P03 / Open Government: Participation, Inclusion and Impact

Topic : POLICY IMPLEMENTATION

Chair : Maria Gintova (McMaster University)

Second Chair : Mary Francoli (Carleton University)

GENERAL OBJECTIVES, RESEARCH QUESTIONS AND SCIENTIFIC RELEVANCE

Governments and policy makers around the world are initiating and implementing open government initiatives. Governments which are signatories to the Open Government Partnership (OGP) commit to making government more inclusive, responsive and accountable (OGP 2018). As a term, open government is now used to describe a wide range of goals and functions, including making government data publicly available, improving the delivery of public services and encouraging public participation in government decision-making (Clarke and Francoli 2014).

As a member of the OGP, Canada has developed an open government policy framework and commitment to impact change. However, to this day, the major focus remains on making government data publicly available, while implementation of other open government initiatives, including public participation commitments lag behind (Clarke and Francoli 2014, 2017; Roy 2016). Other countries, such as the USA, Australia and New Zealand experience similar challenges (Evans and Campos 2013; Price 2017; Stewart 2018).

It is important to understand challenges that governments face in order to engage the public in a meaningful way. However, the analysis of these challenges should be complemented by practical solutions on how governments can foster public participation and inclusion. This panel will explore the future of public participation and inclusion initiatives within an open government agenda, and help to drive government action. Specifically, the panel will discuss trends and developments (or lack of) in advancing opportunities for public participation, and implications for policy-making.

References:

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CALL FOR PAPERS

As a part of their open government agenda, governments have been emphasizing the need for increased public participation in government decision-making. However, in Canada, the major focus remains on making government data publicly available, while implementation of other open government initiatives, including public participation commitments lag behind (Clarke and Francoli 2014, 2017; Roy 2016).

For 2019, the Government of Canada has declared its priorities for the Open Government Partnership (OGP) Global Summit as participation, inclusion and impact, thus signaling the importance of enhancing public participation in government decision-making. It is important to understand challenges that

governments face in order to engage the public in a meaningful way.

This panel calls for papers that address aspects of public participation and inclusion initiatives within an open government agenda. There are no geographical restrictions: we welcome papers that focus on public participation and inclusion initiatives in any country and/or level of government. Research questions can explore (but not limited to):

- How and why governments encourage public participation and inclusion in government decision-making?
- How under-represented citizens can be engaged in government decision-making?
- What role does technology play in fostering public participation and inclusion?
- How and why to measure the impact of public participation initiatives?
- What are the existing challenges that hinder meaningful public participation and inclusion?
- What are the ways of overcoming existing challenges and ensuring meaningful engagement?
- What are the ways to promote public participation on the federal, regional and municipal levels, and globally?

Papers can be theoretical or empirical in nature, and employ quantitative, qualitative or mixed methods. We aim to stimulate the discussion about benefits and challenges of public participation in government decision-making, and ways to advance opportunities for public participation as well as identify implications for policy-making.

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Session 1

Thursday, June 27th 08:00 to 10:00 (MB 5.255)

Lessons learnt from participatory budgeting implementation in Apurimac, Peru

Guiselle Romero Lora (Pontificia Universidad Católica del Perú)

Coyllurqui is a district located in the province of Cotabambas, Apurímac Region in Peru. This district has important social gaps, but insufficient resources to deal with its major problems, as the levels of monetary poverty, reached 71% of its population. In the past, when the municipality of Coyllurqui developed the process of participatory budgeting, recruited generally external consultants who developed workshops to prioritize projects without the participation of key officials of the municipality, and without performing training and capacity building workshops for local leaders of the peasant communities of the district. As a result, as in many municipalities in the Peru, the agreements adopted in the participatory budget were not formalised and included in the institutional budget of the municipality.

In a survey conducted in June of 2015, only 2% of the population of the district considered that their municipality was solving the major problems of the community. In that same survey, citizens indicated that more needed investments in their district were those related to water and sanitation, education, health and transport. However, in that same year, only 30% of the executed budget of the municipality was invested in these sectors.

