

Fundación **Corona**

Towards an Open Government framework
for municipal governments in Colombia

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Towards an Open Government framework for municipal governments in Colombia

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Glossary/ Acronyms

AFFH	Affirmatively Furthering Fair Housing
AGA	Alianza Gobierno Abierto
CIO	Chief Information Officer
CONPES	Consejo Nacional de Política Económica y Social
CSOs	Civil society organizations
DIGEDACP	Dirección General para el Desarrollo de la Acción Comunal y la Participación
DNP	Departamento Nacional de Planeación
EITI	Extractive Industries Transparency Initiative
FARC	Revolutionary Armed Forces of Colombia
FC	Fundacion Corona
FEMP	Spanish Federation of Municipalities and Provinces
FHA	Fair Housing Act
GDP	Gross Domestic Product
HUD	Department of Housing and Urban Development
ICT	Information and Communication Technologies
IDPAC	District of Participation and Community Action (<i>Instituto Distrital de la Participación y Acción Comunal IDPAC in Spanish</i>)
ITEP	Índice de Transparencia de las Entidades Publicas
JAC	Juntas de Acción Comunal
JAL	Juntas Administradoras Locales
LGBTQ	Lesbian, Gay, Bisexual, Transgender and Queer and

MinTIC	Ministerio de Tecnologías de la Información y las Comunicaciones (Ministry of Information and Communication Technologies)
NA	Neighborhood Assemblies
NDP	National Development Plan
OECD	Organization for Economic Cooperation and Development
OG	Open Government
OGP	Open Government Partnership
PB	Participatory Budget
PHA	Plans and Public Housing Agency
PND	Plan Nacional de Desarrollo
SIPA	School of International and Public Affairs
TC	Transparency por Colombia (Colombia Transparency)
UCLG	United Cities and Local Governments
UVA	Las Unidades de Vida Articulada
VAU	The Unidad de Acción Vallecaucana (Vallecaucana Action Unit)

Concepts

Framework	- the cumulation of the research conducted by the SIPA Team that will be used to inform and develop the tool-kit to be used at the municipal level (see Toolkit).
Pillars	- the key areas of focus, under open governance, that Fundacion Corona helped identified.
Toolkit	- a mechanism that would support a municipality or public official, at any level of capacity or development of open governance, to create a successful open governance initiative.
Open Government	- a culture of governance that promotes the principles of transparency, participation, accountability and co-creation in support of democracy and inclusive growth

Executive Summary

In 2011, Colombia joined 79 countries in the Open Government Partnership (OGP), a global initiative that brings together governments and civil society leaders from around the world to create actions plans to make governments more inclusive, responsive and accountable through increased transparency, civic participation, and co-creation of policies. Colombia is currently implementing its third national action plan for open government and is in the process of developing its fourth national action plan.

As Colombia's democracy strengthens as it emerges from more than 50 years of internal conflict, there are opportunities to leverage the country's initial successes in open government, including national level participation in international open government practices. There is a strong legal framework requiring transparency and participation, and a number of elected local officials leading open government implementation. Open government has the potential to strengthen the role of municipalities in Colombia to lead their own development processes, especially in decentralized government systems such as Colombia's.

However, there are a number of institutional and cultural challenges to establishing an open government in Colombia. There is a lack of coordination between different national and municipal government actors in their efforts to promote and implement open government initiatives, and a high level of citizen distrust in government. It is with these factors in mind, and in the interest of strengthening democracy in Colombia, that open government's success and effective implementation is critical.

As a member of the OGP Steering Committee, Fundación Corona has been tasked with designing an implementation tool to drive open government in municipalities across Colombia. Fundación Corona is a Colombian non-profit organization founded 55 years ago, whose mission is to contribute to capacity building to enhance social development, quality of life, and equity in Colombia. The organization believes that connecting citizens with their institutions and creating channels for Colombians to interact and share their perspectives as citizens is essential to achieve social engagement and equity in the country. Fundación Corona has been working in the open government sphere, as institutional responsiveness to citizens' demands is a core element to promote effective citizen engagement.

In spring 2019, the SIPA team worked with Fundación Corona to develop the empirical foundation for an open government adoption toolkit for municipal governments in Colombia. The goal of the research and toolkit are to bridge the gap between the national level goals for open government and municipal level implementation. This report provides a detailed explanation of the theoretical framework of open government as well as a history of its worldwide growth. The report provides an international benchmark of open government best practices by identifying successful international experiences with open government, particularly at the municipal level. It also considers opportunities for open government in Colombia

including the strengths and weaknesses of current policy frameworks and initiatives. Finally, the report contains a comparative analysis of the common variables in each case study, and a suggested empirical process for implementing open government initiatives at a local level. The report concludes with a series of recommendations for how to begin the implementation process in a way that thoroughly engages a wide range of stakeholders, and builds towards achieving open government goals in a sustainable manner.

The benchmarking of international best practices in open government and the co-creation of a framework will assist Fundación Corona in creating strategies for Colombian municipalities to increase citizen engagement. At the national level, the project aims to contribute to the successful implementation of the Open Government Partnership Third National Action Plan, the development of Colombia's Fourth National Action Plan, and the knowledge base of open government strategies and research.

Section 1: Project Objectives & Workplan

The purpose of this project is to develop a set of recommendations for government institutions at the municipal level in Colombia to establish sustainable open government strategies. The recommendations are derived from successful international open government initiatives, which were selected based on their potential application to medium-sized cities in Colombia. The findings and recommendations of this report will serve as a framework for the development of an easily adoptable toolkit for Colombian municipalities and local government institutions, which will be developed by Fundación Corona and Exituto.

The two main objectives of the project are:

- (1) **Develop an international benchmark of open government best practices**, by identifying successful international experiences at the municipal level, considering their applicability to the Colombian context, and detailing the current strengths and weaknesses of current open government initiatives in Colombia.
- (2) **Create an empirical framework for an open government toolkit for municipal governments in Colombia**, by conducting a comparative analysis of all initiatives, and developing an overall methodological process that can be adapted to individual cities.

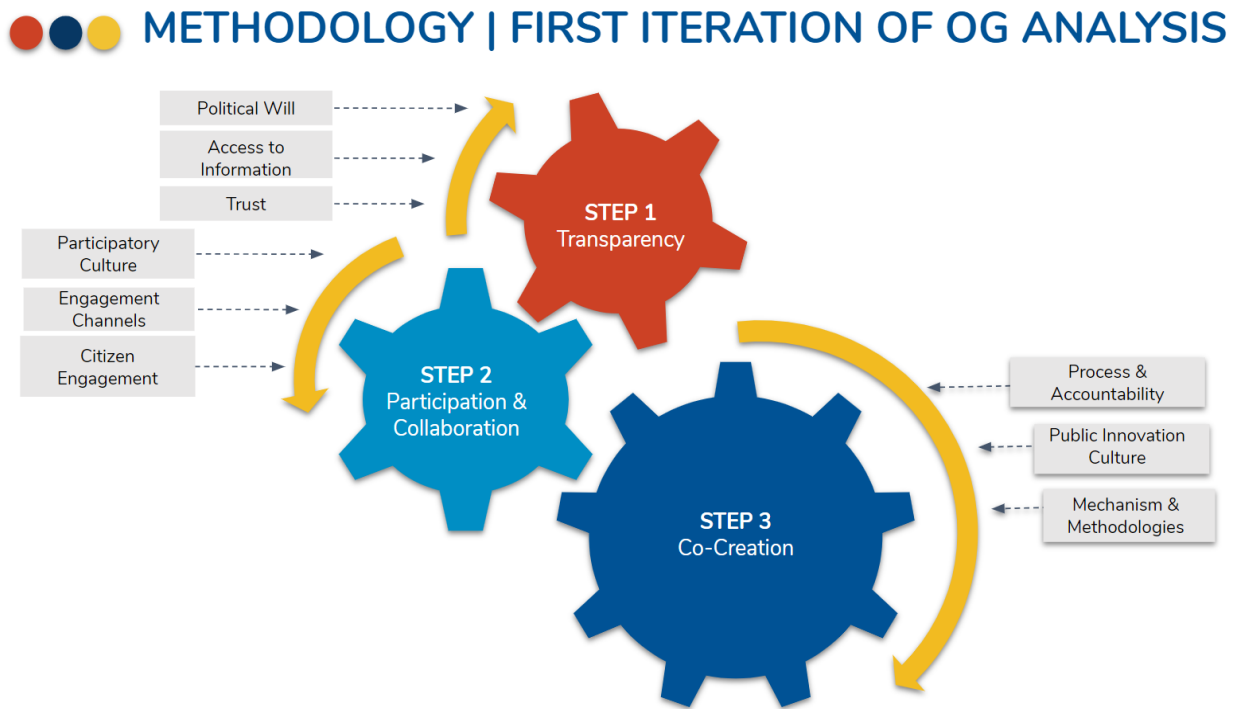
In order to execute these objectives, the team created a work plan that was divided into four phases: (1) literature review and understanding of open government in the Colombian context, (2) benchmark of international case studies, (3) field work in Colombia and (4) consolidation of findings and development of recommendations. The SIPA team also developed a more detailed explanation of our research process. (See Annex A).

