2021.

²⁰ Ibid.

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²² São Paulo Self-Assessment Report for Second Open Government Action Plan, 2018–2020, (draft).

²³ "Webinar Regionalizar para quê?," 17 July 2020, <https://www.youtube.com/watch?v=x9oRVskt04s&t=2896s>.

²⁴ "Portal de Processos," Cidade de São Paulo, <http://processos.prefeitura.sp.gov.br/Forms/Principal.aspx>.

²⁵ "Open Government Coordination," Cidade de São Paulo, https://www.prefeitura.sp.gov.br/cidade/secretarias/governo/governo_aberto_na_cidade_de_sao_paulo/index.php?p=260987.

²⁶ Marin and Bonfim, interviews.

²⁷ "2ª Reunião do 3º Fórum de Gestão Compartilhada," Governo Aberto da Cidade de São Paulo, 19 February 2021, <https://www.youtube.com/watch?v=JdD0dJS96-E&t=4030s>.

IRM ASSESSMENT OF SCOTLAND'S 2018–2021 ACTION PLAN

Findings

Despite the challenges of the COVID-19 crisis, Scotland's second action plan achieved a higher completion rate than its first action plan in 2017, with two of the five commitments fully completed and two substantially completed. However, the level of co-creation and public engagement deteriorated during implementation as compared to the action plan design phase, which is a cause for concern. The two commitments considered notable at the design phase were also the ones that produced the strongest early results. The remaining three commitments produced little in terms of concrete results.

1. Early results

Commitments 1 and 2 showed the clearest and most significant early results. Although Commitment 5, enhancing transparency related to the impacts of Brexit, was fully completed, its impact was limited by unclear objectives and the fact that many of activities were either preexisting or took place independently of the OGP process. Commitment 3 meanwhile was limited in scope (reviewed by IRM with minor potential impact at the design phase). Although, it did lead to the publication of high-profile open datasets. Commitment 4, improving the accountability of public services, was only partially completed.

Commitment 1: Providing Financial and Performance Transparency

Did it open government? *Major*

Commitment 1 achieved significant early results, despite the challenges of COVID-19. All of the commitment milestones were completed. The Scottish National Investment Bank (SNIB) Act was enacted in 2020, with specific provisions on external accountability and ethical investment (albeit limited in detail).¹ While the makeup of the newly formed SNIB citizen advisory group remains ill-defined, and the extent of public participation in the development of the bank's ethical statement was limited to remote input gathering, due to the pandemic, there was broad stakeholder engagement on the setup of the SNIB, more generally,² including through an event run by the Ethical Finance Hub in October 2018.³

Other milestones completed under this commitment include the publication of a Young People's Understanding of Public Finances Report with Young Scot⁴ and a Spending Review Framework, as part of the Scottish Government's Medium Term Financial Strategy;⁵ improved linking and cross-referencing of existing performance reporting under the Scottish Government's annual consolidated accounts for 2018/2019,⁶ and the publication of a Wellbeing Scotland Review on progress against National Performance Framework outcomes.⁷ And, for the first time, the Scottish Government's procurement team published 5* linked open data⁸ on the Scottish Government's aggregate spend for the top 50 suppliers,⁹ as well as documents for a number of Category A contracts.¹⁰ The

government's progressively stronger and more explicit linking of spending decisions and outcomes is likely to become embedded in government practice in the future, with the new parliamentary budget process and pre-budget scrutiny debates focusing increasingly on outcomes.¹¹

The government also reported progress on four additional milestones related to tax and infrastructure that were not included in the original plan. The addition of these milestones was discussed with and agreed on by the Steering Committee (multi-stakeholder forum).¹² Of the four additional milestones, one—the development of a tax communications and engagement strategy—was reportedly “incomplete due to COVID redeployment.”¹³ This does not affect the overall completion rating for the commitment, however, as this milestone was not in the original plan.

While the commitment was initially limited in its ambition, it became more strategic during the course of implementation. The introduction of additional work focusing on how money is raised through taxation is one example of this.¹⁴ Furthermore, in the final months of the implementation period, the government commissioned a “discovery project” in the design requirements for an online budget portal, with a view to deepening the ambition of this commitment in the next action plan cycle.¹⁵

Commitment 2: Providing a Framework to Support Participation in Policy and Services

Did it open government? *Marginal*

Commitment 2 has succeeded in delivering some minor positive changes, despite some actions being slow to deliver, largely because of reprioritization.¹⁶ The first iteration of the Participation Framework—the centerpiece of this commitment—which aims to guide good practice in citizen engagement across government, is now complete. However, the development of the framework did not draw on the planned diversity of voices from civil society to ensure it meets a broad range of needs.¹⁷ This may ultimately limit its usefulness and impact. Furthermore, the development of a policy on accessibility for citizen participation as part of the Participation Framework did not take place.

One of the reasons for the delays to the Participation Framework was the reprioritization of resources toward the delivery of Scotland's first citizen assembly on the future of Scotland's constitution.¹⁸ The use of citizen assemblies as a means of embedding direct democracy is likely to become more widespread with Scotland's climate assembly adopting many of the same deliberative methods.¹⁹

In addition to the reprioritization of citizen assemblies, there was some repurposing of other milestones to support continued participation during the COVID-19 crisis, which may have important implications for how things are done in future. A new virtual COVID Public Engagement and Participation team was brought together, with members from the government's Open Government and Digital Engagement teams, to provide direction to public engagement carried out through COVID-19 recovery and renewal.²⁰ According to the government, this experience will feed into Scotland's next OGP action plan and inform further refinement and roll out of the Participation Framework.²¹

The work being done on open policy making regarding online identity assurance also saw substantial progress, with the development of a prototype and business case for the Digital Identity Scotland program.²² The work on testing citizen participation enabled by technology produced little in terms of concrete outputs, although the government's online microsite for monitoring the implementation of OGP commitments is a welcome addition.²³

2. Completion

Commitment	Completion
1: Providing Financial and Performance Transparency	<p>Verifiable: Yes</p> <p>Relevant to open government: Yes (access to information, civic participation)</p> <p>Potential impact: Moderate</p> <p>Completion: Complete</p> <p>See details in Section 1: Early Results</p>
2: Providing a Framework to Support Participation in Policy & Services	<p>Verifiable: Yes</p> <p>Relevant to open government: Yes (access to information, civic participation)</p> <p>Potential impact: Transformative</p> <p>Completion: Substantial</p> <p>See details in Section 1: Early Results</p>
3: Improving How Information and Data Is Shared	<p>Verifiable: Yes</p> <p>Relevant to open government: Yes (access to information, civic participation)</p> <p>Potential impact: Minor</p> <p>Completion: Substantial</p> <p>The objective of this commitment was to increase the amount of Scotland's official statistics published as open data and make this data easier to find, understand, and reuse. A number of milestones were completed before the COVID-19 pandemic, such as publishing datasets underpinning the National Performance Framework on statistics.gov.scot²⁴ and delivering a data literacy workshop.²⁵ For other milestones, the focus of the commitment switched to addressing the rapid increase in demand for easily accessible data on the pandemic. This included the Data and Intelligence Network's work exploring the ethics, risks, and benefits of sharing COVID-19-related data through the creation of an Ethics Framework and publishing, first daily and later weekly, COVID-19 datasets on</p>

