

## **Evaluating Accountability and Citizens Participation On the Open Government Plans of Selected Countries**

**Ezekiel K. Duramany-Lakkoh**

Lecturer Department of Accountancy, Institute of Public Administration and Management (IPAM) University of Sierra Leone, A. J. Momoh Street, Tower Hill, Freetown Sierra Leone  
(Tel: +23276500576/ Email: - [kelvinlaks@gmail.com](mailto:kelvinlaks@gmail.com))

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**ABSTRACT:** *This study assesses the openness of government plans of three countries, Peru, Indonesia and the United States within 2011 to 2013 using the average scores of four assessment tools Budget Transparency, Asset Disclosure, Law, Transparency and Citizens Engagement. On Transparency, the score for Peru fell by 0.04 points from 2.12 points in 2011 to 2.08 points 2012 and remained stable in 2013. Meanwhile, Indonesia improved its score by 0.13 points from 2.48 points in 2011 to 2.61 points 2012 and did not change in 2013. The overall score for the USA drop by 0.01 during the same period of time. This implies that even though the United States is seen as the most transparent, emerging countries are narrowing in as they adjust to certain regulatory conditions overtime. Rankings changes by 0.07 for Peru from 2011 to 2013, 0.17 for Indonesia and 0.08 for the United States. Indonesia reported the strongest change of 0.17, followed by the United States, and then Peru. Evidence presented in these rankings also shows that emerging countries like Peru and Indonesia are closing in to the countries that have been in democracy for a longer period of time. Even though the United States is leading the rankings, the graph above shows that the biggest improvements came for Indonesia, while Peru followed sluggishly behind.*

**KEYWORDS;** open government plans on budget transparency, asset disclosure, law, transparency and citizens' engagement

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## **INTRODUCTION**

Open Government Partnership (OGP) was initiated in 2011 by the Presidents of the United States and Brazil, with an objective to involve countries in a system of government that is openly accountable to its citizens (Conradie and Choenni, 2014). A total of 63 countries have already joined the OGP, with more currently reviewing their plans for consideration.

The OGP eligibility criteria was deliberately focused on four fundamental open governance systems, these include; Accountability, Technology and Innovation, Citizens Participation and Transparency (Conradie and Choenni, 2014). Even though these criteria clearly outlined specific commitment guidelines, different governments within the plans apply them differently. An example of this is the case of the United States and Kenya. While the United States noted "Foreign Intelligent Surveillance Activities (Barry and Bannister, 2014) as one of the fundamental prerequisite in its transparency plan, Kenya is looking at "Improving its Justices Sector Process as one of its transparency objectives.

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The focus of this section is not to deliberate of the open government plans and the countries eligibility criteria, or methods of admission. This section will focus exclusively on assess the progress made by the United States, Peru and Indonesia since they submitted their Open Government Partnership plans. The scope of this section is three years, 2011, 2012 and 2013.

### **Tools on Assessing Open Governance Initiative**

Conradie, P., Choenni, S. (2014) argues on the relevance of citizens engagement in the public budgetary process. In other words, the goal of governance is to ensure that citizens understand and participates in processes of governance. Several reputable sources are tracking and scoring governments on important issues like the levels of transparency and citizen participation in those countries (Melin, and Axelsson, 2009).

***Budget Transparency Score (BTS):-*** For this criterion, the study uses International Budget Partnership (IBP) Reports 2010 and 2012. Given that this report is published every two years, the scores from the 2010 report are valid for 2011 and the scores from the 2012 report are valid for 2012 and 2013 (International Budget Partners, 2013).

***Asset Disclosure Score (ADS):*** This score is based on the existence of rules that require public disclosure of income and assets for elected and senior public officials. According to these provisions, elected officials are mandated to disclose their assets to an appropriate body, who will in turn disclose it to the public (Chui, et. al. 2014). We used the OGP 2013 score for all these years because of insufficient information.