a. First phase: Understanding open government and the Colombian context

In this phase, the team conducted a literature review to establish the academic open government framework for our project. The team reviewed the Colombian context related to open government, including the legal, institutional, and policy frameworks; the current political and socio-economic situation; and identified key stakeholders. During this phase the team also worked with Fundación Corona to clarify the main concepts for the project and agree on the action plan.

b. Second phase: Learning from practitioners and users of open government

In the second phase, the team conducted 26 virtual and in-person interviews with relevant Colombian and international stakeholders from government agencies, academia, and civil society (See Annex B). In addition to the interviews, the team researched international open government experiences and conducted an initial comparative analysis that resulted in a comprehensive list of “Key Open Government Variables”.¹ Based on the input gained from the interviews, the team identified the leading characteristics of open government that were present in most of the cases and were identified as critical to the success of open government initiatives. The team concluded this phase with the development of “Initial considerations for an open government framework for cities of Colombia” (See Figure 1) which was the team’s first attempt to design an open government framework for Colombia. This initial design was further enhanced and completed in phase four.



(Figure 1: Methodology, First Iteration of Open Government Analysis)

Source: Created by SIPA Team

¹Phases of open government were developed based on literature and case studies of countries. See "Phase 1: Ideation" "Phase 2: Implementation Basics" "Phase 3: Open Data" "Phase 4: Civic Engagement" "Phase 5: Co-Creation" "Phase 6: Sustainability"

c. Third phase: Field work in Colombia

During this phase the team integrated desk research with the local reality on the ground and refined the team's knowledge of the Colombian context. The input and perspectives gained in Colombia were fundamental for the project. Despite the valuable interviews conducted in the second phase with key stakeholders in Colombia, the day to day interaction with citizens and the additional interviews conducted in Colombia significantly clarified the direction of the project. The team conducted meetings with national and municipal level government actors, civil society organizations, and relevant open government actors. Additionally, the trip allowed for the team to align findings and ideas for the framework with both Fundación Corona and Extituto, the group who will be using our recommendations to develop the open government toolkit for municipalities in Colombia.

d. Fourth phase: Consolidation of the “Variables Tool”, development of the open government process and final recommendations

The team refined the “Variables Tool” after returning from field work in Colombia. (See Section 5.2. [Municipalities Variables Tool: The process for open government](#)). The field work in Colombia allowed the team to validate the variables identified as fundamental to successfully implement an open government strategy. As a next step, the team worked on benchmarking the international cases, conducting a comparative analysis of the refined variables from the tool. The result of this analysis was the creation of “The Open Government Implementation Process for Municipalities in Colombia”. More details on how this process was developed will be found in Chapter 7 of this report. The team concluded this phase with the consolidation of our recommendations based on the process and other general findings which will be detailed in Chapter 8.

Section 2: Background

a. Open Government Concepts and Definitions

According to the Organization for Economic Co-operation and Development (OECD), citizens around the world are increasingly seeking public administrations that are more transparent, accountable and responsive, and expect public policies and services that address their needs and concerns. In this context, open government initiatives and strategies are fundamental to enforce the relationship between citizens and public officials, and to increase citizens' trust in government.

The OECD defines **open government** as, "A culture of governance that promotes the principles of transparency, integrity, accountability and stakeholder participation in support of democracy and inclusive growth."² The four pillars of open government identified by the OECD are **transparency, integrity, accountability, and stakeholder participation**. Transparency is the disclosure and subsequent accessibility of relevant government data and information; integrity is the consistent alignment and commitment to agreed ethical values, principles and norms for elevating and prioritizing the interest of the public; accountability is the government's responsibility and duty to inform its citizens about the decisions it makes as well as to provide an account of the activities and performance of the entire government and its public officials; and stakeholder participation is involvement in the design, implementation, and evaluation of policy.

Benefits of an open government include establishing greater trust in government; ensuring better government services at lower cost; raising compliance levels; ensuring equality of access to public policymaking; fostering innovation and new economic activity; and enhancing government effectiveness by leveraging its citizens' knowledge and resources.

The concept of transparency and access to government information is an idea that emerged in Europe during the 17th and 18th centuries. Currently, there are various initiatives and movements that work worldwide promoting open government and citizen engagement strategies. The Open Government Partnership (OGP) and the OECD Networks on Open and Innovative Government are platforms that bring together government reformers, civil society leaders, the private sector and multilateral institutions to exchange ideas, experiences, and knowledge to build stronger institutions in open government and citizen participation, digital governance and open data, and public sector innovation.

As the concept of open government gains momentum around the world, some countries are moving beyond focusing open government strategies on the executive branch towards an

²⁴OECD Legal Instruments." <https://legalinstruments.oecd.org/en/instruments/OECD-LEGAL-0438> (April 22, 2019).

integrated approach that includes the legislature, judiciary, subnational governments, and institutions – an open state. The OECD defines an **open state** as, “When the executive, legislature, judiciary and independent public institutions on all levels of government - recognizing their respective roles, prerogatives, and overall independence according to their existing legal and institutional frameworks - collaborate, exploit synergies, and share good practices and lessons learned among themselves and with other stakeholders to promote transparency, integrity, accountability, and stakeholder participation, in support of democracy and inclusive growth.”

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b. Open Government Partnership/Alianza Gobierno Abierto

The Open Government Partnership (OGP) /Alianza Gobierno Abierto (AGA) is a global initiative bringing together governments and civil society leaders to create actions plans to make government more inclusive, responsive and accountable. The OGP was launched in 2011 with the endorsement of the Open Government Declaration by 8 founding countries, and now has 79 participating member states.

OGP’s vision is that, “More governments become sustainably more transparent, more accountable, and more responsive to their own citizens, with the ultimate goal of improving the quality of governance, as well as the quality of services that citizens receive.”⁴

Since the wave of democratization in the 1980s and 1990s, most countries in Latin America are stable democracies with free and fair elections.⁵ However, they are still facing challenges related to the quality of democracy that involves various factors, such as social accountability, protection of human rights, broad representation and participation, and improved public services. In a context of economic growth, Latin American governments have faced increasing demands from citizens to provide transparency, accountability and improved public services. Civil society organizations (CSOs) have taken an active role in seeking transparency in laws, fair access to services, and public integrity reforms. Latin American countries have also shown progress in designing and implementing public sector reforms based on the principles of open and innovative government.⁶

⁴ Mission and Strategy | Open Government Partnership. (n.d.).

<https://www.opengovpartnership.org/mission-and-strategy> (April 17, 2019).

⁵ Science, London School of Economics and Political. “Perspectives on Open Government in Latin America.” London School of Economics and Political Science.

<http://www.lse.ac.uk/ideas/research/updates/open-government.aspx> (April 17, 2019).

⁶ “Network on Open and Innovative Government in Latin America and the Caribbean - OECD.” <http://www.oecd.org/gov/open-government-in-latin-america-and-caribbean.htm> (April 17, 2019).

In this context, the OGP has become the leading forum in Latin America that brings together CSOs and regional networks working on different aspects of the transparency and accountability agenda in the region.⁷ It provides a platform for the development of effective methods of engagement between government and civil society based on transparency, participation and collaboration.

The pillars of open government defined by the OGP are slightly different than those of the OECD. The OGP's three pillars are transparency and accountability; collaboration; and participation.

c. Open Government Framework in Colombia

Since the launch of the OGP in 2011, Colombia expressed interest in participating in the initiative, and in 2012 the country presented the first action plan related to improving public services, increasing public integrity, and better management of public resources.⁸ As of 2012, the perspectives of different social organizations have been articulated through the AGA Colombia Civil Society platform with the purpose of participating in the implementation and follow-up process of this initiative.

Participation in the OGP creates concrete benefits for Colombia; it facilitates cooperation between the national government and civil society, placing emphasis on guaranteeing a real respect for fundamental rights and ever higher levels of quality of life.⁹

In Colombia, as pointed out by the National Citizens Commission for the Fight Against Corruption, there has been positive progress in terms of strengthening electronic information dissemination platforms such as the Portal of the Colombian State, as well as a greater development of online government. The approval of Law 1712 on Transparency and Access to Public Information, the Integral Policy to Combat Corruption (CONPES 167), the Colombia Compra Eficiente program, the creation of the Mapa Regalías platform, and the beginning of the process of implementation of the Extractive Industries Transparency Initiative (EITI) are also positive steps in advancing open government in Colombia.¹⁰

The 2018 to 2020 Colombia OGP Steering Committee, comprised of members of civil society and government, including Fundación Corona, Somos Mas, Datasketch, Seamos, the Administrative Department of Public Function, MinAmbiente, MinHacienda, the Ministry of Information Technologies and Telecommunications (MinTIC), and the Mayor's Office of Cali. Together, they are responsible for strategically guiding the development and monitoring of the

⁷ Science, London School of Economics and Political. "Perspectives on Open Government in Latin America." *London School of Economics and Political Science*.