The main cause of the difference between the interests of the citizens, and the priorities of the local Government was the lack of spaces for dialogue and participation of the population, such as the participatory budget.

The municipality of Coyllurqui with the technical assistance of the Apurimac good Municipal Government project improve the participatory budget process; to promote the collaboration of various sectors of the population, including women and youth, in such a way that identified the most relevant investment projects for the community. Thus, the municipality implemented a multi-year approach to align the vision of development of the community to the necessary investments, and at the same time ensure its continuity before a change of management.

This paper presents the participatory budget process developed by the district municipality of Coyllurqui and the lessons learned from this process.

Public policy councils and local governments: how Municipal Environmental Councils affect environmental spending in Brazil

Biancca Castro (Universidade Federal Rural do Rio de Janeiro)

Carlos Eduardo Frickmann Young (Universidade Federal do Rio de Janeiro)

Lucas Costa (Universidade Federal do Rio de Janeiro)

Brazil is a federalist country, where sovereignty regarding decisions and responsibilities are shared between three spheres of autonomous governments: union, states and municipalities. This allows that, in spite of the constitutional attributions, these entities establish their own agendas and priorities and they can administer themselves.
These federative spheres have different Public Policy Councils, that are joint bodies between state and society, set up at the heart of the public administration in Brazil, in order to produce a more democratic environment for public management. These Councils are the main experiences of participatory democracy in Brazil, and local government is considered the administrative political unit that offers the best conditions

for such a practice (Martins et al, 2008).
With regard to the environmental area, in 2017, Environmental Councils were present in 4,130 municipalities of Brazil (74% of the in the total), and they have the responsibility of supervise, deliberate and propose norms to municipal environmental management.
In this paper the concept of environmental management expenditures carried out by the municipal government is a criterion of effectiveness of the popular participation in municipal environmental management. Although imperfect, this indicator establishes a way of measuring whether the existence of Municipal Environmental Councils has concrete effects, supposing that the greater participation of the environmental expenses in the budget of the municipality represents greater importance of environmental subjects in the list of policies supported by the municipality.
The objective of this research is to identify how citizen participation in Brazil, through Municipal Environmental Councils, is related with environmental management expenses and contribute to the greater transfer of financial resources from the states that have legislation on Ecological ICMS (ICMS-E) for the municipalities. The ICMS-E establishes that part of state tax revenues must be transferred to its municipalities according to environmental criteria. Seventeen Brazilian states introduce different environmental criteria in the definition of the distribution to the municipalities of the resources collected as ICMS-E. Municipalities presenting better environmental performance receive more resources, considering parameters such as protected areas for conservation, Indigenous lands, sanitation and solid waste disposal. Crossing data for municipal public finances (2012-2016) with administration information (2017), it is shown that the existence of Municipal Environmental Councils is positively related to expenses with environmental management and fiscal transfer received through ICMS-E. These effects are higher when the Municipal Environmental Councils have power over financial decisions. These results confirm the hypothesis that citizen participation, via Municipal Environmental Councils, positively affect local environmental policymaking in Brazil.

Form and substance: the effects of transparency, access to information, and citizen participation laws on local democratic governance in Chile

Jose Hernández Bonivento (Universidad Austral de Chile)

In recent years, Chile has implemented legislation on transparency, access to information and citizen participation in public administration. But studies of the real-world effects of these mechanisms on municipal-level democratic governance have been rare or absent. This article sets out a theoretical and methodological toolkit that is then applied to analyze the effects of institutional mechanisms to promote transparency, access to information and citizen participation in intermediate cities in Chiles. The results reveal that, even in cases where levels of compliance are high, the institutional design for local open government can impede and sometimes even prevent the emergence of local democratic governance. Nonetheless, the evidence also suggests that local collaborative initiatives have emerged, improving the interaction between municipal administrations and civil society at local level.