***ATI Law Score (ATI):*** For this criterion, we are using the whole set of indicators provided the Global Right Information Rating (GRIR) that measures the strength of the legal framework for guaranteeing the right to information in the selected countries. It is limited to measuring the legal framework, and does not measure quality of implementation. Also, it is the world's first rating of RTI laws. Considering that, and the fact that there have been no changes in the legal framework on ATI in the selected countries we are using the same score for the three years considered for the assessment.

***Transparency International Index (TII):*** This index ranks 177 countries based on how corrupt their public sector is perceived. Given that OGP members commit themselves to promote transparency as a means to fight corruption we consider that incorporating this module would provide us with valuable information to assess the impact of the OGP in the levels of transparency in each country.

***Citizen Engagement Eligibility Criteria (CEE):*** This criterion is based on the OGP sub-indicator that ranks countries based on the civil liberties given to the people to participate and engage in policymaking and good governance in their countries.

***Democracy Index (DI):*** Based on information published by the Global Democracy Ranking, this index assesses countries in terms of; Full Democracy, Flawed Democracy, Hybrid Democracy and Arthurian Regimes.

***Voice and Accountability Index (VAI):*** This index is based on the World Bank's Worldwide Governance Indicators Voice and Accountability sub-indicator that evaluates countries based on good governance, accountability and civil engagement.

***World e-Governance Ranking (WeGR):*** This ranking is based on a survey conducted by the United Nations on citizens' benefiting from advanced electronics governance systems and management infrastructure used in by their government. This ranking was just available for 2011 and 2012. For that reason, to assess the year 2013, we used a similar module from Waseda University (WU) International e-Government Ranking 2013. In other to unify their rankings with other global regimes, WU met with institutions like the OECD, ITU and even the United Nations. Further relationship between WU and United Nations rankings can be found in the Singapore e-Governance.

**Table 1: Assessment indicators**

Categories	Evaluation Criteria
<b>Transparency Evaluation Criteria</b>	
➤ Budget Transparency Score	<input type="checkbox"/> How Governments give public access to budget information <input type="checkbox"/> Are citizens allowed to participate in the Budget process? <input type="checkbox"/> How budget addresses the need of particular groups of people,
➤ Asset Disclosure Score	<input type="checkbox"/> Financial disclosure in terms of income and asset declaration <input type="checkbox"/> Interest and business activities disclosure
➤ Access to Information Eligibility (ATI)	<input type="checkbox"/> Country laws on Asset declaration <input type="checkbox"/> Guaranteed constitutional provisions on Assets disclosures <input type="checkbox"/> Access to information law under consideration
➤ Transparency International Index	<input type="checkbox"/> Business Principles for countering Bribery

	<input type="checkbox"/> Integrity impact of the Public Sector <input type="checkbox"/> The role of Civil Society
<b>Citizens Participation Criteria</b>	
➤ Citizen Engagement Eligibility Score	<input type="checkbox"/> Civil Stakeholders involvement in the governance process <input type="checkbox"/> Appreciation of inputs and feedback <input type="checkbox"/> Are rights and responsibilities of civil societies respected?
➤ Democracy Index	<input type="checkbox"/> Political inclusion <input type="checkbox"/> Civil Liberties <input type="checkbox"/> Gender, Health, Knowledge <input type="checkbox"/> Political Participation <input type="checkbox"/> Political Culture
➤ Voice of Accountability Index	<input type="checkbox"/> Ability of Citizens to Select their own Governments <input type="checkbox"/> Freedom of Expression <input type="checkbox"/> Freedom of Association <input type="checkbox"/> Freedom of the Media
➤ World e-Governance Ranking	<input type="checkbox"/> Enhanced Information Services (Stage 1) <input type="checkbox"/> Enhanced Information Services (Stage 2) <input type="checkbox"/> Transactional Services <input type="checkbox"/> Connected Services

**Table 2: Evaluation Table**

<b>Peru</b>				
<b>Category</b>	<b>Transparency</b>			<b>Description</b>
	<b>2011</b>	<b>2012</b>	<b>2013</b>	
Budget Transparency	<b>65</b>	<b>57</b>	<b>57</b>	International Budget Partnership (IBP) Reports
Asset Disclosure	<b>2</b>	<b>2</b>	<b>2</b>	OGP Eligibility Datasheet 2013 (Max 4)