<http://www.lse.ac.uk/ideas/research/updates/open-government.aspx> (April 17, 2019).

⁸ "Alianza Gobierno Abierto." <http://agacolombia.org/la-alianza-en-colombia> (April 15, 2019).

⁹ Ibid

¹⁰ Ibid

action plans of the government of Colombia, within the framework of the open government principles.¹¹

The Committee's responsibilities include promoting the active participation of civil society in the formulation, follow-up, and implementation of action plans as well as the design of strategies to raise awareness of open government. Fundación Corona is committed to deliver on what was agreed on in the third national action plan. This year, the Committee will develop the fourth national action plan, which will include the perspective of the local governments.

i. Legal framework for open government in Colombia¹²

The legal framework is one of the foundations of successful implementation and sustainability of open government principles. Colombia's extensive legislation provides the basis for a transparent, accountable, participatory, and open government. At the international level, in addition to the OGP agreement, Colombia has ratified its commitment to an open government by signing the Ibero-American Electronic Government Charter (*Carta Iberoamericana de Gobierno Electrónico*), the Ibero-American Charter on Citizen Participation (*Carta Iberoamericana de Participación Ciudadana*), and anti-corruption conventions such as the United Nations Convention to Combat Corruption, the Inter-American Convention against Corruption and the Follow-Up Mechanism for its Implementation (*Convención Interamericana contra la Corrupción y el Mecanismo de Seguimiento de su Implementación, MESICIC*). Colombia is also a signatory to the OECD Anti-Bribery Convention and has presented its action plan for becoming a member of the Extractive Industries Transparency Initiative (EITI).¹³

Colombia's Law on Transparency and Access to Information, Anti-Corruption Statute, and different e-government decrees are in line with international best practices. However, similar to other Latin American countries, Colombia faces the challenge of effective implementation and enforcement, mainly at a local level.

Since 1991, Colombia has demonstrated its commitment towards open government by developing a legal framework of relevant documents. Colombia is one of 11 Latin American countries that have included open government and transparency provisions in their constitutions, which is a key element to ensure access to public information as a public right. The evolution of Colombia's open government legal framework began with the 1991 National Constitution, followed by the 1994 Law on Civil Participation, and the 1995 Anti-Corruption Statute. These measures were followed by the 2000 Presidential E-government Directive, the 2008 E-government Decree, the 2011 New Anti-Corruption Statute, the 2012 New Anti-Procedure Law, and the 2014 Law on Transparency and Access to Information.¹⁴

¹¹ "Gobierno Abierto En América Latina."

http://www.oecd.ilibrary.org/governance/gobierno-abierto-en-america-latina_9789264225787-es (April 11, 2019).

¹² Ibid

¹³ Ibid

¹⁴ Ibid

The Statutory Law on Transparency and Access to Public Information (Law 1712 of 2014) was approved by Congress in June 2012 and declared valid by the Supreme Court. Similar to the Transparency Law, the Civil Participation Law is an effective mechanism for civil participation and fundamental for an open and participatory government. In Colombia, Law 134 of 1994 foresaw the participation mechanisms that exist in most participatory and representative democracies such as legislative initiatives, referendum, revocation of mandates, and plebiscite, among others. Over time, with the natural evolution of society and the increasing use of technological tools for participation, a new participation law was drafted by the Ministry of the Interior with the participation of civil society. The Law of Civil Participation was approved by Congress in 2012, but due to procedural failures identified by the Constitutional Court it was not approved until 2015.¹⁵

The Statutory Law on Civil Participation (Law 1757 of 2015) is an important advance in the legal framework for the promotion, exercise, and protection of the right of Colombians to participate in public affairs - a fundamental right in the Colombian Constitution. The Ministry of the Interior is the government entity in charge of the development and application of the law, and is responsible for its regulation, diffusion, application, and monitoring. Similarly, the Ministry must create a favorable environment so that citizens not only take ownership of the new norm but also make use of the mechanisms created to promote citizen participation. For this to be successful, it is essential to develop strategies of dissemination and pedagogy.¹⁶

The e-government and open data laws in the Colombian open government legal framework aim to improve citizen access to information, enhance participation and collaboration, and create important economic opportunity.¹⁷ Since 2000, Colombia has been working on a digital government legal framework to reach the level of OECD countries.¹⁸

Decree 2693 aims to encourage the use of open government data by third parties, in order to “create new value-added services, with commercial or non-commercial purposes, for entities, citizens and businesses,” and to “promote the use of social networking and collaboration platforms for transparency, participation and collaboration.”¹⁹

In 2012, Decree 2618 established the position of Deputy Minister for IT and Information Systems within the MinTIC. The Deputy Minister’s duties include providing guidelines for the implementation of policies related to e-government and open data, as well as serving as the country’s Chief Information Officer (CIO).

¹⁵ Ibid

¹⁶ “Ley 1757 de 2015 - Gestor Normativo Función Pública.”

<http://www.funcionpublica.gov.co/eva/gestornormativo/norma.php?i=65335> (April 15, 2019).

¹⁷ “Gobierno Abierto En América Latina.”

https://www-oecd-ilibrary-org.ezproxy.cul.columbia.edu/governance/gobierno-abierto-en-america-latina_9789264225787-es (April 22, 2019).

¹⁸ Ibid

¹⁹ Ibid

ii. Institutional Framework for Open Government in Colombia

In addition to a strong legal framework, a well-functioning institutional framework is essential to ensure accountability and successful policy outcomes. Overlapping competencies and coordination challenges between institutions can complicate the design and implementation of coherent policies. This is particularly true for national open government strategies whose design usually involves many different actors.

Historically in Colombia, many stakeholders have adopted independent initiatives with open government components, such as anti-corruption strategies, e-government, and others, but with weak coordination. This issue has improved since Colombia joined the OGP. Chapter 5 of the 2015 OECD document on open government in Latin America offers a detailed institutional framework for open government in Colombia. Highlighted below are some of the key institutions and their functionalities related to open government in Colombia:

The OGP Steering Committee - is responsible for overseeing initiatives taken within the framework of the OGP. The Steering Committee meets every three months and defines the strategy for the development, implementation, monitoring and dissemination of the country's OGP Action Plan.

The Secretariat of Transparency - At the national level, the Presidency of the Republic, represented by the Secretariat of Transparency, is responsible for the implementation and coordination of open government policies in the country. Since its creation in 2011, the Secretariat of Transparency has taken institutional leadership for the country's OGP Action Plan. The Secretariat's closest government collaborators in open government matters are the Ministry of Information Technology and Communications (MinTIC), the National Planning Department (DNP) and the Civil Service Administration Department (DAFP).

The Ministry of Information Technologies and Communications (MinTIC) - is responsible for formulating the open data and e-government strategies of the Colombian government and for monitoring their implementation across the public sector. Under the OGP framework, the MinTIC's e-government office is in charge of implementing different commitments that have an e-government or open data component. The Ministry's technical support for public institutions has been crucial to support the development of open government, and particularly for e-government and open data programs across the Colombian public sector.²⁰

National Planning Department (DNP) - is the administrative department within the executive branch that reports directly to the President of Colombia. DNP is a technical organization that promotes the implementation of a strategic vision of the country's social,

²⁰ Ibid

economic, and environmental policies. It also designs, guides, and evaluates national public policies and manages and allocates public investment. DNP's multidimensional workstreams touch several open government related policy areas.²¹

Public Ministry - Three offices are part of this Ministry; the Inspector General (*Procuraduría General de la Nación*), the Ombudsman (*Defensoría del Pueblo*), and the District and Municipal (*Personerías*). As per the Constitution, this Ministry is in charge of defending and promoting human rights, protecting the public interest, and overseeing the official conduct of public servants. It is also the guarantor of access to information.²²

Comptroller General - is an independent government institution that acts as the highest level of fiscal control in the country. It contributes to open government by overseeing the proper allocation of public funds and by assuring a continuous improvement in fiscal management of public entities.