	<p>statistics.gov.scot.²⁶ The government did not develop publicly available local area profiles as planned, due to lack of capacity.</p>
<p>4. Improving the Accountability of Public Services—the Citizens’ Journey</p>	<p>Verifiable: Yes</p> <p>Relevant to open government: Yes (access to information, civic participation, public accountability)</p> <p>Potential impact: Moderate</p> <p>Completion: Limited</p> <p>Much of the initial/preparatory mapping work to better understand the ecosystem of public service complaints and accountability processes under part 1 of this commitment was completed.²⁷ Under the guidance of the Scottish Information Commission, the working group for this commitment led the development of proposals for monitoring and reporting on Scotland’s upcoming (third) action plan, including the use of citizens’ evaluation techniques. However, the ultimate outcome of this work was the publication of a public services accountability information and signposting booklet by Citizens Advice Scotland,²⁸ which falls short in terms of the commitment’s stated ambition to improve the citizens’ understanding of and access to accountability mechanisms. Moreover, the centerpiece of the commitment—the establishment of Consumer Scotland, a new consumer advocacy and advice body—was delayed due to COVID-19. Although the Consumer Act came into force in 2020,²⁹ the delivery mechanisms for Consumer Scotland were not operational by the end of the Action Plan implementation period. Moreover, some of the milestones that the government reported on were different from those presented in the initial plan. This is partly a reflection of the fact that concrete activities were only defined as implementation progressed.</p>
<p>5. Brexit Transparency and Participation in Scotland</p>	<p>Verifiable: Yes</p> <p>Relevant to open government: Yes (access to information, civic participation)</p> <p>Potential impact: Minor</p> <p>Completion: Complete</p> <p>The objective of this commitment was to proactively publish information and gather citizen’s views on the impacts of Brexit in Scotland. All the commitment milestones were completed, although with some slight modifications to what was initially planned. For example, the government did not hold three roundtables as expected, but other, arguably more impactful, engagement events were delivered through a dedicated Brexit Stakeholder Engagement Fund set up in May 2018.³⁰ It is worth noting that some of the</p>

	activities began before the action plan implementation period began. For example, the charity My Life My Say held a number of Brexit Cafes prior to the action plan implementation timeframe, ³¹ and these continued as the plan was rolled out.
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3. Civil society and public engagement during implementation

Level of public influence during design: Involve (The government gave feedback on how public inputs were considered.)

Level of public influence during implementation: Consult (The public could give inputs.)

The level of public influence and co-creation deteriorated during implementation of the action plan, despite the introduction of more formal mechanisms for collaboration and clearer communication on commitment progress. Among other things, this may be ascribed to the COVID-19 pandemic, the challenges of maintaining civil society involvement with limited institutional and financial support, and uneven political support for OGP from higher levels of government.

The Steering Group (multi-stakeholder forum) established technical working groups, comprising government commitment teams; civil society members of the Steering Group; and other stakeholders, to guide implementation for some of the commitments. Ultimately, with the exception of Commitment 1, the working groups were largely unsuccessful, “either because there weren’t the systems in place to support them or the conversations and relationships within the working groups were fragile.”³² The implementation of Commitments 3 and 4, in particular, suffered from significant internal disagreements within the working groups, with the civil society lead for Commitment 3 stepping down due to frustration with the lack of progress on the government’s approach to open data.³³ However, stakeholders acknowledged that achieving meaningful co-creation is a learning process that requires time and patience.³⁴ Commitment 5, meanwhile, was carried out without the guidance of a working group and was largely disconnected from the broader OGP process.

In addition to the Steering Group, the OGP process in Scotland is supported by an Open Government Network of civil society and citizens. However, the civil society network became disconnected from the OGP process and was barely active during the second action plan period.³⁵

One important addition to the action plan implementation process, as compared to Scotland’s first action plan, was the introduction of a [commitment tracker](#) that was regularly updated throughout implementation. In addition, the government shared regular updates through its open government blog and Twitter account ([scotgovopen](#)), as did the Open Government Network, to a lesser extent, through its Twitter account ([opengovscot](#)) and [Network Forum](#).³⁶

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- ² Doreen Grove and Madeleine Fleming, Scottish Government, interview with the IRM, 21 September 2021.
- ³ "EFH Convenes Stakeholders to Discuss Scottish National Investment Bank Plans," blog, Ethical Finance Hub, 9 October 2020, <https://www.ethicalfinancehub.org/2018/10/09/efh-convenes-stakeholders-to-discuss-scottish-national-investment-bank-plans/>.
- ⁴ "Young People from Stirling and the Borders Offer Their Insight into Public Finances," Young Scot, 19 September 2019, <https://youngscot.net/ysobservatory/public-finances>.
- ⁵ <https://www.gov.scot/publications/scotlands-fiscal-outlook-scottish-governments-medium-term-financial-strategy-2019/pages/7/>
- ⁶ "Scottish Government's Medium Term Financial Strategy: May 2019," Scottish Government, 30 May 2019, <https://www.gov.scot/publications/scottish-government-consolidated-accounts-2019-2020/>.
- ⁷ "Scotland's Wellbeing: Delivering the National Outcomes," 30 May 2019, Scottish Government, <https://nationalperformance.gov.scot/scotlands-wellbeing-delivering-national-outcomes>.
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- ⁹ "Scottish Government Spend with Top 50 Suppliers," Scottish Government, <https://statistics.gov.scot/data/scottish-government-spend-with-top-50-suppliers>; "Open Government Action Plan Commitment 3: Improving How We Share Information," Scottish Government, 11 March 2021, <https://www.gov.scot/publications/open-government-action-plan-commitment-3/pages/final-progress-report/>.
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- ¹² Grove and Fleming, interview; Lucy McTernan, civil society member of the MSF, interview with the IRM, 23 September 2021.
- ¹³ "Open Government Partnership Steering Group Meeting Minutes: February 2021," Scottish Government, 13 August 2021, <https://www.gov.scot/publications/open-government-partnership-steering-group-meeting-minutes-february-2021/>.
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- ¹⁵ McTernan, interview.
- ¹⁶ "Open Government Partnership Steering Group Meeting Minutes: February 2021," <https://www.gov.scot/publications/open-government-partnership-steering-group-meeting-minutes-february-2021/>.
- ¹⁷ "Open Government in Scotland Action Plan 2018-20 Self Reporting update on progress," Open Government Partnership, September 2019, <https://blogs.gov.scot/open-government-partnership/wp-content/uploads/sites/43/2019/10/OGP-Action-Plan-2018-2020-Mid-Plan-Update.pdf>.
- ¹⁸ Grove and Fleming, interview.
- ¹⁹ "Scotland's Climate Assembly," National Records of Scotland, 21 March 2022, <https://www.climateassembly.scot/>.
- ²⁰ "Coronavirus (COVID-19) Public Engagement Expert Advisory Group: 20 November 2020," Scottish Government, 7 December 2020, <https://webarchive.nrsotland.gov.uk/20210828010559/https://www.gov.scot/publications/coronavirus-covid-19-public-engagement-expert-advisory-group-20-november-2020/>.
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- ²² "Digital Identity Programme: Opportunity to Join Our Online Stakeholder Event," Scottish Government, 19 March 2021, <https://blogs.gov.scot/digital/2021/03/19/digital-identity-programme-opportunity-to-join-our-online-stakeholder-event/>.
- ²³ <https://www.gov.scot/collections/open-government-action-plan-2018-2020/#commitmentprogressreports>.

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- ²⁴ "National Performance Framework," Scottish Government, <https://statistics.gov.scot/resource?uri=http%3A%2F%2Fstatistics.gov.scot%2Fdata%2Fnational-performance-framework>.
- ²⁵ Niamh Webster, "Roundtable on Open Data and Data Literacy," Scottish Government, 19 June 2019, <https://blogs.gov.scot/open-government-partnership/2019/06/19/roundtable-on-open-data-and-data-literacy/>.
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- ³¹ Ibid.
- ³² McTernan, interview.
- ³³ Alex Stobart, civil society member of the MSF, interview with the IRM, 20 September 2021.
- ³⁴ Email correspondence, "OGP - Reflections/Learning - Commitment 4 – Leads (informal)," 26 November 2020.
- ³⁵ Grove and Fleming, interview.
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IRM ASSESSMENT OF SEKONDI-TAKORADI'S 2018–2021 ACTION PLAN

Findings

Sekondi-Takoradi's second action plan was completed to a limited extent, with only one of the five commitments substantially completed. Launching the STMA360 web platform was an important step in opening data on public infrastructure and construction permits, although more data needs to be uploaded and citizen awareness of the platform raised. The level of public influence during implementation of the action plan declined compared with the design phase.

1. Early results

Commitment 3 was the only one to have produced evidence of early results, albeit tempered by the limited data published to date on the STMA360 web platform. The other commitments were completed to a limited extent.