ATI Eligibility	<b>95</b>	<b>95</b>	<b>95</b>	GRIR (Max 150)
Transparency International	<b>34</b>	<b>38</b>	<b>38</b>	Corruption Perceptions Index 2013 (Max 100)
<b>Category</b>	<b>Citizens participation</b>			<b>Description</b>
Citizen Engagement Eligibility	<b>4</b>	<b>4</b>	<b>4</b>	OGP Eligibility Datasheet 2013 (Max 4)
Democracy Index	<b>60.6</b>	<b>61.0</b>	<b>61.0</b>	Democracy index (Max 100) Global Democracy
Voice and Accountability	<b>56.54</b>	<b>57</b>	<b>57.5</b>	Upper bound of 90% confidence interval for governance, in percentile rank terms (2012)
World e-Governance Ranking	<b>0.4026</b>	<b>0.5230</b>	<b>0.4656</b>	World e-Governance Ranking (Max 1) & WU 2013 (Max 1)
Indonesia				
<b>Category</b>	<b>Transparency</b>			<b>Description</b>
	<b>2011</b>	<b>2012</b>	<b>2013</b>	
Budget Transparency	<b>51</b>	<b>62</b>	<b>62</b>	International Budget Partnership (IBP) Reports
Asset Disclosure	<b>4</b>	<b>4</b>	<b>4</b>	OGP Eligibility Datasheet 2013 (Max 4) higher better
ATI Law	<b>101</b>	<b>101</b>	<b>101</b>	GRIR (Max 150) and OGP Eligibility Datasheet 2013 (Max 4)
Transparency International	<b>30</b>	<b>32</b>	<b>32</b>	Corruption Perceptions Index 2013 (Max 100)
<b>Category</b>	<b>Citizens participation</b>			<b>Description</b>
Citizen Engagement Eligibility	<b>4</b>	<b>4</b>	<b>4</b>	OGP Eligibility Datasheet 2013 (Max 4)
Democracy Index	<b>52.0</b>	<b>52.7</b>	<b>54.2</b>	Democracy index (Max 100) Global Democracy,
Voice and Accountability	<b>54.67</b>	<b>56</b>	<b>56.5</b>	Upper bound of 90% confidence interval for governance, in percentile rank terms (2012)
World e-Governance Ranking	<b>0.4026</b>	<b>0.4949</b>	<b>0.5305</b>	World e-Governance Ranking (Max 1) & WU (Max 1)
United States				
<b>Category</b>	<b>Transparency</b>			<b>Description</b>

	2011	2012	2013	
Budget Transparency	95	95	95	International Budget Partnership (IBP) Reports
Asset Disclosure	4	4	4	UOGP Eligibility Datasheet 2013 (Max 4) higher the better
ATI Law	89	89	89	GRIR (Max 150) and OGP Eligibility Datasheet 2013 (Max 4)
Transparency International	71	73	73	Corruption Perceptions Index 2013 (Max 100)
Category	Citizens participation			Description
Citizen Engagement Eligibility	4	4	4	USA OGP Eligibility Datasheet 2013 (Max 4)
Democracy Index	79.0	78.5	78.8	Democracy index (Max 100) Global Democracy
Voice and Accountability	92	92	92	90% confidence interval for governance, in percentile rank terms (2012)
World e-Governance Ranking	0.8510	0.8687	0.9312	World e-Governance Ranking (Max 1) & WU (Max 1)

## METHOD

To assess the impact of the Open Government Partnership Plans in Peru, Indonesia and the United States, the study uses indicators from 8 different sources; 4 for assessing transparency and 4 for assessing civil society participation in each of the three countries. In order to enhance our understanding of the OGP, using some of the indicators the OGP is used to assess the compliance with the minimum eligibility criteria as well as indicators from other sources that will allow us to measure the impact of the OGP efforts in the selected countries.