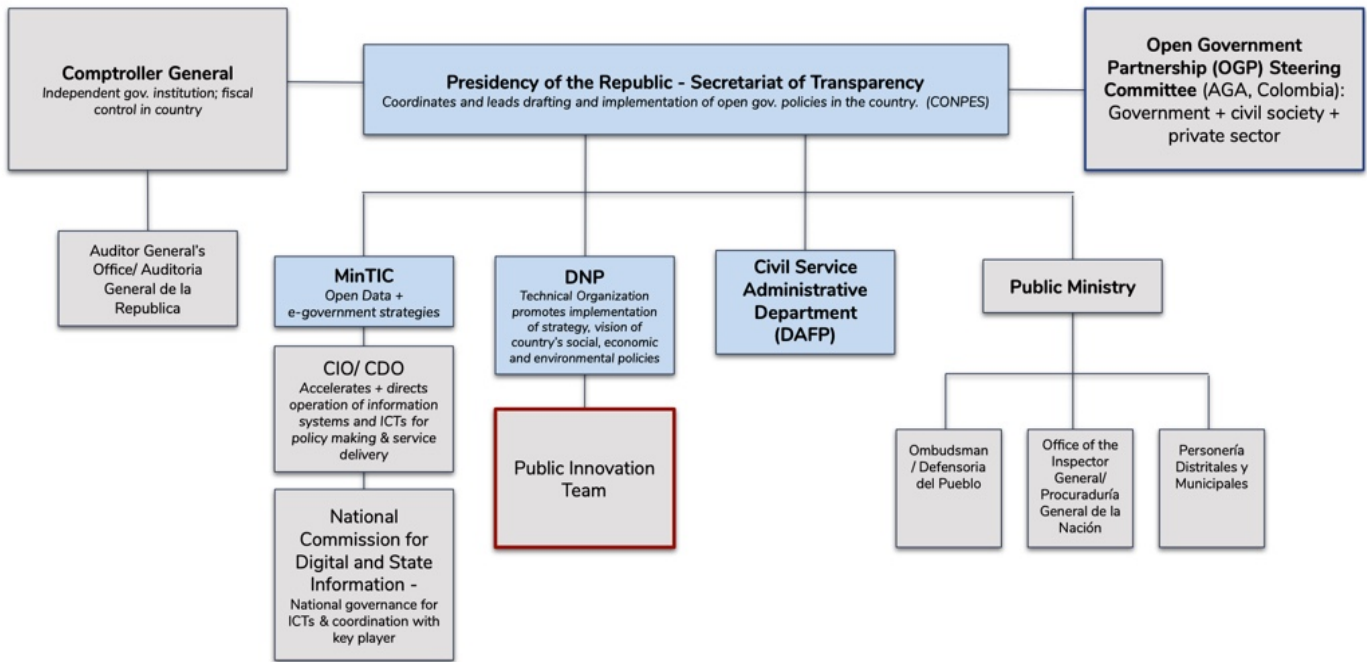
Civil Society Organizations - are involved in the design, implementation, and evaluation of open government policies on a case-by-case basis. They represent different areas of open government - for example Transparency for Colombia focuses on transparency and anticorruption policies; the Foundation for Liberty of the Press works mainly on access to information; Fundación Corona and Somos Mas are experts in the area of civil participation, education for employment, and education for citizen participation.²³

²¹ Ibid

²² Ibid

²³ Ibid

Institutional Framework for Open Government - National Level*



(Source: Created by the SIPA Team)

iii. Policy Framework for Open Government in Colombia

Though open government concepts are rather new, open government aspects have been included in countries' policies for a long time. In Colombia, the discussion of the first access to information policies started in the 1980s, and the e-government strategy began in the early 2000s. Colombia's membership in the OGP is an opportunity to simplify policy dynamics and unify the dispersed access to information, open data, e-government, anti-corruption and transparency sector plans under a common "open government roof."²⁴

Some of the core elements of Colombia's policy framework are; 1) National Development Plans, which are the Presidential guidelines, 2) OGP Action Plans and 3) the government's open data strategy.

The National Development Plan (NDP) is the framework for the term in office of a President.²⁵ The latest NDP 2018-2022, "Pact for Colombia, Pact for Equity" includes for the first time a section that directly supports open government. Section VI, "Pact for Science, Technology and Innovation: a system to build knowledge of the Colombia of the future; D. Public innovation for a

²⁴ Ibid

²⁵ Ibid

modern country (*Pacto por la Ciencia, la Tecnología y la Innovación: un sistema para construir el conocimiento de la Colombia del futuro; D. Innovación pública para un país moderno*), acknowledges the importance of public innovation to create public value.²⁶ Public innovation is presented as an experimentation process where exploration, testing and iteration are phases of a process that can contribute to finding effective public innovation solutions. Traditional approaches to public challenges no longer respond to the needs of citizens and the government. Solutions need to be tested at an early stage of development for evaluation and feedback. This approach saves time, and increases the possibility of creating solutions that respond to the real needs of the government and citizens. Details can be found in the NDP 2018-2022, “Pact for Colombia, Pact for Equity.”

d. Client Organization

Fundación Corona (the Foundation) is a Colombian non-profit organization founded 55 years ago, whose mission is to contribute to capacity building to enhance social development, quality of life, and equity in Colombia. They have been tasked with designing an implementation tool to bring open government principles to action in municipalities across Colombia.

i. Organizational Background

Fundación Corona seeks to create innovative, replicable, integral, and sustainable models that will improve Colombians’ quality of life.²⁷ The Foundation considers itself a ‘second floor’ organization, that enables collaboration among partners, supports collective initiatives and generates knowledge through its different interventions. This ‘second floor’ condition allows the Foundation to promote social projects of high strategic value, and build the necessary alliances to create collective impact between civil society, the private sector, and the national government. In 2013, Fundación Corona redefined its strategy, focusing on education as the main vehicle to create opportunities in vulnerable populations and to promote development and equity. Over the next ten years, Fundación Corona will focus its efforts in three lines of action: (i) education to strengthen the labor market (ii) education to increase citizen engagement and (iii) innovation.

Fundación Corona believes that connecting citizens with their institutions and creating channels for Colombians to interact and share their perspectives as citizens is essential to achieve social engagement and equity in the country. To achieve this, the Education to Increase Citizen Engagement initiative seeks to promote the participation of Colombian citizens in the construction of their quality of life based on an open dialogue with governments and institutions. The three focus areas for citizen engagement are (1) collective leadership, (2)

²⁶ “Bases Del Plan Nacional de Desarrollo 2018-2022.” <https://www.dnp.gov.co/Plan-Nacional-de-Desarrollo/Paginas/Bases-del-Plan-Nacional-de-Desarrollo-2018-2022.aspx> (April 16, 2019).

²⁷ “Fundación Corona.” <http://www.fundacioncorona.org.co/> (April 22, 2019).

citizen vigilance, and (3) open government. This report is an attempt to offer Fundación Corona guidelines for recommendations to enhance its open government focus area.

In 2017, Fundación Corona's two main initiatives under open government, specifically digital governance, were Ciudadatos²⁸ and SeamOS.²⁹ Ciudadatos is an open data platform that offers information on the quality of life in cities, and SeamOS is a civic tech digital platform to increase citizen participation in public policies. The Foundation is moving toward more actionable strategies for open government that will ensure the active participation of citizens in the development and analysis of public policies.

In 2017, Fundación Corona worked with 162 partners and stakeholders, in 20 regions of the country, and had an annual budget of approximately \$3.2 million dollars.³⁰ The Foundation is managed by Daniel Ricardo Uribe Parra (Acting Director), and the staff is divided into three action areas and general administration. For the purpose of this project, our main contacts at the Foundation were Mónica Villegas Carrasquilla (Project Manager), Esteban Pelaez (Project Coordinator), and Natalia Margarita Borrero Guerrero (Planning Coordinator).

Fundación Corona's core objectives are (1) education to advance equitable employment for vulnerable populations and (2) education to promote the development of an engaged and participative citizenship involved in the improvement of their own quality of life. As part of the second working area Fundación Corona is running pilot programs in three major cities in Colombia: Buenaventura, Bogotá and Cali.

At the national level, as a member of Colombia's national Open Government Steering Committee, Fundación Corona advocated for a transformational approach to policy making and open government strategies to be included in the 2019 - 2022 National Development Plan (NDP). The proposed article was included in the (NDP) as it was drafted.

Fundación Corona is aware of the challenges of implementing open government strategies in Colombia and the current gaps between the aspirations for open government, the existing legal framework, and the National Development Plan, among others. Fundación Corona is seeking to learn how to overcome these challenges from other successful international open government experiences and how they are applicable to the Colombian context. This creates an opportunity for Fundación Corona to partner with Columbia University and other international and local actors to create a benchmark of open government best practices in other regions of the world. The benchmark could serve as a reference that can be brought to local governments across Colombia and allow them to implement successful and sustainable open government strategies.

²⁸"Ciudadatos." <http://ciudatos.com/> (April 22, 2019).

²⁹"SeamOS." <https://seamos.co/> (April 22, 2019).