Commitment 3: Permitting and Enforcement of Land Use and Spatial Plans

Did it open government? *Marginal*

Until recently, residents of Sekondi-Takoradi who applied for permits for private development faced excessive delays. This created the incentive for applicants to resort to bribery to fast-track their application or commence construction without the required permits.¹

To help address this problem, the Sekondi-Takoradi Metropolitan Assembly (STMA) developed STMA360.org, a web-based platform where users can track the progress of permit applications and provide feedback to authorities on infrastructure projects (see also Commitment 1).² While the platform is operational, land development revenue data has not yet been integrated into the platform. A working team, comprising several government departments, has been set up to oversee the management of the platform; no CSOs were included. The STMA has also trained 40 planning and building inspectors and revenue collectors to use and update the platform.³ Nevertheless, the public is still largely unaware of the platform, and STMA officials still receive complaints about lack of information about the status of permit applications.⁴

In addition to the platform, in June 2019, the STMA purchased a drone for routine monitoring of permitted infrastructure projects and to follow up on reports of illegal infrastructure development.⁵ Images captured by the drone have been used to revise the assembly's planning schemes and help detect illegal buildings, which have since been put on hold.⁶

Under this commitment, the STMA also went into partnership with the Lands Commission to help relay information about land ownership by potential applicants, thereby fast-

tracking the permit acquisition process. According to the STMA, applicants can now receive their permits within four to six weeks, instead of the usual eight weeks.⁷

By enhancing the capacity of building and revenue inspectors and introducing drones in project surveillance, the assembly can now undertake effective inspection of public infrastructural projects. In addition, the development of the STMA360 website has opened access to information on the permitting process to the public. While the platform is still limited in terms of the data it hosts, it is an important first step in increasing awareness of the acquisition of building permits.⁸

2. Completion

Commitment	Completion
1: Transparency & Accountability in Public Infrastructure	<p>Verifiable: Yes</p> <p>Relevant to open government: Yes (access to information, civic participation)</p> <p>Potential impact: Transformative</p> <p>Completion: Limited</p> <p>The STMA applied for CoST (Infrastructure Transparency Initiative) membership in 2018 as part of its efforts to implement the milestones under this commitment. STMA's membership in CoST was announced in March 2019, during the Open Government Week.⁹ Together with STMA's civil society partners, including Friends of the Nation and the Public Procurement Authority, and support from CoST, the assembly developed and launched a web-based, geo-spatial platform for sharing information on public infrastructure projects (STMA360) on October 1, 2020.¹⁰ CoST Sekondi-Takoradi also trained two communities, Diabene and Kojokrom,¹¹ and a further 48 stakeholders¹² on the use of project and contract data, including the latest CoST Assurance Report. Furthermore, in July 2021, CoST Sekondi-Takoradi ran a workshop to raise awareness among members of the MSF about the legal framework for citizen participation in local governance and disclosure.¹³ The assembly and the MSF did not develop a simplified procurement manual as planned.¹⁴ Neither did the government institute a Media Award for outstanding work in reporting important issues on public infrastructure projects, due to a lack of resources.¹⁵</p>

2: Civic Participation & Fiscal Transparency	<p>Verifiable: Yes</p> <p>Relevant to open government: Yes (access to information, civic participation)</p> <p>Potential impact: Moderate</p> <p>Completion: Limited</p> <p>The STMA worked with the CSO Friends of the Nation to inform 35 community leaders and community champions (fewer than the 250 people originally planned) on how to engage in key planning and budgeting processes.¹⁶ With external support from The Engine Room (an international nonprofit that supports organizations to better manage data and technology¹⁷), the government mounted simplified versions of the budget and fee-fixing documents¹⁸ and disseminated simplified pictographic information on projects, contractors, cost, funding sources, and construction timelines on billboards around Sekondi-Takoradi.¹⁹ According to the STMA point of contact(POC), this information was shared on the government website and on various social media handles; he did not supply links to these websites.²⁰ The assembly did not work with the trained community champions to develop participatory community action plans, as planned, nor did it develop operating procedures and guidelines or test use cases for financial data sharing.²¹ The STMA did not introduce an award scheme to recognize and award deserving assembly members, citizens, and institutions for dedication and volunteerism.²²</p>
3: Permitting & Enforcement of Land Use and Spatial Plans	<p>Verifiable: Yes</p> <p>Relevant to open government: Yes (access to information)</p> <p>Potential impact: Moderate</p> <p>Completion: Substantial</p> <p>See details in Section 1: Early Results</p>
4: Access to Information—Communication & Feedback	<p>Verifiable: Yes</p> <p>Relevant to open government: Yes (access to information)</p> <p>Potential impact: Minor</p> <p>Completion: Limited</p> <p>According to civil society and STMA representatives, training to enhance the capacity of client service operators was carried out in 2019, although they did not provide any concrete evidence to support this. Various communication media such as email, the STMA website, and social media accounts are active.²³ However,</p>

	<p>tollfree lines are still out of service due to financial constraints.²⁴ The STMA did not carry out the planned work to identify the information needs of citizens or take stock of the performance and satisfaction levels of citizens on public services, due to lack of resources.²⁵ It also did not reactivate the Smartsol2 database to provide information on municipal services and revenue and expenditure information, due to nonresponse from the software developer. A simpler, less advanced system was suggested as an alternative, but action has not yet been taken on this.²⁶ The government did, however, mount physical billboards across the metropolis to display relevant financial information (see also Commitment 2).²⁷</p>
5: Public Services—Sanitation	<p>Verifiable: Yes</p> <p>Relevant to open government: Yes (access to information, civic participation)</p> <p>Potential impact: Minor</p> <p>Completion: Limited</p> <p>According to interviewees, participating CSOs and the environmental health unit of the STMA conducted a review in 2019 on the appropriate type of toilets to be used for deprived communities.²⁸ The review is not publicly available, nor was it made available to the researcher. The STMA did not collect any data on the registration of households/landlords who do not have access to household toilets. The STMA did not develop a new model or implementation plan for sanitation, as planned, due largely to the lack of funds released by the World Bank Multi-Donor Trust Fund facility.²⁹ During the implementation process, it was found that various CSOs concerned with sanitation in the metropolis already had significant data that even the assembly was lacking. However, there was no collaboration in terms of sharing this data. Nevertheless, the STMA continued to raise awareness on the need for household toilets through media and community engagement³⁰ and training in schools.³¹</p>

3. Civil society and public engagement during implementation

Level of public influence during design: Collaborate (There was iterative dialogue AND the public helped set the agenda.)

Level of public influence during implementation: Inform (The government provided the public with information on the action plan.)

For its second action plan, the STMA established a 40-member MSF, including 17 local government representatives, 15 CSO representatives, and 8 representatives from the private sector. The composition of the new MSF ensured representation of women and key social groups, such as industry, traditional rulers, youth groups, and persons with disabilities, among others. To ensure commitment at the highest level of the local government, the mayor was made a co-chair of the MSF (together with a CSO representative).³² During implementation, the MSF lost two members within three months. One of these members was the mayor, who passed away after a short illness. This did not negatively affect political support for the process.³³ The other member was a CSO representative. Despite these losses, the MSF did not update its membership.

Throughout the implementation period, the MSF met only three times with the various commitment implementation teams to report back on the work that had been done to date.³⁴ This was partly due to a lack of funds. The pandemic and the social restrictions imposed to control it also made it difficult for the MSF and working teams to meet. Even though the restrictions were later eased, meeting in person became difficult and expensive because of the logistics involved in in-person meetings.³⁵

The functional nucleus of the MSF was a nine-member subgroup called a working team. The nine members (five men and four women) were representatives from local government, CSOs, traditional leadership, the private sector, media practitioners, and vulnerable groups.³⁶ They were supposed to exercise oversight but did not have any powers of implementation or enforcement. This main function of the working team entailed receiving updates on implementation progress and transmitting this information to the MSF members. The MSF members, in turn, were expected to share this information with their respective constituencies, but this did not always happen.³⁷ Moreover, progress updates were not made publicly available. There was also a WhatsApp platform for members of the MSF on which updates on ongoing projects were posted.³⁸ The WhatsApp platform became an important tool for information dissemination by the implementing teams regarding the commitments, although some members of the MSF felt that the platform was not ideal when they wanted in-depth or substantial responses. The IRM researcher requested records of the meetings of the MSF but was told that no such records were kept.

¹ IRM, "Sekondi-Takoradi Design Report 2018-2020," OGP, 4 June 2021, <https://www.opengovpartnership.org/documents/sekondi-takoradi-design-report-2018-2020/>.

² Retrieved from www.stma360.org [accessed 30 September 2021].

³ Kofi Yeboah and Solomon Kusi Ampofo, interviews with the IRM.

⁴ Yeboah, interview.