E-democracy and parliaments: a public policy in diffusion

Maria Clara Estevam (Carleton University)

The growing deployment of tools that allow popular participation through the Internet, in legislative houses, can be conceived as a phenomenon resulting from the political system and, in this sense, as a public policy. Worldwide, several democratic countries, despite the form of state adopted in them, have been promoting and encouraging innovations in direct popular participation, dismissing the traditional parliamentary representation. In the Federative Republic of Brazil, in parallel to the open government initiatives, e-democracy initiatives are under way at the subnational level, and more and more the Legislative Assemblies and the City Councils seek ways to enable the direct participation of citizens in drafting and reformulating laws.

The e-democracy instruments make explicit the systemic, non-governmental agenda within the Legislative Branch. In other words, they address issues of public interest in the formulation of new legislation, the reformulation of old legislation, and the popular control of parliamentary mandates. Also, in a narrower approach, these instruments also allow the identification of the government agenda and, more precisely, the decision agenda. That is, the list of subjects, within the government's agenda, that were sent to the deliberation of the political system in the short and medium term.

E-democracy tools in legislative houses are central if one wishes to increase popular participation, directly impacting the decision-making processes of governments. In this sense, this work seeks to identify, in a comparative way, what are the e-democracy tools that have been adopted by the parliaments of democratic countries and if there is any pattern of diffusion and replication of these initiatives worldwide. In terms of

identification, it also aims to propose a taxonomy for these tools, considering their transparency, access to public information and means of social participation in the legislative process.

Whereas Brazil is a founding member of the Open Government Partnership and the 4th National Action Plan in Open Government is in progress, deontologically this research is guided by the Commitment nº 7: "To increase the participation of diverse social segments in the legislative process using integrated efforts that enhance transparency, align language and communication, and promote innovation. " The research methodology involves the tabulation and the interpretation of qualitative and descriptive information available in a fragmented way in each site of the parliaments around the world, with the intentions to map the adoption of e-democracy tools and to identify determinants or clues of their diffusion or transfer between countries.

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Session 2

Thursday, June 27th 10:30 to 12:30 (MB 5.255)

Citizen participation and the rise of big government. A historical perspective to the intertwined trajectories of local interest groups and the federal state in the implementation of public policies in the United States.

Maxime André (Sciences Po Lyon)

As open government is under the spotlight many scholars are trying to assess its achievements and identify what remains to be done in order to allow greater citizen participation and more transparency in government activities. If the latter has been addressed to certain degrees of success, the quest for greater citizen participation in the policy making and implementation processes remains rather left aside (Clarke and Francoli, 2014).

In order to understand the state's reluctance, or the struggles it faces in trying to better involve the population in policy processes we propose to take a peek at the past in search for answers. The case we want to stretch is that of the United States, and more specifically the relation between the federal state and the people in public policy-making and implementing.

Even though we do not seek to tell the story of more than 200 years of public and private cooperation, we argue that studying the collaboration between citizen associations and the federal state in the 1920s and 1930s is relevant to understand the issue of distribution of power at stake with present day open government. Indeed, studying citizen organizations in the 20s and 30s allows for a redefinition of what we generally assume to be state interventionism.

In fact, the federal government, supported by various citizen groups, developed new ambitions during the Progressive Era that reached their apex with the introduction of Franklin Delano Rooesevelt's New Deal in 1933. However, most scholars tend to overlook the founding influence of Prohibition as a field experiment for new ways of implementing interventionist federal public policies. Therefore, this paper proposes to examine how the American federal state expanded its capacity by working hand in hand with the people at the local level, and with strong citizen interest groups at the national level in a model of grassroots administration (Selznick, 1949).

Based on a research dissertation and the beginning of the author's PhD dissertation, this paper offers a different perspective to the contemporary debate on open government. By shedding light on how citizen participation used to operate in an intricate relation with the federal government, we seek to contribute to a better understanding of the precedents that influence decision making regarding the issue of open government. At the heart of this research is a reflection on "*who governs*" (Dahl, 1961) and who claims the "*ownership of public problems*" and of their solutions (Gusfield, 1981). This way, this contribution wishes to reinvigorate the debate between Robert Dahl and C. Wright Mills (Mills, 1971) about the distribution of power in the United States by testing its relevance in today's time.