³⁰Fundacion Corona. 2017. "Un Agenda Dedicada Al Pais. Informe Anual 2017." <http://informe2017.fundacioncorona.org/PDF/completo.pdf>.

ii. Fundación Corona Open Government Pillars

Fundación Corona's work in open government is focused on an advanced view of the pillars of open government, which serve as the focal point of this workshop's research. Fundación Corona's three pillars of open government are **transparency, participation and collaboration, and co-creation**.

Transparency is defined by Fundación Corona as a basic governance principle that encourages public institutions to promote accountability and value creation by making information available to the public. Increased transparency is not an end goal by itself, but it is an essential step to improve coordination, accountability and effectiveness.³¹ Increased transparency provides the basis for public participation and collaboration in the creation of innovative, value-added services. Public institutions become more transparent and accountable to citizens, promoting business creation and citizen-centric services, by making datasets available, and encouraging the use, reuse and free distribution of data.³²

Participation and collaboration principles promote horizontally citizen engagement and develop an operating environment that enables participation in the civic sphere. This pillar focuses on feedback from citizens on government services. The goals of collaboration and partnership are to promote civic engagement via formal public participation, and develop an operating environment that enables participation in the civic sphere. The baseline objectives are to open up decision-making throughout the policy cycle to all interested members of the public, while improving the transparency and process of formal democratic processes such as citizen proposals, elections, and budgetary decisions.

Co-creation - the most advanced pillar - is a long-term and ongoing process where the government is seen as a collaborative platform to include citizen participation in the public policymaking process, and all actors are involved in contributing to public policy. The precondition to this pillar is the existence of a space or body of communication. This process demonstrates public innovation and transformative policymaking. Progress is made in this pillar by identifying and creating policies of public value.

³¹ <https://iatistandard.org/en/about/>

³² "Open Government Data - OECD."

<http://www.oecd.org/gov/digital-government/open-government-data.htm> (May 17, 2019).

Section 3: Open government at the local level in Colombia

a. Motivations

Colombia entered the Open Government Partnership with the goals of conflict resolution, violence reduction, anti-corruption, and increased trust in government in mind, as a method to ensure a lasting peace.³³ Reforms spurred by open government initiatives will build state and citizen capacity to tackle corruption and peacebuilding, as an avenue to strengthen a democratic setting in which Colombians are free to exercise their fundamental rights as citizens without the threat of violence. In Colombia, sustained peace and true participatory democracy are mutually dependent on one another.

Within Colombia, it is essential to remember that the process of achieving a more transparent, participatory government has been a critical tool of conflict resolution and transitional government in the aftermath of the internal conflict. Decades of violence, corruption, and severe inequality had broken social cohesion in Colombia and deeply affected personal and institutional trust. The final agreement between the Colombian Government and FARC explicitly states that strengthening Colombian democracy is fundamental to long-lasting peace.

Throughout the peace process, citizens had an active role in co-creating government to lead to a state of peace, through *mesas de negociacion* - regional roundtables where government officials met with different groups affected by the conflict, who spoke to concerns affecting their communities and advocated for specific reforms.³⁴ The peace agreement refers to citizen participation in the allocation of funds as a mechanism to promote sustainable peacebuilding through local decision-making.³⁵ It placed emphasis on creating avenues of participation for groups that had traditionally been prevented from having a voice in governance, in fact including more than forty participatory initiatives.³⁶ A pivotal element is the promise to promote the participation of previously marginalized social organizations to build a more representative system. In this spirit, FARC agreed to transition into a political party.³⁷

³³“Action Plan Colombia OGP_1 | E Government | Transparency (Behavior).” Scribd.

<https://www.scribd.com/document/91975917/Action-Plan-Colombia-OGP-1> (April 22, 2019).

³⁴ de Waardt, Mijke, and Sanne Weber. 2019. “Beyond Victims’ Mere Presence: An Empirical Analysis of Victim Participation in Transitional Justice in Colombia.” <https://doi.org/10.1093/jhuman/huz002> (April 23, 2019).

³⁵ Dajer Barguil D. 2017. Charting Uncharted Waters: Participatory Budgeting as a Novel Transitional Justice Guarantee of Non-Recurrence of the Conflict in Colombia? GIGAPP Estudios Working Papers. <https://www.oidp.net/docs/repo/doc207.pdf> (April 21, 2019)

³⁶ Colombian Government & FARC. (2016). Acuerdo final para la terminación del conflicto y la construcción de una paz estable y duradera.

³⁷Feldmann, Andreas E., and Andreas E. Feldmann. “Will Colombia’s Peace Accord Boost Its Democracy?” *Carnegie Endowment for International Peace*. <https://carnegieendowment.org/2017/07/13/will-colombia-s-peace-accord-boost-its-democracy-pub-71524> (April 22, 2019).

Beyond the peace agreement, open government serves to address persistent issues of inequality and corruption that have long plagued Colombia. The unequal distribution of income and welfare resources in Colombia has continuously increased over the last 40 years. Colombia's Gini coefficient, a statistical measure of income distribution, was 50.8 as of February 2018, making it the second most unequal country in Latin America.³⁸ One of the underlying causes of this inequality is high levels of structural government corruption. According to Transparency International's 2018 Corruption Perceptions Index, Colombia has become more corrupt over the past several years, going from 94th in 2012 to 99th in 2018.³⁹ While many changes to Colombia's democratic system were originally included in the peace accord, simultaneous commitments to open government have sought to increase accountability and implementation of open government principles at the national level.

b. General Overview of Colombian Municipalities

Article 311 of the current Political Constitution of Colombia and Law 136 of June 2, 1994 defines a municipality as the fundamental territorial entity of the political-administrative division of the state, with political, fiscal and administrative autonomy within the limits indicated by the constitution and the laws of the republic. A municipality's objectives are the efficient provision of public services, the development and maintenance of the infrastructure required for local progress, the organization of the municipality's territory, the promotion of participation of its inhabitants to gain their input toward the management of their interests, and the overall well-being of the community.⁴⁰

The territorial characterization created by the National Department of Planning (DNP) in 2015 divides Colombia into 1,100 municipalities, 32 departments, and Bogotá as a separate capital entity. In the "Departmental and Municipal typologies: A proposal to understand Colombian territorial entities" (*Tipologías Departamentales y Municipales: Una propuesta para comprender las entidades territoriales colombianas* in Spanish),⁴¹ DNP presents a proposal for a new typology for municipalities in Colombia. The purpose is to facilitate the identification of the potential, shortcomings, and needs of the territories; identify opportunities and weaknesses to achieve higher levels of development and competitiveness at the local and regional level; strengthen decentralization; motivate regional alliances; and align public management to the needs of the territories.

³⁸ The World Bank. "GINI Index (World Bank Estimate) | Data."
<https://data.worldbank.org/indicator/SI.POV.GINI> (April 21, 2019)

³⁹ "Corruption Perceptions Index 2018 - Transparency International."
<https://www.transparency.org/cpi2018> (April 22, 2019).

⁴⁰ "División Político Administrativa."
<https://www.dane.gov.co/index.php/72-espanol/clasificaciones/geografica/488-division-polistico-administrativa> (April 22, 2019).

⁴¹ "Tipologías."
<https://www.dnp.gov.co/programas/desarrollo-territorial/Estudios-Territoriales/Estudios-y-Ejercicios/Paginas/Tipologias.aspx> (April 22, 2019).

The typology was made from the common characteristics of each municipality and department in relation to six themes that specify the territorial conditions: urban-regional functionality, economic dynamics, quality of life, environment, security, and institutional performance. The analysis concluded that 68 municipalities in the country have a more favorable development environment, which is described as 'robust'; 320 are in the least favorable environment, described as 'early' development; and 712 have conditions of 'intermediate' development.⁴²

Robust Development Environment is the highest scale and represents 6% of the total 1,100 departments. These municipalities have a high level of participation in the national economy and they concentrate a large part of the country's urban population.

Intermediate Development Environment represents 65% of municipalities. In general, they are intermediate cities with relevance in the departmental economy, mainly departmental capitals and municipalities that historically have operated as a regional centrality.

Early Development Environment represents 29% of the departments. They are remote municipalities disconnected from the markets, with very little contribution towards national GDP. Their economies have low levels of specialization and little connection to large urban centers.

For the purpose of this project, the team is following the guidelines given by Fundación Corona with regards to the type of municipalities they are targeting to pilot the open government tool kit. Some of those guidelines include: evidence that the municipality is interested in building an open government and possesses political will towards implementation; the municipality has the infrastructure and connectivity to use technology to enhance citizen participation; and the municipality has the resources and commitment necessary to implement the toolkit. The team did not agree on a concrete list of municipalities with Fundación Corona, because Fundación Corona is waiting until after the Colombian local elections take place in October 2019 to determine which municipalities to work with.