⁵ "STMA to Use Drone to Improve Spatial Planning," Business Ghana, 21 June 2019, <https://www.businessghana.com/site/news/general/189833/STMA-to-use-drone-to-improve-spatial-planning>; see also: Update on the implementation of the Local Action Plan, retrieved from http://stma.gov.gh/stma_metro/docs/930Presentation_OGP%20Updates%202020.pdf [accessed on 29 September 2021].

⁶ Yeboah, interview.

⁷ Ibid.

⁸ Ampofo, interview; Isaac Aidoo, STMA POC, interview with the IRM, 23 September 2021.

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- ⁹ "CoST Sekondi-Takoradi, Ghana," CoST Infrastructure Transparency Initiative, 5 January 2022, <https://infrastructuretransparency.org/where-we-work/cost-sekondi-takoradi-ghana/>.
- ¹⁰ Ampofo, interview.
- ¹¹ "CoST Sekondi-Takoradi Engages Communities on Assurance Report," News Ghana, 11 February 2020, <https://newsghana.com.gh/cost-sekondi-takoradi-engages-communities-on-assurance-report/>.
- ¹² "Cost Builds Capacity for District Citizens Monitoring Group," News Ghana, 28 March 2021, <https://newsghana.com.gh/cost-builds-capacity-for-district-citizens-monitoring-group/>.
- ¹³ "Procuring Entities Tutored on CoST Monitoring Tools," <https://www.gna.org.gh/1.21014223> [accessed 10 November 2021].
- ¹⁴ Aidoo and Ampofo, interviews.
- ¹⁵ Aidoo, interview.
- ¹⁶ Update on the implementation of the local action plan, http://stma.gov.gh/stma_metro/docs/930Presentation_OGP%20Updates%202020.pdf [accessed on 29 September 2021]; Aidoo, interview.
- ¹⁷ "What We Do," The Engine Room, 27 December 2021, <https://www.theengineroom.org/about/>.
- ¹⁸ Fred Nyantakyi, STMA Development Planning and Budget Department, interview with the IRM, 24 September 2021.
- ¹⁹ Akwasi Agyei Annim, "W/R: Sekondi-Takoradi Metro Attains New Transparency Frontier," CITI Newsroom, 28 November 2020, <https://citinewsroom.com/2020/11/w-r-sekondi-takoradi-metro-attains-new-transparency-frontier/>.
- ²⁰ Aidoo, interview.
- ²¹ Fred Nyantakyi, STMA Development Planning and Budget Department, interview with the IRM, 24 September 2021.
- ²² Aidoo, interview.
- ²³ John Laste, Public Relations Unit, interview with the IRM, 24 September 2021. See for example the assembly's Facebook account: <https://www.facebook.com/twincityGH/>.
- ²⁴ Aziz Mahmoud, City-wide Settlement Upgrading Fund, interview with the IRM, 26 September 2021.
- ²⁵ Mahmoud, interview; John Laste, Public Relations Unit, interview with the IRM, 24 September 2021.
- ²⁶ Laste, interview.
- ²⁷ Annim, "W/R: Sekondi-Takoradi Metro Attains New Transparency Frontier."]
- ²⁸ Mahmoud, interview; Abdul Karim, interview with the IRM.
- ²⁹ Mahmoud, interview.
- ³⁰ Address by the Metropolitan Chief Executive, Hon. Abdul-Mumin Issah at a two-day water, sanitation, and hygiene training for selected schools and community leaders to end open defecation, 29 and 30 June 2021 at STMA Chamber, Sekondi, http://stma.gov.gh/stma_metro/docs/983Address%20by%20MCE_WASH%20FOR%20SCHOOLS%20&%20COMMUNITIES.pdf.
- ³¹ Abdul Karim Hudu, Environmental Health Unit, interview with the IRM, 23 September 2021.
- ³² "Sekondi-Takoradi Design Report 2018–2020."
- ³³ Emmanuel Kwame Amoh, "Sekondi-Takoradi Mayor Is Dead," 3 News, 12 June 2020, <https://3news.com/sekondi-takoradi-mayor-is-dead/>.
- ³⁴ Mahmoud, interview.
- ³⁵ Ebo Barker, Berea Social Foundation, interview with the IRM, 23 September 2021; Kwesi Agyei Ennim, Citi TV, interview with the IRM, 24 September 2021; Christiana Efua Quansah, Ghana Federation of Disability Associations, interview with the IRM, 24 September 2021; and Laste, interview.
- ³⁶ "Sekondi-Takoradi Action Plan 2018-2020," <https://www.opengovpartnership.org/documents/sekondi-takoradi-action-plan-2018-2020/>.
- ³⁷ Hudu, interview.
- ³⁸ Mahmoud, interview.

IRM ASSESSMENT OF SEOUL'S 2018–2021 ACTION PLAN

Findings

Seoul's second action plan experienced a lower level of completion than its first action plan in 2017, largely due to the impacts of the COVID-19 pandemic and changes in staff responsible for implementation. As a result, of the three commitments in the plan, only one was substantially completed. While there was an increase in the number of civil society and private sector actors involved, the Seoul OGP process still lacks a formal MSF to guide the implementation of its action plan.

1. Early results

Commitment 1 was the only one to have achieved any meaningful results within the action plan timeframe. Commitments 2 and 3 were only partially completed.

Commitment 1: Design a Subway Transfer Map for the Vulnerable through Citizen Participation

Did it open government?: *Major*

This commitment was to develop subway transfer maps with information on the transfer options and location of elevators at each subway station in Seoul. The initiative was to assist vulnerable groups, such as the elderly and persons with disabilities, in navigating and using the subway. According to one government study published in 2018, 24% of Seoul citizens found it challenging to use the subway system.¹ It was difficult to find accurate and accessible information on transfer maps displayed in subway stations.²

Through the OGP process, a civil society collective called Muui was able to engage the Geospatial Information Service division of the Seoul Metropolitan Government (SMG) to adopt their subway transfer map design principles and make the maps more accessible and inclusive for all citizens. Supported by the Seoul Design Foundation, volunteers collected data on the time it took them to understand subway transfer maps and developed new design prototypes. The results informed the subsequent improvements made to the Seoul Metro app.³ Findings reported in a study published by Ewha Womans University also helped improve the user-experience design for the subway transfer map.⁴ Thanks to their collaboration, the SMG began rolling out updated subway transfer maps with visual and text guides in line with the universal design principle. Kakao, one of Korea's largest tech companies, has adapted the inclusive design for their popular Kakao Maps.⁵

Beyond the initial scope of the commitment itself, the initiative has encouraged the Ministry of Interior and Safety to consult Muui on the development of a set of universal design principles and guidelines aimed at enhancing accessibility of government buildings for vulnerable groups. The SMG is exploring opportunities to implement the universal design principles in other areas of public service.⁶

The commitment included a milestone to disclose an API for subway transfer maps in open data format, so anyone could reuse the data to improve the tracking/information systems. However, the SMG did not implement this milestone due to lack of resources for updating the API with real-time data.

Overall, this commitment contributed to increasing access to information by improving the accessibility and quality of public information through the development of better and more inclusive designs of public information products. It has also created an important precedent in terms of civic participation through the SMG's collaboration with civil society, something which had not happened prior to the OGP process.⁷

2. Completion

Commitment	Completion
1: Design a Subway Transfer Map for the Vulnerable through Citizen Participation	<p>Verifiable: Yes</p> <p>Relevant to open government: Yes (access to information)</p> <p>Potential impact: Minor</p> <p>Completion: Substantial</p> <p>See details in Section 1: Early Results</p>
2: Create an Environment to Improve Citizens' Digital Literacy and Civic Hacking	<p>Verifiable: Yes</p> <p>Relevant to open government: Yes (access to information, civic participation)</p> <p>Potential impact: Minor</p> <p>Completion: Limited</p> <p>The SMG met with civil society groups to identify the types of data that would be useful for citizens to access and to discuss how these could be used. Through these meetings, the SMG and civil society set the parameters for engagement on data governance more generally. The SMG's Data and Statistics Division collected initial inputs from citizens to guide the development of a data-centric engagement strategy through its Big Data Campus program and the Seoul Digital Foundation.⁸ However, beyond the dissemination of guidelines, these activities did not ultimately result in opportunities for broader public participation. Furthermore, evidence on the implementation of the rest of the commitment was not made publicly available. The SMG did not maintain any internal or public repository. Frequent changes in the personnel in charge</p>

	of coordinating the implementation of this commitment, resulted in confusion on who had access to such information.
Commitment 3: Support Youth Startups in the Field of Smart Cities	<p>Verifiable: Yes</p> <p>Relevant to open government: No</p> <p>Potential impact: Minor</p> <p>Completion: Limited</p> <p>The SMG formed a six-member Start-Up Alliance early in the implementation stage to act as a consultative body for international engagement in the field of smart cities.⁹ Beyond the publication of a booklet,¹⁰ in December 2018, containing information about each member of the Start-Up Alliance, the commitment did not record any progress. The plan to support the Start-Up Alliance to attend conferences, roadshows, and other business events did not materialize due to the COVID-19 pandemic.¹¹ Furthermore, this commitment is not clearly relevant to any OGP values. Beyond the formation of the consultative body, the commitment text did not specify any mechanisms for engaging private actors or civil society in the field of smart city start-ups.</p>

3. Civil society and public engagement during implementation

Level of public influence during design: Consult (The public could give inputs.)