In order to bring the rankings from each of the above Criteria (Transparency and Civil Participation) into a single score, the study uses the fractional approach and converts all figures to decimals and then adds them up.

The results presented are based on the following assumption. Because of the limited information available on the progress of the OGP, most of the indexes used are non OGP indexes. However, because of their international reputation and similarities with the two criteria (Transparency and Citizens Participation), the study assumes that the overall ranking from these different regimes reflect the overall objectives of the Open Government Partnership.

The study uses the 2013 OGP scores for Asset Disclosure Score (ADS) and Citizen Engagement Eligibility Criteria (CEE). These scores were not available for 2011 and 2012 as the OGP does

not evaluate the plans of individual members annually. However, because of limited information, I assume that there were no changes in the ADS and CEE rankings from 2011 to 2013.

Lastly, the study weighs all the rankings equally because they are all considered equally important for the achievement of the two OGP criteria stated.

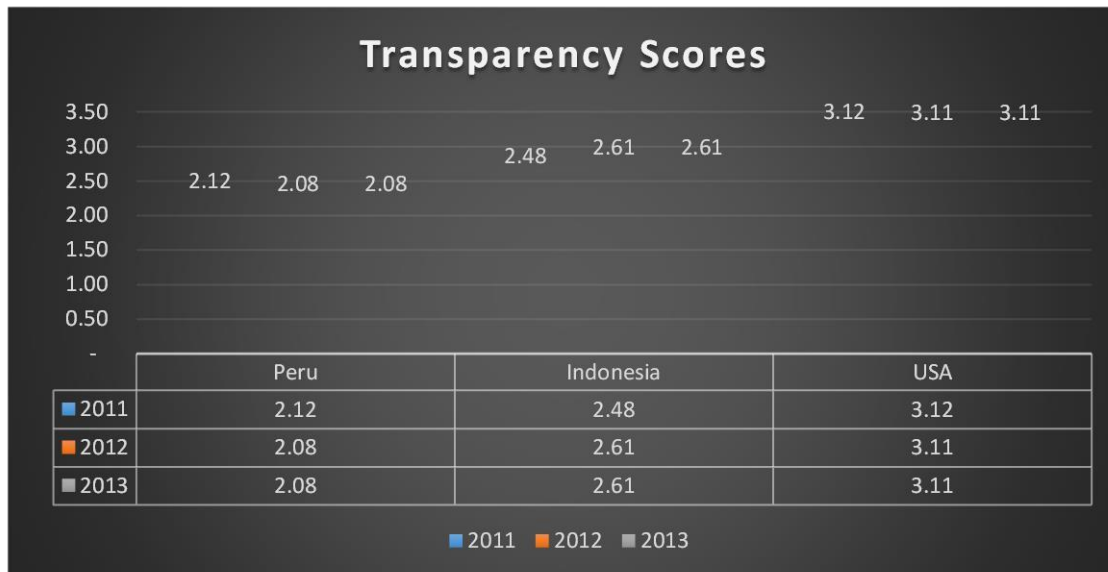
## RESULTS

### 4.1 Transparency

**Table 1: Transparency Scores**

<b>Peru</b>	<b>BTS</b>	<b>ADS</b>	<b>ATI</b>	<b>TII</b>	<b>Rank</b>
<b>2011</b>	65	2	95	34	2.12
<b>2012</b>	57	2	95	38	2.08
<b>2013</b>	57	2	95	38	2.08
<b>Indonesia</b>	<b>BTS</b>	<b>ADS</b>	<b>ATI</b>	<b>TII</b>	<b>Rank</b>
<b>2011</b>	51	4	101	30	2.48
<b>2012</b>	62	4	101	32	2.61
<b>2013</b>	62	4	101	32	2.61

<b>United States</b>	<b>BTS</b>	<b>ADS</b>	<b>ATI</b>	<b>TII</b>	<b>Rank</b>
<b>2011</b>	82	4	89	71	3.12
<b>2012</b>	79	4	89	73	3.11
<b>2013</b>	79	4	89	73	3.11



**Graph representing Transparency in the three countries for 2011, 2012, 2013**

### **Analysis of Result on Transparency**

Overall performance in 2013 based on the 4 transparency indicators used ranked the United States as the most transparent country with a score of 3.11 points, followed by Indonesia with 2.61 points and Peru with 2.08 points. Nevertheless, the only country that has shown progress since the adoption of the OGP declaration and the approval of an OGP Action Plan is Indonesia, which started with a score of 2.48 in 2011 and ended up with a score of 2.61 in 2013. Both the USA and Peru revealed a slight decline in the same period of time.