Bogota was not considered as a case study for this project, since as the capital city, it has unique characteristics and different opportunities and challenges in implementing open government than the rest of Colombia's cities. Bogota has a number of open government initiatives, including the work that District the Institute for Participation and Community Action (*Instituto Distrital de la Participación y Acción Comunal* in Spanish) (IDPAC) is doing in the area of citizen participation and collaboration, as well as the work of Veeduría Distrital in the area of transparency and accountability.⁴³

⁴² Ibid

⁴³ For more details on these initiatives refer to the Field Trip section of the Report.

From an academic perspective, the work of Professor José Hernández Bonivento on the development of open government at the municipal level is extremely relevant for this project. In his work “Municipal Open Government in Latin America: from Administrative Proximity to Collaborative Action”⁴⁴ (*Gobierno Municipal Abierto en América Latina; De la Proximidad Administrativa a la Acción Colaborativa* in Spanish) he mentions that many of the social innovations in Latin America that exemplify the benefits of open government have arisen from the municipal and regional levels, given the possibility they have of rapidly affecting the daily lives of citizens.

The discussion of the possibilities of decentralization from the national government are not new. The shift to opening of information and involvement of social actors in the decision making of their territories has led to the adoption of new strategies to implement the use of new technologies and open government mechanisms at municipal levels. Centralism is a historical feature and widespread in the region, even in federal countries, given the need to create a sense of nationhood in new independent republics. This has led to a historical dependence of the municipalities on the central government in political, economic and administrative aspects, while each region and municipality has its own set of unique characteristics.

A key second characteristic is that Latin America does not have as many municipalities relative to population size as other regions of the world. Hernández Bonivento uses France as an example to demonstrate this - France has 36,000 municipalities, while in Latin America, there are less than 16,000 municipalities, even though countries such as Brazil, Argentina, and Mexico have extensive land and large populations.

The third key characteristic of Latin American municipalities is territorial inequality, especially between large cities, rural, and peripheral municipalities. Despite the focus on centralism, each municipality is primarily responsible for generating its own income and administrative capacities. Thus municipalities without the resources or capacity necessary are unable fund and manage a highly functioning local government, as emphasized within the decentralized framework. All of these factors demonstrate the clear challenges for open government at the municipal level in Latin America and Colombia.⁴⁵

c. Barriers and Opportunities

Within the Latin American context, the OECD has identified the top five challenges to implementing open government reforms as: the lack of or insufficient communication and awareness of the benefits of open government reforms among public officials; general resistance to change and reforms in the public sector; lack of or insufficient financial resources;

⁴⁴ “Gobierno Municipal Abierto En América Latina.”

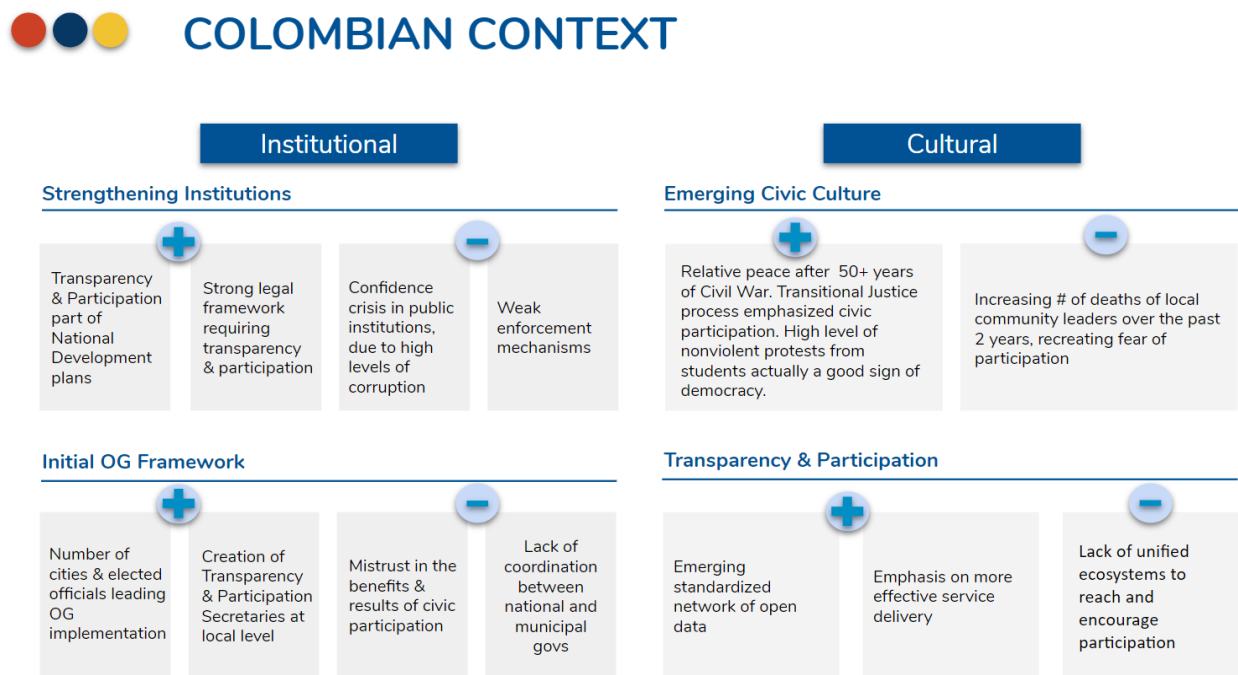
<http://transparencia.municipalmares.go.cr/index.php/noticias/26-gobierno-municipal-abierto-en-america-la-tina> (April 22, 2019).

⁴⁵ Ibid

a culture of secrecy and lack of open government culture in the public sector; and lack of trust between government and citizens and NGOs.⁴⁶

Looking specifically at Colombia, there are both institutional and cultural challenges to establishing an open government. There is significant distrust between the government, civil society, and citizens, as well as a crisis of confidence in public institutions due to high levels of corruption. Many of Colombia's institutions have weak enforcement mechanisms, and there is a disarticulation between formal and informal spaces of participation, as well as an excess of formal participation mechanisms with low effectiveness. Colombia also faces challenges in coordinating open government efforts between different government agencies and different levels of government.

However, Colombia also has many strengths in the open government sphere that it has the opportunity to leverage. There is a strong national legal framework that codifies the open government principles of transparency and participation, and open government concepts have been included in the national development plan. There are also a number of leaders who have been successful in implementing open government initiatives at the local level. The focus of this project is to develop strategies to overcome the contextual challenges for open government in Colombia and leverage opportunities to successfully decentralize open government implementation to the municipal level across Colombia.



(Figure 3: Colombian Context)

⁴⁶ Network on Open and Innovative Government in Latin America and the Caribbean - OECD. (n.d.). Retrieved April 17, 2019, from <http://www.oecd.org/gov/open-government-in-latin-america-and-caribbean.htm>

d. Field Report

In March 2019, the team traveled to Colombia to validate its research on the Colombian context of open government and gain insight on the perspectives of the national government, municipal governments, and civil society on implementing open government at the municipal level. (See the Fieldwork Agenda in Annex C). The field report below includes a summary of the different stakeholders the team met with, as well as key takeaways from each sector. An expanded version of this can be found in Annex D.

i. National Government

The team met with the following institutions that manage open government implementation at the national level:

- National Planning Department - Departamento Nacional de Planeación (DNP)

This executive administrative agency is in charge of defining, recommending and promoting public and economic policy in Colombia. The team met with Mr. Diego Dorado, General Deputy Director for the Territories, Ms. Martha Lucia Villa, Director of Decentralization and Regional Development, and the Digital Development Management team.

- Ministry of Technology, Information and Communications - Ministerio de Tecnologías de la Información y Comunicaciones (MinTIC)

MinTIC is the ministry in charge of information and communication technologies in Colombia. Part of this institution is the Digital Government Directorate, which is in charge of the guidelines and parameters required for public management, online services, access, security, and protection of public information. The team had a meeting with the Director of the Digital Government, Carlos Eduardo Rozo.

- Ministry of Interior - Ministerio del Interior

The Ministry of the Interior is in charge of the relations between the national government and the local administrative divisions; the relations between the executive branch and the legislative branch; and the relations between the government and indigenous, afro-descendant, LGBTQ+, and other vulnerable populations. The team had a meeting with the Deputy Minister for Participation and Equality of Rights, Mr. Juan Carlos Soler.

Key Takeaways from National Government Meetings:

The Colombian national government has taken positive steps to implement open government, including the establishment of a strong legal framework for open government and the inclusion of a section in the latest National Development plan that recognizes open government as a key approach to drive public innovation. However, the decentralized nature of Colombia's government system requires municipal officials to be the actors implementing the open government goals and strategies outlined in national development plans. These structural

limitations mean that the national government cannot require or enforce the implementation of open government at the local level. Instead, it must consider creating incentives and demonstrating the value of open government to local officials, especially with the goal to have local politicians include open government initiatives in their political platform and local development plan.