Level of public influence during implementation: Consult (The public could give inputs.)

Throughout the action plan implementation period, all OGP Seoul stakeholders were expected to meet quarterly. These stakeholders included several divisions within the SMG (Geo-Spatial Information Service Division, Data and Statistics Division, and Information Planning Division) and civil society and private sector groups (Muui, OpenNet, CODE, and members of the Youth Start-Up Alliance). However, only six meetings took place throughout the 24-month implementation cycle, although stakeholders involved in each commitment met in accordance with their individual needs.¹² Overall, while there was no formal MSF in place, the Seoul OGP point of contact considered the cooperation level between the SMG and civil society in the second action plan to have improved considerably compared to the first cycle. Improved cooperation could be attributed to enhanced engagement between the SMG and civil society partners, increased number of non-SMG actors involved in the action plan co-creation, and better understanding of the OGP process among stakeholders.

Coordination meetings between OGP Seoul stakeholders took place both online and offline. Stakeholders kept minutes of meetings to track their conversation and progress, but these minutes were not made available to the researcher as the records were not kept

centrally and many of the SMG actors who were responsible for commitment implementation had already been assigned to different posts by the time of the writing of this report.

¹ “국토부 교통약자 이동편의 실태 조사,” [Ministry of Land, Infrastructure and Transport Actual Conditions of Transportation for the Transportation Vulnerable... 1st Place 'Seoul'], Asia Today, 2 April 2018, <https://www.asiatoday.co.kr/view.php?key=20180402010000832>.

² Yunhui Hong, Muui, interview with the IRM, 27 September 2021.

³ Hong, interview.

⁴ Ha Somang, “A Study on the Mobile App User Experience Design of Subway Transfer Guide for the Transportation Vulnerable: Focusing on ‘Seoul Subway Transfer information’ of Cooperative Federation for the Disabled and ‘Subway Safety Guard’ of Seoul Metro,” Ewha Womans University Graduate School of Design, 2018.

⁵ Hong, interview.

⁶ Ibid.

⁷ Ibid.

⁸ Jihyun Kim, Seoul Metropolitan Government, interview with the IRM, 9 September 2021.

⁹ Doodle It, Safaritong, Oysterable, Creative Drone, Quizip, and Copluso Coding Education.

¹⁰ See <https://tinyurl.com/uaccbzyk>.

¹¹ Kim, interview.

¹² Ibid.

IRM ASSESSMENT OF SOUTH COTABATO'S 2018–2021 ACTION PLAN

Findings

South Cotabato's first OGP action plan has produced limited evidence of concrete results despite substantial completion of two commitments. While civil society, and to a greater degree members of the private sector, were involved in the implementation of some commitments, this was uneven across the action plan. Moreover, the government published very little evidence on implementation progress, which complicates the assessment of results.

1. Early results

Despite substantial progress in the implementation of two commitments, there is no evidence that South Cotabato's first OGP action plan has produced any significant early results. Although the government signed a number of orders/resolutions and established online platforms as envisaged under the various commitments, these have not produced concrete outcomes to date. For example, the Integrated Provincial Online Database (iPOD), which forms the backbone of a number of the commitments, includes only a limited amount of content across its various subsites, which limits its usefulness. Moreover, the provincial government provided limited evidence on commitment results despite numerous attempts to contact them.

2. Completion

Commitment	Completion
1: Increasing Inclusivity in Public Access to Government Information	<p>Verifiable: Yes</p> <p>Relevant to open government: Yes (access to information, civic participation)</p> <p>Potential impact: Minor</p> <p>Completion: Substantial</p> <p>Most of the milestones under this commitment were implemented in the first year of the action plan. However, due to changes in administration that took place on June 28, 2019,¹ there were a few adjustments made to the milestones that ultimately caused delays in implementation. This was further exacerbated by the ongoing COVID-19 pandemic. According to the current OGP point of contact and members of the OGP Secretariat, the governor of South</p>

	<p>Cotabato visited villages across the province to discuss solutions regarding issues and concerns raised by communities.² However, despite various attempts, no evidence was provided, and the researcher was not able to confirm that those visits took place as proposed in the action plan.³</p> <p>The government also held two Provincial Townhall meetings early on in the action plan implementation phase,⁴ but these were halted in 2020 due to internal changes in the organization of the Provincial Information Office. In December 2019, the government launched the iPOD, integrating five other government databases (containing information on government programs and services, open contracting, monitoring data, data mining, and data legislation).⁵ However, the data uploaded onto iPOD is limited in scope and much of it is not up-to-date. Finally, the government passed the Freedom of Information Ordinance on March 20, 2020.⁶</p>
2: Open and Participatory Monitoring for Quality Infrastructure	<p>Verifiable: Yes</p> <p>Relevant to open government: Yes (access to information, civic participation)</p> <p>Potential impact: Moderate</p> <p>Completion: Substantial</p> <p>The Mahintana Foundation conducted a User's Training on the Open Data Kit (ODK) for monitoring infrastructure projects in October 2018.⁷ The Provincial Project Monitoring Committee (PPMC) conducted a dry run of the use of the ODK monitoring system in three barangays in March 2019⁸ and met on a quarterly basis throughout 2020 to review monitored projects and select further projects for monitoring.⁹ However, there were no monitoring activities conducted during the first semester of 2020 due to strict health protocols set by the government in response to the COVID-19 pandemic. CSO membership in the PPMC was expanded to include CSOs represented by women leaders, among others.¹⁰ Although the iPOD platform hosts an online monitoring forum,¹¹ there is no evidence that any monitoring results have been uploaded on the provincial government website, iPOD, or Facebook page, as planned.</p>
3: Enhancing Efficiency and Transparency of the Public Procurement Process	<p>Verifiable: Yes</p> <p>Relevant to open government: Yes (access to information, civic participation)</p> <p>Potential impact: Minor</p> <p>Completion: Limited</p>

	<p>The government issued two policies addressing improvements to procurement transparency (Administrative Order No. 2019-02 and Executive Order No. 38-A) and increased the number of CSO procurement observers from seven to fifteen.¹² Together with the European Chamber of Commerce of the Philippines (ECCP), the government conducted a series of activities in 2019 with stakeholders to build awareness of the new procurement policies, including a roundtable discussion with members of the MSF and workshops on encoding procurement data and data analysis and presentation.¹³ The government also held two Annual Contractors Assemblies in 2019, with different contractors, to sensitize them on the new rules.¹⁴ With the help of the School of Data and the ECCP, the government launched an online portal hosting procurement data in machine-readable formats in June 2019.¹⁵ However, while current business opportunities and some procurement documents and data are available on the portal, these are limited in scope. The available datasets and visualizations only go up to 2019. The procurement document folders are empty. The folders with data from Provincial Offices and Departments are also empty.¹⁶</p>
4: Engaging Citizen's Participation by Developing EI-TECh (Extractive Industry-Transparency E-system & Channels)	<p>Verifiable: Yes</p> <p>Relevant to open government: Yes (access to information, civic participation)</p> <p>Potential impact: Moderate</p> <p>Completion: Limited</p> <p>The Provincial Mining Regulatory Board (PMRB) signed a Resolution for Compassionate Gold¹⁷ on November 15, 2018.¹⁸ The Provincial Environment Management Office (PEMO) stated that the PMRB also signed a Resolution Ensuring the Participation of the Grassroots Sector in Matters Related to Mining and Quarrying Activities on August 28, 2019. However, it is not available online. The PEMO followed these resolutions with a Memorandum of Understanding on the representation and governance of the South Cotabato PMRB, signed December 7, 2019, aiming to solidify grassroots organizations and the role of indigenous peoples in ensuring accountability of the extractive industry in South Cotabato. The memorandum was not available online at the time of this writing. A coalition of CSOs conducted a workshop in February 2019, attended by 25 grassroots partners,¹⁹ to promote grassroots involvement in the governance of large-scale mining, small-scale gold, and nonmetallic (sand and gravel mining). However, the planned transformation of the South Cotabato-PEMO software/database into an online mining portal was never completed, due to resource and technical problems. Moreover, there is no evidence that the PEMO's mining and quarrying reporting</p>