This paper is the product of a research on the activities of several local citizen groups supporting the implementation of Prohibition between 1920 and 1933 in the state of Rhode Island. This research is now being expanded to other states such as Massachusetts and Illinois in trying to follow the evolution of these groups' activities following the repeal of the 18thamendment and the launch of the New Deal programs.

We shall begin by discussing the role the citizen did play in the development of big government (Part 1). How this partnership did develop and how it evolved throughout the 20s and 30s is the next point that we will explore. Did the citizen groups remain relevant in the public arena following the repeal of Prohibition? (Part 2) Finally, shall we consider citizen participation only as an instrument for the state to enhance democracy and policy implementation, or an expression of the powerful interest group culture that the state ought to take into account? (Part 3).

Accessible or tyrannical participation? Exploring the Open Government Partnership National Action Plan of the Philippines and Indonesia

Rachel Khan (University of the Philippines Diliman)

Since its launch in 2011, the Open Government Partnership (OGP) has transformed into a global movement "working to make government more effective and responsive to its citizens" (OGP Commitments, 2013) even as membership has grown from the original eight to the current 79 governments.

Jetzek, et al. (2012) argued that the social value of a transparency policy, and consequently Open Government Data, is proportional to a government's ability to contribute to participation, i.e. the more useful the information to the public, the higher the value. As two of the eight founding members of the Open Government Partnership (OGP), the Philippines and Indonesia are committed to developing a National Action Plan towards making government data publicly available, which in turn should transform into concrete actions demonstrating their openness towards greater public participation.

Using the lens of the tyranny of participation (Cooke and Kothari, 2001) and the framework developed by Fung, Graham and Weil, the aim of this study is two-fold. First, it seeks to compare the level of commitment and progress in their respective National Action Plans toward increasing publicly available government data. Secondly, it seeks to explore whether the data has led to greater public participation. Rooted in new public management thought, Fung, Graham, and Weil (2007) laid out what they deemed were important dynamics for a successful transparency policy in what they dubbed as the Transparency Action Cycle. The study will conduct a content analysis of these countries' open government data and develop indicators measuring the usability of these data.

The role of access to information in civic participation: initiatives and challenges of civic engagement in Brazil

Suélem Macedo (Universidade Federal de Viçosa)

Josiel Valadares (Universidade Federal de Viçosa)

James Melo (Federal University of Viçosa)

Based on the principles of transparency, participation and collaboration, the open government has positioned itself as an emerging paradigm that tries to respond to the exhaustion of the traditional models in the public administration, in a world in which Information and Communication Technologies (ICTs) have been increasingly used by public management (Lathrop e Ruma, 2010; Evans e Campos 2013; Clarke e Francoli, 2014, 2017; Roy 2016). Based on such assumptions, as a result of an international debate, in September 2011, the Open Government Partnership (OGP) was created, initially signed by a group of eight founding countries, including Brazil, with the commitment of promoting more inclusive and responsible governments (OGP 2018; Lee e Kwak, 2012). The literature remarks, however, that although governments use technological tools, they have been unable to make use of them to manage and engage citizen participation (Bertot et al., 2010; Dawes, 2009; Dawes e Helbig, 2010; Tapscott, Williams, e Herman, 2008). Therefore, it should be discussed whether the implementation of policies that aim at making a more opened management possible has been incorporated into the Brazilian public agenda in addition to the technological trends. Thus, considering the context of the municipal Brazilian public administration, which by being closer to the citizens represents the primary space for the exercise of participation, the subject of research that will guide the construction of this work shall be: What is the role of Information and Communication Technologies (ICTs) in promoting public participation? As a general objective, therefore, it is intended to analyze what local governments have done with regard to the access to public information provided by ICTs and what their possible implications on public participation. The research will have as object of study the context of two Brazilian municipalities, encompassing the executive and legislative branches, as well as entities of organized civil society that operate in the exercise of social control. For its operation, a qualitative approach will be utilized based on the bibliographical and documentary research, interviews and field research notes, contributing to data triangulation. Documentary research will include the analysis of laws, decrees, ordinances, resolutions, institutional websites and folders. Based on a script, thirteen interviews will be carried out with civil servants belonging to the upper and middle step bureaucracy, and also with ten members of three different social movements. The data will be analyzed through content analysis, based on definitions of analytical categories that will serve as a basis for the research findings discussion. Regarding the expected results, it is believed that information and communication technologies favor the monitoring of public management by organized civil society groups. However, municipal governments still lack measures that promote overall public participation, since although there are investments in technological tools, these measures have so far failed to broaden citizen engagement. The