The team also learned that many national institutions are leading their own individual efforts to advance open government, with varying objectives and effectiveness. There is an opportunity to coordinate those efforts more effectively to create greater visibility and results. Additionally, it is critical for any open government efforts to take into account the varying levels of development and connectivity in Colombia's 1,100 municipalities.

ii. Municipal Government

The team met with the following institutions that manage open government implementation at the municipal level:

- District Institute for Participation and Community Action - Instituto Distrital de la Participación y Acción Comunal (IDPAC)

IDPAC is an autonomous public establishment, part of the Government Sector of the Mayor's Office of Bogotá DC. IDPAC aims to guarantee the right to citizen participation and to promote the strengthening of social organizations.. They promote a democratic culture, knowledge and ownership of mechanisms for citizen and community participation. The team met with the Director of IDPAC, Antonio Hernández Llamas.

- District Oversight - Veeduría Distrital

The team had a meeting with María Camila David, member of the District Oversight ("The Group"). They aim to exercise preventive control, promote social control, strengthen transparency, and fight against corruption, for the improvement of district public management. Their view is that, by 2020, they will be recognized for their high technical and innovative capacity that impacts public management in the district and contributes to increasing trust between citizens and public institutions.

- Municipality of Cali: Secretariat of Territorial Development and Citizen Participation

The Secretariat of Territorial Development and Citizen Participation is the body in charge of promoting the participation of citizens and their access to municipal goods and services.

- Municipality of Cali: The Administrative Department of Municipal Planning

The Administrative Department of Municipal Planning has administrative autonomy. The department is in charge of leading the planning for integral and sustainable development in Cali in the short, medium, and long term, in an articulated and orderly manner, in coordination with different actors.

- Municipality of Cali: The Office of Open Data, Citizens and Transparency

The office of Open Data, Citizens and Transparency, according to law 1712 of 2014, handles the primary or unprocessed data which are in standard and interoperable formats that facilitate their access and reuse. This data can be under the custody of public or private entities that fulfill public functions and should be made available to any citizen, freely and without restrictions. Third parties can also reuse the data and create services derived from them.

- The Unidad de Acción Vallecaucana (Vallecaucana Action Unit, VAU)

VAU is a private nonprofit corporation with the mission of promoting meaningful and active participation of citizens in public affairs, corporate political responsibility, and efficient public institutions. VAU motivates citizens to participate and generate political responsibility in business. The team met with Diana Catherine Cuervo, the Director of the organization.

- Government of Nariño: Feeling, Consulting Firm

Feeling is a consulting firm in Nariño that advised and participated in the open government implementation process in the state. The firm began open government efforts before the current administration, and the elected Governor partnered with them to implement the process since the beginning. The team met with Javier Arteaga, the Director of this firm, and who was involved deeply in the process.

Key Takeaways from Municipal Government Meetings:

The team learned that there are strong open government initiatives occurring at the local level in Colombia that demonstrate the possibility of replicating these successes in additional municipalities. However, the implementation of open government in each municipality must reflect the unique local culture and needs. Open government is a cultural transformation that requires time and consistency - imposing rigid models or initiatives that have worked in other contexts may result in failed efforts.

The political will of elected officials has been key in successful open government initiatives at the local level, as we could see in the cases of Cali and Nariño. In order to ensure that open government initiatives are sustainable beyond a particular administration, they must be institutionalized with government bodies separate from the municipal executive. Capacity building trainings need to be provided for local government officials, and the results of citizen participation and feedback mechanisms need to be demonstrated to citizens to ensure sustained participation. Some municipalities are leveraging public recognition and national awards for open government initiatives to motivate buy-in from local public servants and citizens - this tactic could be replicated in additional municipalities.

iii. Nonprofits & Civil Society

The team met with the following nonprofits and civil society organizations:

- Observatory of Democracy - Observatorio de la Democracia (OD)

The OD is an academic center for research and analysis of public opinion, and political and social behavior. The team met with Mr. Juan Carlos Rodríguez Raga, Associate Professor and Co-director of the OD, Ms. Catalina Nossa, General Coordinator, and Ms. Catalina Barragán, Director of Communications at the Department of Political Science of the Universidad de los Andes. The OD interprets and analyzes opinions, beliefs and attitudes about various structural issues in Colombia to inform government, academics, and the general public.

- Colombia Somos Todos

Colombia Somos Todos is a social enterprise led by James Rodríguez and his family since 2011. The organization aims to promote social changes through games and sports. The organization carries out targeted interventions in under-resourced communities by mentoring children, adolescents, and their families to propose, design, and implement projects. The team met with Sonia Gaitan Riveros, Science and Project Director.

- Transparency for Colombia - Transparencia por Colombia (TpC)

TpC is the national chapter of Transparency International and was established in 1998 as a response from Colombian civil society to a complex political environment with high levels of corruption in public institutions weakening Colombia's democracy. Since then, TpC has led the civil society fight against corruption and for transparency, both publicly and privately, to promote active citizenship, strengthen institutions, and strengthen Colombian democracy. TpC focuses on prevention prior to implementing sanctions. In 2012, Transparency for Colombia withdrew from the OGP Steering Committee to focus on its traditional model for affecting change. The team met with Mr. Andrés Hernández, Executive Director, and Ms. Rosa Inés Ospina-Robledo.

- Konrad - Adenauer Stiftung (KAS)

KAS is a German political foundation that has been working in Colombia for more than 60 years to strengthen democratic institutions and promote respect for human rights, regional integration, political education, and active citizen participation. The team met with Maria Francisca Cepeda, who explained how the foundation's work is oriented towards the principles of freedom, justice and solidarity. KAS develops all of its activities in the country in cooperation with political parties, academic institutions, civil society organizations, the Catholic Church, and the private sector.

- AVINA Foundation - Fundación AVINA (AVINA)

Avina Foundation is a civil society organization that has been working in Latin America for 20 years. The team met with Ms. Ximena Torres Jaramillo, Program Manager. The foundation focuses its work on accomplishing the UN Sustainable Development Goals in Latin America. Its work is focused on 3 programmatic areas: (1) governance and public goods, (2) climate action, and (3) new economic, finance and sustainable business. The Political Innovation Program is particularly focused on strengthening capacities of civil society organizations that want to bring citizens closer to politics, and people that want to work in politics.

- Politics Extitudo - Extitudo de Política (Extitudo)

Extitudo seeks to strengthen public innovation and open government in Colombian municipalities and strengthen mayorships and governorships with regards to political innovation. Currently, Extitudo is trying to build an open government and innovation strategy with each individual municipality. First, they formulate the budget through collective design, which leads to stronger and more and sustainable budgets. Second, they take part in political campaigns, working with political leaders to incorporate open government standards. The third part of their approach is to design and formulate Local Development Plans, working towards their implementation in phase four.

Key Takeaways from Civil Society Meetings:

The team learned that there are myriad civil society initiatives in Colombia aligned with open government principles that are not connected to the national government's open government efforts. Because civil society organizations often have a more nuanced understanding of public perceptions and needs than national and municipal government bodies, there is an opportunity to further leverage these stakeholders in the development of policies to ensure natural accountability and sustainability of open government initiatives. These organizations collect and utilize comprehensive data to understand the needs and concerns of Colombians, but these efforts are uncoordinated.

e) Description of local cases

i. Cali

In 2016, the Cali administration developed an administrative reform of the municipality to promote “transparency, closeness to the population and progress.”⁴⁷ This reform determined a new structure for the central administration and its functions, through the development of an Extraordinary Decree, which is a local level legal framework.⁴⁸ In this reform the municipality changed the Advisory Office of Citizen Participation in the Secretary of Territorial Development and Participation, and instead created the Advisory Office of Transparency as part of the Secretary of Government.

With the aim to leverage citizen participation as a fundamental pillar of the administration, the Secretary of Territorial Development and Participation developed strategies to strengthen dialogue between citizens and the municipal administration. These strategies include the Mayor's visits to the communities; the implementation of 22 centers of local administration

⁴⁷ Alcaldía de Cali (2017), Reforma Administrativa 2016 Alcaldía de Cali, Cercanía, Transparencia, Progreso y Eficiencia <https://www.youtube.com/watch?v=ByR9lqSn4sw> (April 21, 2019).

⁴⁸ “Decreto Extraordinario No. 411.0.20.0516, September 28th, 2016.” http://www.cali.gov.co/aplicaciones/boletin_publicaciones/imagenes_documentos_decretos/czhORRZ7a21475157991.pdf (April 21, 2019).

throughout the city to provide services in a decentralized way; an increase in the channels of communication between citizens and the municipality through a digital platform; a call center; open spaces; the strengthening of formal participation groups such as the *Juntas de Accion Comunal (JAC)* and *Juntas Administradoras Locales (JAL)*; and the development of a digital platform for “social control” to map and monitor the services and programs the municipality is implementing. The development of the platform is still in progress.