	and monitoring forms were updated to include relevant transparency information and integrate Extractive Industries Transparency Initiative standards as planned.
5: Establishing Online Channels to Broaden Civic Engagement and Increase Relevance of Local Legislation	<p>Verifiable: Yes</p> <p>Relevant to Open Government: Yes (access to information, civic participation)</p> <p>Potential impact: Moderate</p> <p>Completion: Limited</p> <p>The South Cotabato Government passed a resolution institutionalizing an open legislation mechanism in the region on March 4, 2019.²⁰ However, this carries less weight than the ordinance originally proposed under the commitment as resolutions are only temporary in nature and “merely a declaration of the sentiment or opinion of a lawmaking body on a specific matter.”²¹ The local parliament, Sangguniang Panlalawigan (SP), set up an official Facebook page on June 6, 2018, to livestream regular sessions of the SP. Fifty-one livestreams have been conducted to date.²² A committee to review citizen feedback on proposed legislative actions was created on March 5, 2019, consisting of members from the Office of the SP Secretary and private secretaries of the legislative body.²³ The committee was reconstituted on October 14, 2020.²⁴ However, no evidence was provided on whether the committee has acted on any feedback to date. The South Cotabato Government also launched an online database for the legislative records—the Legislative Information Technology System (LITS). However, the LITS system currently displays only three ordinances and one resolution, all of which are replicated numerous times.²⁵ No evidence was provided that a desktop computer was set up at the office of the SP for citizens to search for legislative information, as planned.</p>

3. Civil society and public engagement during implementation

Level of public influence during design: Collaborate (There was iterative dialogue AND the public helped set the agenda.)

Level of public influence during implementation: Consult (The public could give inputs.)

The level of civil society and public engagement during the implementation period weakened compared to the co-creation period, which included several open consultation processes and workshops and the participation of 199 barangay captains. During the implementation period, the provincial government set up processes and mechanisms²⁶ to

support participation in implementing Commitments 1 and 3, including rallying support from civil society and the private sector during budding activities in an observer's role.

The government also established an OGP page on its official website,²⁷ but this does not include any information on progress in commitment implementation. The official government OGP Facebook page²⁸ includes regular updates, but these are not presented in a way that enables the monitoring of action plan implementation or facilitates accountability and participation.

Prior to joining the OGP local program in 2018, the provincial government of South Cotabato was already working on ongoing multi-sectoral initiatives through the South Cotabato Integrity Circle (SCIC)²⁹. The SCIC currently acts as the MSF for the OGP process. It is composed of twenty-one members, with equal representation of seven each from the business sector, civil society, and the provincial government.³⁰

A significant contribution to the implementation of South Cotabato's action plan came from the private sector, with local businesses actively engaged and represented in the MSF. This was thanks to: (1) the formation of a contractors' network; (2) separate meetings with the private sector during consultations, which helped to integrate their priorities into commitment design and foster a sense of ownership; and (3) the inclusion of a specific role for the network in commitment implementation (by engaging in monitoring of contract completion and quality). In South Cotabato, the network was formed through an earlier program on business integrity funded by a private sector partner (the ECCP), which now supports the OGP process. Currently the chairperson of the SCIC is also the person appointed to represent the local Chamber of Commerce.

¹ Bong Sarmiento, "New South Cotabato Gov Vows Free Public Education, Medical Services," *Inquirer*, 28 June 2019,

<https://newsinfo.inquirer.net/1135180/new-south-cotabato-gov-vows-free-public-education-medical-services>.

² Marites Tanseco, South Cotabato POC and members of OGP Secretariat, interview with the IRM, 24 September 2021.

³ Despite various attempts for over a month, the OGP Focal Point was not able to confirm that the governor visited villages across the province to discuss issues and concerns raised by communities, as proposed in the action plan.

⁴ "South Cotabato Open Government Partnership Action Plan 2018-2020 1st Semester Monitoring Report," Republic of the Philippines Province of South Cotabato City of Koronadal Provincial Planning and Development Office – Special Projects Division, <https://drive.google.com/file/d/1qz4IPVOGLmRHHV3r-2LQM1cmJuMZhnVu/view>; and https://drive.google.com/drive/folders/1yxUfKarD8WUQ47uiTkoRVnn5_5NaBeaW.

⁵ Index of iPod landing page, 23 October 2022, <https://ipod.southcotabato.gov.ph/>.

⁶ "Excerpt from the Minutes of the Regular Session of the Sangguniang Panlalawigan of South Cotabato," Republic of the Philippines Province of South Cotabato Office of the Sangguniang Panlalawigan, 9 March 2020, <https://drive.google.com/file/d/1i6yC1sX9f0QXaQBaxHslyZsCKdcae8yS/view>.

⁷ "South Cotabato—Open Government Partnership," Facebook, 29 October 2018, <https://www.facebook.com/SoCot.ONGP/posts/327426671143033>.

⁸ Doreen Mae Vallar, "The Provincial Project Monitoring Team Conducts Dry-Run of the Open Data Kit Monitoring System," 5 March 2019, Provincial Government of South Cotabato, <https://southcotabato.gov.ph/the-provincial-project-monitoring-team-conducts-dry-run-of-the-open-data-kit-monitoring-system/>.

⁹ <https://drive.google.com/drive/folders/1K4UVhkCKMjErCqU1pECrTHIHUlvQ3Cpt>.

¹⁰ https://drive.google.com/drive/folders/1PUDckaI0cnaF2eiaqSAHgydMKnjQ_Pwz.

- ¹¹ "Quarterly Project Monitoring Results of the PPMC for CY 2019," Provincial Government of South Cotabato, <https://southcotabato.gov.ph/infradevlive/>.
- ¹² "South Cotabato Open Government Partnership Action Plan 2018-2020 1st Semester 2020 Monitoring Report," Republic of the Philippines Province of South Cotabato City of Koronadal Provincial Planning and Development Office – Special Projects Division, https://drive.google.com/file/d/1hBKFUCm_LjZrYZKD-eBI1vonWU12CtSN/view.
- ¹³ Doreen Mae Vallar, "ECCP Conducts Series of Activities for Open Contracting," Provincial Government of South Cotabato, 6 March 2019, <https://southcotabato.gov.ph/eccp-conducts-series-of-activities-for-open-contracting/>.
- ¹⁴ Doreen Mae Vallar, "South Cotabato conducts a Contractors' General Assembly," Provincial Government of South Cotabato, 19 September 2019, <https://southcotabato.gov.ph/south-cotabato-conducts-a-contractors-general-assembly/>.
- ¹⁵ Adelle Chua, "Open Contracting in the Province of South Cotabato," HIVOS, <https://hivos.org/story/theres-always-room-for-improvement/>.
- ¹⁶ "Open Contracting Webpage," Provincial Government of South Cotabato, <http://southcotabato.gov.ph/open-contracting/index.html>.
- ¹⁷ PMRB Resolution 13, Series of 2018, Republic of the Philippines Province of South Cotabato Provincial Mining Regulatory Board City of Koronadal, 15 November 2018, https://drive.google.com/file/d/1MErCdu_ufGCV-qJ7HibqK1Z0rFNceA7d/view.
- ¹⁸ "South Cotabato Government Formalizes Province-Wide Compassionate Gold Monitoring Team," BAN Toxics, 28 November 2018, <https://bantoxics.org/2018/11/28/south-cotabato-government-formalizes-province-wide-compassionate-gold-monitoring-team/>.
- ¹⁹ Doreen Mae Vallar, "Bantay Kita Conducts Its Community Empowerment in the Local Governance of the Extractive Industry," Provincial Government of South Cotabato, 5 March 2019, <https://southcotabato.gov.ph/bantay-kita-conducts-its-community-empowerment-in-the-local-governance-of-the-extractive-industry/>.
- ²⁰ "Excerpt from the Minutes of the Regular Session of the Sangguniang Panlalawigan of South Cotabato, Held in Its Session Hall, Provincial Government of South Cotabato, 4 March 2019, <https://southcotabato.gov.ph/south-cotabato-sp-passes-resolution-adapting-open-legislation/>.
- ²¹ https://www.dilg.gov.ph/PDF_File/issuances/legal_opinions/dilg-legalopinions-202019_fe275bfc47.pdf.
- ²² "Sangguniang Panlalawigan of South Cotabato," Facebook, 14 November 2022, https://www.facebook.com/spsouthcotabato/?ref=page_internal.
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- ²⁵ "South Cotabato Online Legislative Information Tracking System," Provincial Government of South Cotabato, <https://lits.southcotabato.gov.ph/index.php>.
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- ²⁸ "South Cotabato - Open Government Partnership," Facebook, <https://www.facebook.com/SoCot.OGP/>.
- ²⁹ Hydee Templonuevo, "SouthCot's Integrity Circle Delivers amid Covid-19," Provincial Government of South Cotabato, 20 July 2020, <https://southcotabato.gov.ph/southcots-integrity-circle-delivers-amid-covid-19/>.
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IRM ASSESSMENT OF TBILISI'S 2018–2021 ACTION PLAN