proposed study, therefore, fits in the discussions promoted by this panel, since it aims to discuss, in the context of the Brazilian municipalities, whether the opening of public management is going beyond technological modernization, contributing to greater citizen participation.

Official languages and open government: barrier or mechanism for inclusion?

Mary Francoli (Carleton University)

In Canada, official language obligations are often seen as a barrier to open government. Open government involves improving the quantity and quality of information and data released to the public in a timely manner. However, under the Official Languages Act, any “publications” produced by government need to be translated into both official languages. This slows down the implementation of open government and can make it a costly endeavour. Similarly, the requirement to hold civic engagement exercises -another vital component of open government -in both official languages can be both costly and logistically complicated.

This paper examines this contentious relationship between official languages and open government. It questions whether the two are fundamentally at odds with one another, and explores ways in which they might be seen as complementary. In doing this, the paper draws on two case studies: Canada and Paraguay. The two cases are the only two officially bilingual countries with membership in the Open Government Partnership in the region of the Americas. This study is timely as language has not yet been the subject of much scholarship in the open government space in spite of its clear relationship to the potential for inclusion, impact, and participation.

Two bodies of literature are used to frame the paper: literature looking at language policy, and literature looking at open government. Identifying the motivations and goals of each help to determine an intersection between the two. Documentary research, including a study of legal frameworks outlining language obligations, and documents submitted by Canada and Paraguay to the Open Government Partnership, is conducted to get a sense of the current relationship between language and open government. A series of interviews are conducted in each country to determine how official language obligations are realized in practice, where these obligations might pose challenges to the implementation of open government, where the two might be complementary, and finally, options for facilitating future implementation of both. This includes exploring the risks and benefits of solutions such as machine translation.

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Session 3

Thursday, June 27th 16:30 to 18:30 (MB 5.255)

Engaging Canadians on Open Science: An Experiment

Houle David (ECCC)

Monica Granados (Environment and Climate Change Canada)

Takuma Nakamura

- As part of Canada's Open Government plans, the federal Science-based Departments and Agencies (SBDAs) have committed to promote open science, both internally and through external partnerships. Open science has many dimensions, including making data, methods and publications freely accessible. However, another important aspect of open science is the activities done by government departments and agencies to foster open science practices, further public involvement in government science, and provide access to government science products and scientists.

  In order to implement Canada's current Open Government Action Plan—Canada's 2018-2020 National Action Plan on Open Government, released on December 17, 2018—the Government of Canada committed to hold public engagement sessions led by Environment and Climate Change Canada (ECCC). The goal of these sessions is to promote open science and actively solicit feedback from partners, stakeholders, and federal scientists on their needs with respect to federal open data and open science. These sessions will take place across Canada, starting with four public engagements in February and March 2019.

  This paper provides a preliminary summary of the findings from these first four public engagement sessions and the insights gained by engaging a diverse range of stakeholders and partners, including representatives from academia, industry, and citizens on variety of topics such as data needs, citizens science, community monitoring, and accessibility of information. The paper then discusses how open science user needs can inform federal open science activities and practices as a contribution to the ongoing development of federal open science policy.