The progress made by Indonesia could be explained in large by the improvements showed on Fiscal Transparency. Indonesia increased its BTS score from 51 to 62 points in just two years (the OBP is a biannual report). According to this report, Indonesian Government provides substantial information to the public in its budget documents during the year. Still, considering that this index gives a total score on 100, Indonesia has the opportunity to improve its performance, in particular with respect to the mechanisms available for citizens to participate in the budget process (International Budget Partnership, 2013).

This country also made slight progress in the Transparency International Corruption Index, improving its score from 30 in 2011, to 32 in 2013. Still, considering that the maximum score in this index is 100, Indonesia has a lot of room for improvement. In comparison to the USA and Peru, Indonesia faces the greatest challenge in this area and it's considered a country with high levels of corruption, ranked 114 among 177 countries (Transparency International, 2014)

In this index United States has shown better performance in comparison to Peru and Indonesia.



Since this country joined the OGP, it has shown a slight progress improving its score from 71 in 2011 to 73 in 2012. In the latest report, the country was ranked 19 among 177 countries (Transparency International, 2014) Nevertheless, the fact that explains why the USA has declined its performance after joining the OGP can be explained by the results shown on the BTS, where it lowered its score from 82 points in 2011, to 79 points in 2013 (International Budget Partnership, 2013). Even when Peru showed a stronger position than Indonesia in the Transparency International Corruption Perception Index, maintaining a stable score of 38 since its incorporation to the OGP (and being ranked 83 out of 177), the country lagged behind with regards to Fiscal Transparency (dropping from 65 to 57) and Asset Disclosure (scoring 2 out of 4 points).

Given the limitations of the sources available, it is not possible to track progress made by countries in terms of access to information or assets disclosure. Indonesia, Peru and the United States all have Access to Information Laws in place, as well as regulations mandating to disclose their assets to an appropriate body, who will in turn disclose it to the public.

Nevertheless, it is possible to compare the quality of the provisions of the ATI Laws in place among countries, using the Global Right Information Rating. According to this source, the Indonesian ATI Law is stronger (with 101 points) than the Peruvian ATI Law (95 points) and the American ATI Law (85 points). This difference could be explained by the fact that the American ATI Law was enacted almost five decades ago and the Peruvian ATI Law more than 10 years ago. The Indonesian ATI Law on the other hand, was passed in 2010 (Global Right to Information Rating, 2014).