Findings

Tbilisi's second action plan was implemented to a limited extent, with only one of the five commitments fully completed and one not started. This was due to a combination of factors, including the onset of the COVID-19 pandemic, changes in leadership within city administration, and a resulting shift in priorities and loss of institutional memory and ownership of the plan. The Working Group (multi-stakeholder forum) responsible for implementation of the commitments was largely inactive, which negatively affected the level of stakeholder influence during implementation.

1. Early results

Commitment 4 is the only commitment to have achieved any meaningful early results. The other commitments were either not started (Commitment 2) or completed to only a limited extent (Commitments 1, 3, and 5).

Commitment 4: Developing a “Building Integrity and Transparency Strategy and Action Plan”

Did it open government?: *Marginal*

Through this commitment, Tbilisi City Hall aimed to strengthen its resistance to corruption risk through a strategy and action plan for building integrity and transparency for the city. The commitment responds to one of the key recommendations of the OECD's Anti-Corruption Network for Eastern Europe and Central Asia, which, while recognizing Georgia's successful anti-corruption efforts to date, highlighted the ongoing risk of corruption at the local government level.¹ It also responds to one of the commitments taken by the country as part of Georgia's 2020–2025 Decentralization Strategy.²

All the milestones, including the development of a “Building Integrity and Transparency Strategy and Action Plan” and accompanying performance indicators and monitoring framework, were completed, albeit seven months behind schedule, with the approval of the final strategy delayed until July 2020.³ This was due to a range of factors, including delays in the delivery of the initial situation analysis conducted by the independent experts, changes to the administration of Tbilisi City Hall and OGP POC, and changing political priorities to respond to the COVID-19 pandemic.⁴

The commitment kick-started positive changes during the implementation phase. For example, the comprehensive situation analysis in the initial phase triggered discussions on integrity and transparency among employees of the City Hall. Capacity-building activities⁵ exploring strategy and discussing the goals and activities of the City Hall and activities raising awareness of the OGP process and related policies were provided to City Hall staff during the drafting phase and helped create deeper insights and alignment of strategic goals and activities set out in the “Building Integrity and Transparency Strategy and Action

Plan.”⁶ Under the action plan, and with ongoing support from USAID, Transparency International Georgia supported Tbilisi City Hall to strengthen its corruption risk assessment capacities and develop a Corruption Risk Assessment methodology. With the new methodology, Tbilisi City Hall now has a tool to effectively identify, analyze, and evaluate corruption risks and take necessary measures for their mitigation, although it has not yet been officially adopted.⁷

As a result of this commitment, Tbilisi City Hall has also introduced a new “bottom-up” model of internal decision-making. Although not yet fully adopted, this approach is designed to provide institutional mechanisms that will bring initiatives from all employees onto the agenda—including through an annual employee engagement survey and brainstorming sessions—and ensure that all levels of management are engaged in implementation. The mechanism should ensure that lower and mid-level staff are involved in reviewing initiatives presented by their superiors.⁸ While the approach may foster internal accountability, it is not likely to have an impact on accountability with the public at large.

2. Completion

Commitment	Completion
1: Information and Civic Activities Portal “Smart Map”	<p>Verifiable: Yes</p> <p>Relevant to open government: Yes (access to information, civic participation)</p> <p>Potential impact: Moderate</p> <p>Completion: Limited</p> <p>This commitment was originally included in Tbilisi’s first OGP action plan (2017–2018) but was not completed. Thus it was carried forward to the second plan, with a narrower and more realistic scope. Despite the more manageable scope, the commitment has made limited progress, with only minor updates made to the existing interactive map webpage,⁹ providing only information on projects related to infrastructure and green spaces. Additional functionalities such as the “Fix Tbilisi” concept and tools supporting citizen interaction have not been introduced as planned.¹⁰ There is no evidence of the adoption of supportive legislation for the system or the delivery of training for relevant staff on how to process submitted information.</p>

2: Participatory Budgeting Mechanism	<p>Verifiable: Yes</p> <p>Relevant to open government: Yes (access to information, civic participation)</p> <p>Potential impact: Moderate</p> <p>Completion: Not Started</p> <p>The plan to introduce a participatory budgeting mechanism for the city of Tbilisi was ultimately abandoned. According to the City Hall¹¹ and CSOs,¹² this was largely due to changes in leadership of the city administration, including those responsible for implementing OGP commitments, leading to a shift in priorities and loss of both institutional memory and sense of ownership of commitments. According to the City Hall, limited expertise in the field of participatory budgeting meant that the institution did not have the capacity to select and develop an appropriate participatory budgeting system for Tbilisi.¹³</p>
3: Online Access to Services and Civic Engagement	<p>Verifiable: Yes</p> <p>Relevant to open government: Yes (access to information, civic participation)</p> <p>Potential impact: Moderate</p> <p>Completion: Limited</p> <p>Tbilisi City Hall and the Municipal Service Development Agency (MSDA) completed the business analytics stage for the development of an online one-stop shop for citizens to access the most popular services, such as social and urban services, within the City Hall system.¹⁴ This was to be part of a unified portal, launched in November 2020, incorporating municipal services for all of Georgia's municipalities, including Tbilisi. However, the creation of the Tbilisi module on the unified portal is still ongoing and tentatively expected to be launched in early 2022.¹⁵ There is also no evidence of the adoption of the supportive legislation for the system.</p>
4: Developing a "Good Faith and Transparent Governance" Strategy	<p>Verifiable: Yes</p> <p>Relevant to open government: Yes (civic participation)</p> <p>Potential impact: Minor</p> <p>Completion: Complete</p> <p>See details in Section 1: Early Results</p>
5: Improving Tbilisi's	<p>Verifiable: Yes</p> <p>Relevant to open government: Yes (access to information)</p>

Electronic Transparency	<p>Potential impact: Minor</p> <p>Completion: Limited</p> <p>Due to a shift in priorities under the new administration and delays due to the COVID-19 pandemic, the focus of this commitment rested on creating the new open data portal rather than upgrading the Tbilisi City Hall webpage, though even the former was delayed. In December 2020, Tbilisi contracted IDFI to develop its open data portal concept and terms of reference, which were finalized in June 2021, beyond the timeframe of the action plan.¹⁶ The MSDA had planned to launch the portal in pilot mode by the end of 2021.¹⁷</p>
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3. Civil society and public engagement during implementation

Level of public influence during design: Collaborate (There was iterative dialogue AND the public helped set the agenda.)

Level of public influence during implementation: Consult (The public could give inputs.)