Open Government Policy and the Social Media Use in Government in Canada: Implementation Disconnect

Maria Gintova (McMaster University)

Since its initiation in 2010-2012, the open government policy in Canada has been focused on three major streams of initiatives: open data, open information and open dialogue. To date, Canada made quite significant progress on open data commitments while the open dialogue stream of initiatives remains a work in progress (Clarke and Francoli 2014, 2017; Roy 2016). This issue is not new for government agencies. Scholars note that government leaders and officials lack an understanding of the need for public engagement in government decision-making, regardless if it is virtual or in person (Clarke 2012; McNutt 2014).

It is, however, interesting to see how the Government of Canada's approach to the use of social media in "opening up" government has changed over time. In 2010-2012, social media was viewed as a primary vehicle for public engagement and conducting public consultations on public policy. Moreover, the emphasis was on ensuring that government agencies and the public were engaged in two-way interactions on government social media platforms. Now the approach to public engagement has changed significantly. In Canada's 2018-2020 National Action Plan on Open Government, it is acknowledged that social media is

one of the many ways to engage with the public and the Government of Canada is committed to use a variety of in person and online platforms (Treasury Board Secretariat 2018).

This paper explores the connection between open government policies of the Government of Canada and the Ontario Government, and existing government social media practices. It specifically looks into if and how the use of social media by two largest immigration agencies in Canada – Immigration, Refugees and Citizenship Canada (IRCC) and the Ontario Ministry of Citizenship and Immigration (MCI) [1]– has been impacted by the open dialogue stream of open government initiatives. The results discussed in the paper are derived from several qualitative research methods: six semi-structured interviews with public servants, content analysis of IRCC tweets and Facebook posts, and the analysis of IRCC and MCI social media documents. The social media data were collected between September 2015 and August 2016, and the interviews were conducted between March and June 2016.

The findings of this research confirm those from literature. The existing open government policy is not the primary reason for the government use of social media. Both IRCC and MCI noted their interest in social media use stemmed from the desire to reach out audiences and cut down costs of promotional campaigns. Furthermore, government agencies did not see social media being used as a potential engagement tool but rather a customer service tool. This was supported by findings of social media content analysis – with the exception of one consultation on the future of immigration in Canada that was held in July 2016, IRCC did not seek to engage public in policy-making.

[1] Until 2018, MCI was a standalone ministry. It is now merged into the Ministry of Children, Community and Social Services that currently has responsibility for immigration policy in Ontario.

Factors Affecting Citizens' Attitudes toward the Feasibility of Citizen Governance

Heungsuk Choi (Department of Public Administration, Korea University)

Recent incidences of citizen participation in the South Korean politics and policy making – especially the citizen protest against the former President Park's regime and deliberative decision making by the panel of 500 citizens concerning the construction of two additional nuclear power plants - have shown that citizens can participate in very deliberative and considerate, self-restraint, and orderly manners as a key actor to decide upon critical political and policy matters. It seems, however, that citizens are still quite divergent in terms of their attitudes toward the feasibility of citizen governance, as it is contrasted with the governance by the bureaucratic technocracy. So to speak, some citizens are more confident, as well as positive upon the feasibility of wider application of citizen governance in policy making, while others are much skeptical of its feasibility and leaning more toward the governance by bureaucratic technocracy. Such divergence on the view of the feasibility of citizen governance seems to have not only theoretical significance but also practical significance in South Korea, as it has created another cleavage in the Korean politics and policy making.

This study investigates what factors affect citizens' attitude toward the feasibility of citizen governance in policy making, and how these perceptions are shaped among clustered groups of citizens. It will also try to delineate the profiles of the citizens in the clustered groups of citizens in terms of the dimensions affecting the attitude toward citizen governance.

This study uses a national citizen survey that was conducted in July of 2018. A stratified random sampling technique was adopted to cover 16 provinces of South Korea. The sample size of the data is 5,000.

Using a factor analysis, this study will posit two dependent variables – the citizen governance at the instrumental level such as participatory budgeting, and the citizen governance at the goal-setting or agenda-setting level. A possible list of independent variables that affect citizens' attitude toward citizen governance could include their perceptions on the capability of public officials, the levels of trust upon the government, the perceptions on the capability of citizens governance, the senses of political efficacy, political knowledge, etc.