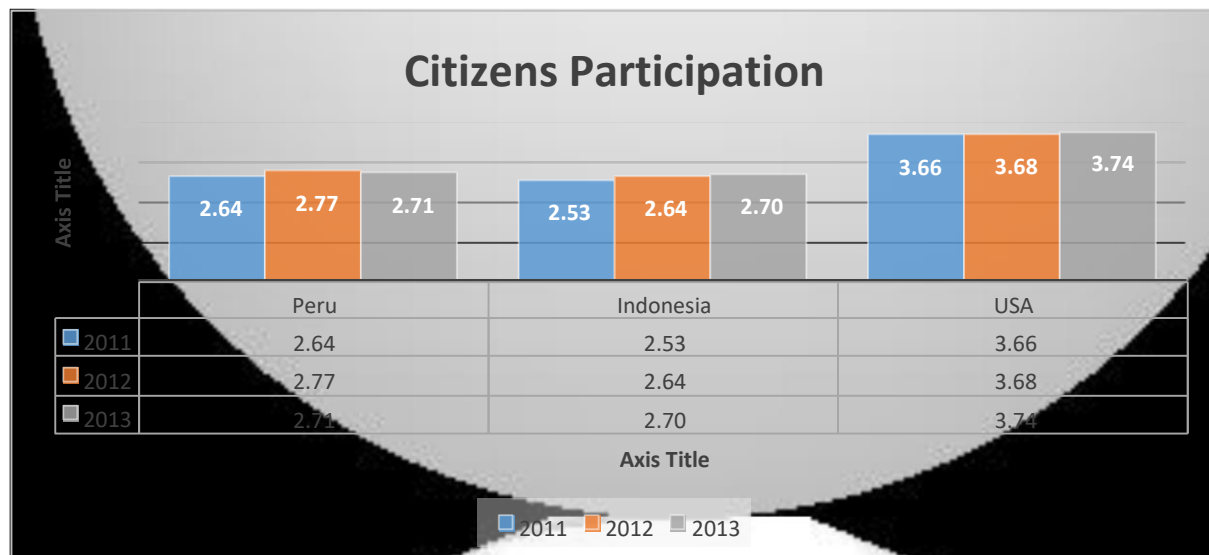
The graph below shows changes in the Transparency Score from 2011 to 2013. For Peru, the score fell by 0.04 points from 2.12 points in 2011 to 2.08 points 2012 and remained stable in 2013. Meanwhile, Indonesia improved its score by 0.13 points from 2.48 points in 2011 to 2.61 points 2012 and did not change in 2013. The overall score for the USA drop by 0.01 during the same period of time. This implies that even though the United States is seen as the most transparent, emerging countries are narrowing in as they adjust to certain regulatory conditions overtime.

Given these contrasting performances, this study reports mixed evidence of the ability of the OGP to improve or hinder the levels of transparency of governments. Still, we believe that improving the sources of information –in particular, with respect to access to information and assets disclosure- would help assessing more precisely the effects of joining this partnership for country members. Also, given that the OGP has been recently established, there is no sufficient evidence about the progress of the countries' performance over time. As the OGP gains maturity, the data available would give us a better perspective of the performance of the country members over time.

### Citizens Participation

**Table 3: Citizens Participation Rankings**

<b>Peru</b>	<b>CEE</b>	<b>DI</b>	<b>VAI</b>	<b>WeGR</b>	<b>Rank</b>
<b>2011</b>	4	60.6	56.54	0.4026	2.64
<b>2012</b>	4	61	57	0.523	2.77
<b>2013</b>	4	61	57.5	0.4656	2.71
<b>Indonesia</b>	<b>CEE</b>	<b>DI</b>	<b>VAI</b>	<b>WeGR</b>	<b>Rank</b>
<b>2011</b>	4	52	54.67	0.4026	2.53
<b>2012</b>	4	52.7	56	0.4949	2.64
<b>2013</b>	4	54.2	56.5	0.5305	2.70
<b>United States</b>	<b>CEE</b>	<b>DI</b>	<b>VAI</b>	<b>WeGR</b>	<b>Rank</b>
<b>2011</b>	4	79	92	0.851	3.66
<b>2012</b>	4	78.5	92	0.8687	3.68
<b>2013</b>	4	78.8	92	0.9312	3.74

**Figure1: Graph representing Civil Society Participation in the three countries for 2011, 2012, 2013**

### Analysis of Results on Citizens Participation

Although the United States shows a lead in Civil Participation ranking again, the differences are much broader compared to the transparency rankings, the United States has the highest Civil Society Participation score of 3.74 points in 2013 as against Indonesia and Peru, which scored 2.70 and 2.71 respectively.