Since 2016, a multi-stakeholder Working Group established by Tbilisi City Hall has served as a MSF that is legally mandated to work on open government issues in Tbilisi. The head of Tbilisi City Hall Administration is the chair of the Working Group¹⁸ and is appointed by the Tbilisi City mayor. The Working Group members elect the co-chair of the Working Group, which is currently represented by Ms. Natia Kalandarishvili, Tbilisi Architecture Biennial Group.¹⁹ Neither the updated composition nor guiding principles of the Working Group are available on the official [OGP repository](#) or the City Hall website. However, according to the Working Group chair, the group consists of around 20 members representing City Hall and its respective agencies, CSOs, and development partners.²⁰

Although regular meetings took place during the design and initial phases of the 2018–2019 action plan implementation, since the replacement of the first OGP point of contact, Mr. Vladimer Khasia in 2018, the OGP process has slowed considerably.²¹ In part this is because the process relies on the drive of individuals rather than the support of institutions. The second point of contact, Mr. Giorgi Kiknadze, who also served as chair of the Working Group, was replaced by the new head of office, Mr. Irakli Chincharauli, in late 2019. While this new appointment served as a stimulus to push the OGP process forward, it was soon brought to a halt by the outbreak of COVID-19 pandemic.²² The multiple changes to city administration during the implementation phase resulted in a dissolved sense of ownership on the action plan, a confusing process, and inactivity of the Working Group (both government and CSO members) that negatively affected the level of stakeholder influence during implementation. According to CSOs, the OGP implementation process in Tbilisi was "chaotic"²³ and the frequent changes in OGP leadership led to a "drastically negative experience"²⁴ for the implementation of the action plan.

To support monitoring of the action plan and civil society engagement in implementation, UNDP's Fostering Decentralization and Good Governance at the Local Level program contracted an independent consultant in December 2018 to develop a comprehensive monitoring and self-evaluation methodology and a monitoring framework and self-evaluation matrix for City Hall.²⁵ However, for the reasons mentioned above, the monitoring framework was never put to use. The current OGP point of contact is not aware of the mechanism, and CSOs have not used the monitoring framework to engage in the implementation process.

¹ "Anti-Corruption Reforms in Georgia: 4th Round of Monitoring of the Istanbul Anti-Corruption Action Plan," Organization for Economic Co-operation and Development, 2016, <https://www.oecd.org/corruption/anti-bribery/OECD-ACN-Georgia-Round-4-Monitoring-Report-ENG.pdf>.

² "Decentralization Strategy of Georgia, 2020–2025," ENG, <https://mrdi.gov.ge/pdf/5e468e292b317.pdf/Decentralization-strategy-ENG.pdf>.

³ "USAID Good Governance Initiative in Georgia—GGI," approval of Building Integrity and Transparency Strategy of Tbilisi City Hall at Tbilisi Government meeting, Facebook, 22 July 2020, <https://www.facebook.com/ggi.tetrachard/posts/2533114040332527>.

⁴ Salome Sagaradze, project coordinator, Georgian Young Lawyers' Association, interview with the IRM, 24 September 2021; Mikheil Darchiashvili, governance manager at USAID Georgia Good Governance Initiative, interview with the IRM, 23 September 2021.

⁵ Trainings were conducted by Georgian Young Lawyers Association (GYLA) and by representatives of Government Administration (AoG).

⁶ Darchiashvili, interview.

⁷ Ibid.

⁸ Ibid.

⁹ Tbilisi interactive map: <http://maps.tbilisi.gov.ge/#/C=44.7907896-41.7087850@Z=14>.

¹⁰ Giorgi Topuria and Sandro Kevkheshvili, Transparency International Georgia, interview with the IRM, 29 September 2021.

¹¹ Irakli Chincharauli, head of office at Tbilisi City Hall Administration, interview with the IRM, 16 September 2021.

¹² Darchiashvili, Topuria and Kevkheshvili, and Sagaradze, interviews.

¹³ Chincharauli, interview.

¹⁴ Lasha Machavariani, acting head, and Guram Shvangiradze, head of system analysis department at Municipal Service Development Agency, interview with the IRM, 6 October 2021.

¹⁵ Machavariani and Shvangiradze, interview.

¹⁶ Teona Turashvili, Media, Internet, and Innovations direction head at IDFI, interview with the IRM, 6 October 2021.

¹⁷ Machavariani and Shvangiradze, interview.

¹⁸ Working Group, <https://ogp.tbilisi.gov.ge/page/3128>.

¹⁹ "The Second Meeting of the Working Group of the Open Government Partnership Tbilisi (OGP)," OGP Tbilisi, <https://ogp.tbilisi.gov.ge/news/5819?lang=en>.

²⁰ Chincharauli, interview.

²¹ Topuria and Kevkheshvili, Darchiashvili, and Sagaradze, interviews.

²² Darchiashvili, interview.

²³ Topuria and Kevkheshvili, interview.

²⁴ Darchiashvili, interview.

²⁵ Giorgi Nasrashvili, Good Governance expert, at UNDP project: Fostering Decentralization and Good Governance at the Local Level in Georgia, interview with the IRM, 25 September 2021.

ANNEX 2: ACTION PLAN TIMEFRAMES AND EXTENSIONS

Local Member	Original Action Plan Timeframe	Extension	1 st or 2 nd Plan
Austin	2019–2021	N/A	2 nd
Basque Country	2018–2020	N/A	1 st
Buenos Aires	2018–2020	N/A	2 nd
Elgeyo Marakwet	2018–2020	Feb 2021	2 nd
Jalisco	2019–2021	N/A	2 nd
Kaduna State	2018–2020	N/A	1 st
La Libertad	2018–2020	N/A	2 nd
Madrid	2018–2020	Aug 2021	2 nd
Nariño	2019–2021	N/A	1 st
Paris	2019–2021	N/A	2 nd
São Paulo	2018–2020	Feb 2021	2 nd
Scotland	2018–2020	Feb 2021	2 nd
Sekondi-Takoradi	2018–2020	Aug 2021	2 nd
Seoul	2018–2020	Aug 2021	2 nd
South Cotabato	2018–2020	Feb 2021	1 st
Tbilisi	2018–2020	Feb 2021	2 nd

ANNEX 3: METHODOLOGY

This report highlights the main results and key successes of 77 commitments implemented by 16 Open Government Partnership (OGP) local members between 2018 and 2021 and offers a glimpse of the challenges and lessons learned. These key findings are drawn from analysis of 16 individual local member snapshots.

The local member snapshots review the implementation of the 16 (2018–2020, 2018–2021, and 2019–2021) local action plans that Independent Reporting Mechanism (IRM) assessed for the development of this report. They are as follows: Austin, Basque Country, Buenos Aires, Elgeyo Marakwet, Jalisco, Kaduna State, La Libertad, Madrid, Nariño, Paris, São Paulo, Scotland, Sekondi-Takoradi, Seoul, South Cotabato, and Tbilisi. They summarize IRM’s findings on the implementation of their local plans, including early results achieved, completion of commitments, and level of public engagement in the implementation process. For the 2019–2021 local action plans (Austin, Jalisco, Nariño, and Paris), the local member snapshots also assess the action plans’ design, as individual design reports were not published for these action plans. These assessments are based on a review of evidence from events and activities that took place during the action plan period between 2018 and 2020/21.

The snapshots were produced by IRM regional researchers based on a standardized questionnaire developed by IRM. Each researcher conducted a desk review and interviewed key stakeholders from both government and civil society to gather evidence supporting the assessments. The indicators and method used in IRM research can be found in the *IRM Procedures Manual*.¹ The following summarizes the key indicators used to assess each of the 77 commitments:

- **Verifiability:**
 - “Yes”: specific enough to review. As written in the action plan, the objectives stated and actions proposed are sufficiently clear and include objectively verifiable activities to assess implementation.
 - “No”: not specific enough to review. As written in the action plan, the objectives stated and proposed actions lack clarity and do not include explicit, verifiable activities to assess implementation.
 - Commitments that are not verifiable will be considered “not reviewable” and further assessment will not be carried out.
- **Relevance to open government:** 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 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?

Additionally, the IRM highlights whether commitments rely on technology and innovation to advance transparency, citizen participation and/or accountability.

- **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 the commitment aims to address;
 - establish the status quo or baseline 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. For each commitment, this variable is assessed as: no evidence available, not started, limited, substantial, or complete.
- **Did it open government?:** This variable attempts to move beyond measuring outputs and deliverables to look at how 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. This variable is assessed as: did not change, marginal, major, or outstanding.

This report was prepared by IRM and overseen by IRM's International Experts Panel. For more information about IRM, refer to the "About IRM" section of the OGP website available [here](#).

¹ IRM, "IRM Procedures Manual," OGP, 16 September 2017, <https://www.opengovpartnership.org/documents/irm-procedures-manual>.