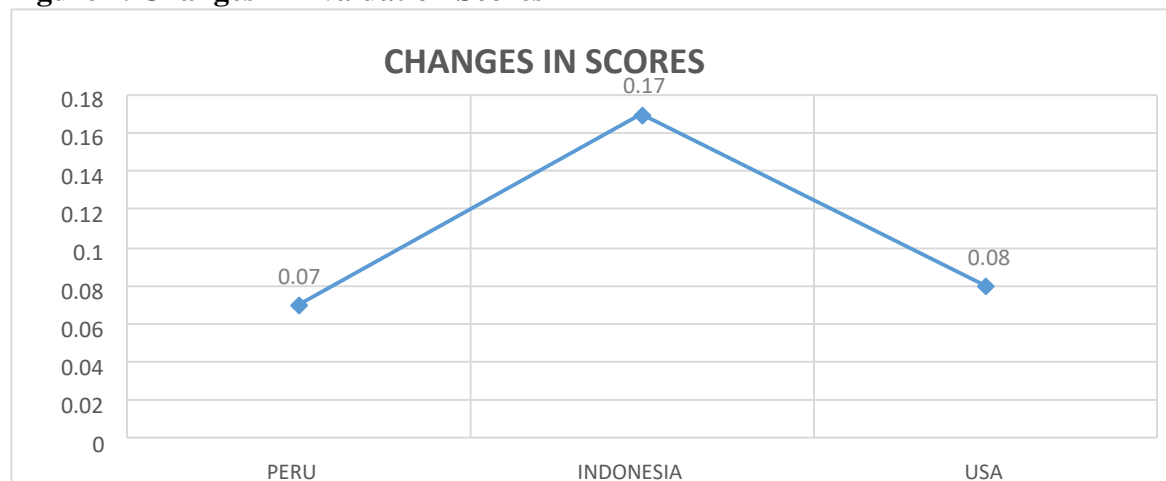
Unlike the transparency index, Peru shows an increase by 0.13 points from 2.64 in 2011 to 2.77 in 2012, but this time in fall to 2.71 points in 2013, a change by 0.06 points. Indonesia's movement along the years have been encouraging with a 0.11 jump from 2011 to 2012 (2.53 to 2.64) and 0.06 jump thereafter.

Indonesia and Peru compared shows that in 2011, Peru led the rankings by 0.11 points, the lead was widened to 0.13 points in 2012, while the 0.06 points fall in Peru for 2013 shorten the Peru lead on Indonesia by just 0.01.

The fall in the Peru score in 2013 was as a result of the drop in the World e-government ranking score from 0.523 in 2012 (UN index) to 0.4656 (WU index). Peru's Citizens Participation (CEE) and Democracy Indexes (DI) remains unchanged at 4 and 61 for 2012 and 2013 respectively, while the Voice of Accountability Index (VAI) shows a 0.5 increase for the same periods. In the case of Indonesia, all indexes with the exception of citizens participation, shows an increase in score. The country's Democracy Index (DI) moves from 52 in 2011 to 52.07 in 2012. An increase of 0.7 points for that period and a further increase by 1.50 from 2012 to 2013. Indonesia lead over Peru is more accounted for in the World e-Government Rankings Reports. Eventhough, the ranking regimens changes from the (UN Indexs) to the (WU index) in 2013, but the changes were applied for all countries and for the same period. While Peru shows a decrease of 0.06 from 2012

to 2013, Indonesia on the other hand shows an increase of 0.04. Meanwhile, the United States Democracy Index (DI) fall from 79 points in 2011 to 78.5 points in 2012 and remains and 78.8 in 2013(still below the initial 2011 ponits). While the United States leads Peru and Indonesia in the World e-Rankings Scores from 2013 to 2013 by 0.06 points, the country's Voice of Accountability Score was constants at 92 for all periods.

**Figure 2. Changes in Evaluation Scores**



The graph above illustrates the changes total civil participation scores. Rankings changes by 0.07 for Peru from 2011 to 2013, 0.17 for Indonesia and 0.08 for the United States. Indonesia reported the strongest change of 0.17, followed by the United States, and then Peru.

Evidence presented in these rankings also shows that emerging countries like Peru and Indonesia are closing in to the countries that have been in democracy for a longer period of time. Even though the United States is leading the rankings, the graph above shows that the biggest improvements came for Indonesia, while Peru followed sluggishly behind.

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