One of the main participation strategies was “*Los Territorios progresan contigo*,” a strategy that created dialogue spaces for the Mayor to interact with the community. Through this program, the Mayor visited communities in Cali to meet with citizens organized into working groups. The objective was to listen to citizens and gather their requests to include them in municipality proposals.⁴⁹ The municipality published information about the visits on their website, including the agendas, agreements, and actions that the municipality implemented in response to the program.⁵⁰ This strategy has had positive results in increasing citizens’ trust and closeness to the administration. However, it is not a sustainable practice as it relies on the political will of the Mayor.

To initiate the participation process, the Secretary executed a diagnosis of population’s characteristics. This diagnosis helped the administration understand why and how citizens would participate in municipal issues. Based on these findings, they developed procedures to allow for effective participation. Now, they are in the process of constructing guidelines to audit and monitor the processes. In order to ensure continuity of these processes, it is important to have strong guidelines and procedures that require the Secretary to continue with their work. Institutionalizing these processes in the Local Development Plan is key to improve sustainability.⁵¹

Due to the administrative structure, the Secretary of Territorial Development and Participation has the administrative authority to formulate, adopt, and execute policies, plans, programs and projects related to their administrative sector within Cali.⁵² In contrast, the Advisory Office of Citizen Participation has the responsibility to promote activities, propose guidelines and methodologies, serve as a liaison between external agencies and the municipality on transparency issues, propose activities to promote internal capacity building in transparency and ethics, and elaborate plans and strategies. Because the office is not a Secretary, it does not have the competence to formulate and implement programs.

⁴⁹“Manual de Participación Ciudadana.”

<http://www.cali.gov.co/publicaciones/141396/manual-de-participacion-ciudadana/> (April 22, 2019).

⁵⁰ “Los territorios progresan contigo.”

http://www.cali.gov.co/participacion/publicaciones/116434/visitas_comunas_y_corregimientos/ (April 22, 2019).

⁵¹ Secretary of Participation. 2019. Interview by Alessandra Richter. Municipality of Cali (April 22, 2019).

⁵² “Extraordinary Decree No. 411.0.20.0516, September 28th, 2016”

http://www.cali.gov.co/aplicaciones/boletin_publicaciones/imagenes_documentos_decretos/czhORRZ7a21475157991.pdf (April 22, 2019).

Since its creation in 2017, the Advisory Office of Transparency has focused on creating an internal culture to share information, and ensuring officials understand the concepts of open data and its benefits. They have developed trainings and methodologies to encourage officials to share information and standardized concepts.

Based on national law 1712 of 2014,⁵³ the Law of Transparency and Right to Access to Public Information and Decree No. 1081 of 2015,⁵⁴ state that public institutions need to share a minimum of information through their websites. The Office of Transparency publishes municipal information on the municipal website and supervise that other offices publish and update information according to the law.

In 2018, the Office of Transparency created a new open data platform.⁵⁵ It now has 100 datasets, and the Office is working with all divisions of government to encourage them to upload quality data. Because of this work, the Cali was recognized with a Prize for Excellence (“Sellos de Excelencia”) from the Ministry of Technology of Information and Communications (MinTIC) for being in the top 10 institutions in Colombia that provide quality information to citizens.⁵⁶

The Office of Transparency is working on approaching the population to generate additional understanding of open data from the population. They organize events, such as the Day of Open Data and the Week of Open Data, where they present data and obtain citizens’ input. The Office has created informal partnerships with universities, observatories, private companies, and territorial entities to develop initiatives that will encourage people to use the data and to assess what information the people need and for what purpose. The Office also leads the Open Data Group, where the community and the municipality share information and work together to create public solutions with the data. The main objective is that in the long term, these initiatives will help to promote co-creation and collaboration with citizens.⁵⁷

Even though the Office of Transparency has been achieving positive results since its inception, there are some challenges that are important to consider. First, the Office only has three officials working full time on open government responsibilities. Because it is an Advisory Office, it does not have the adequate budget and capacities to grow and increase their work. Another challenge, is resistance from other areas and officials to sharing information. Internal trainings and standardization of concepts are some of the activities the Office is executing to reduce this

⁵³ “Ley 1712 de 2014.” <http://www.cali.gov.co/publicaciones/descargar.php?id=43744> (April 22, 2019).

⁵⁴ “Decreto No. 1081 del 26 de mayo de 2015” <http://www.cali.gov.co/publicaciones/descargar.php?id=43745> (April 22, 2019).

⁵⁵ “Datos Abiertos Cali.” <http://datos.cali.gov.co/> (April 22, 2019).

⁵⁶ Alcaldía de Santiago de Cali. Cali, en el top 10 de las entidades destacadas con sello de excelencia por MinTIC. <http://www.cali.gov.co/gobierno/publicaciones/145640/cali-en-el-top-10-de-las-entidades-destacadas-con-sello-de-excelencia-por-mintic/> (April 22, 2019).

⁵⁷ Based on the interview to Liliam Barrera (February 22, 2019), Director of the Advisory Office of Transparency, Municipality of Cali.

resistance⁵⁸. A third challenge is that there is some information regarding municipal services that the population demands, but the municipality does not own the data so they cannot publish it. For example, waste management information is managed by the private sector, so the municipality cannot publish it if the private sector does not share the information and approve its publication.

ii. Nariño

Nariño is a department of Colombia with a population around 1.8 million inhabitants. It has 64 municipalities, and the capital is Pasto. In Nariño, open government has been worked from a state level (departamento de Nariño), including the input of all the municipalities of the state of Nariño.

From 2001 to 2015, Nariño was governed by “alternative governments,” meaning governments that promote transparent management, prioritize social development, and have implemented governance models that are independent from traditional economic and political models, including citizen participation approaches.⁵⁹ Camilo Romero, the governor that began his administration in 2015, leveraged this opportunity, including open government based on the three pillars of transparency, participation and collaboration as his main political platform.

In 2014, before the campaign for the governor began, the consulting firm Feeling created the “School for Policy Innovation.” This project consisted of an online course focused on political innovation, covering innovative topics such as smart citizens, collective intelligence, collaborative economics, and open government. The course began to generate a new ecosystem around these topics⁶⁰. When his election campaign started, Camilo Romero decided to incorporate these concepts as the pillars of his campaign, working closely with Feeling.

Romero’s administration (2016-2019) developed a strategy based on three pillars: open government, collaborative economics, and social innovation. The administration’s open government approach is based on participation, transparency and collaboration - three instruments that are “key to collectively achieve peace.”⁶¹ The first step to incorporate open government in the administrative platform was to develop the Departmental Development Plan with a methodology based on participation and collaboration. The development process of the

⁵⁸ Based on the interview with Advisory Office of Transparency, Municipality of Cali (March 19, 2019).

⁵⁹ Red de Iniciativas para la Gobernabilidad, la Democracia y el Desarrollo Territorial – RED RINDE & Corporación Transparencia por Colombia (2018). Fortalecimiento Institucional de la Capacidad Colombiana para Aumentar la Integridad y la Transparencia: Experiencias de Gobierno Abierto Departamental.

⁶⁰ Arteaga, Javier. 2019. Interview by Laura Barrera. February 13. Audio recording

⁶¹ Gobernación de Nariño (2018). Documento: Política Pública de Gobierno Abierto de Nariño

plan included meetings across all of the municipalities to incorporate citizens needs and validate their expectations in the plan.⁶²

The Government of Nariño created the Secretary of Information Technology, Communication, Innovation and Open Government. This Secretary is composed of five officials: the Director, who is an industrial designer, two graphic designers, one one system engineer, and one public policy manager. The graphic design and communication strategies were key to developing the open government strategy.

The administration's main transparency strategies include the publication of detailed government expenses and revenues; information about the salaries, bank accounts, and debt of all public officials; weekly reports on government management; and an accountability process where citizens can make specific inquiries about the weekly reports of all the government divisions.⁶³ This information is published on the municipal website.⁶⁴ They also publish a data newsletter, digitally and in print, that analyzes and the data published in the platform. One of the key aspects of the open data strategy is communication through design and collaborative processes, such as hackathons and workshops. For example, the administration published a digital and print book about Nariño in one day by working with 60 designers and communications professionals. The main goal of this transparency strategy is to increase the accountability of government to citizens, increase the trust of the citizens in the government, and reduce incidents of corruption.

For citizen participation, the platform "GanaPienso" offers a digital space for citizens to propose activities and debate different proposals.⁶⁵ This participation mechanism is not institutionalized by law, but the administration has made a political commitment to include the agreements with the citizens as municipal proposals.

In order to increase citizen commitment and involve all the segments of the population, Nariño's administration implemented a strong communications strategy. They also implemented a participatory budgeting exercise - GanaMunicipales - in each municipality where the Government of Nariño organizes meetings open to all citizens to decide and vote on where to invest the budget assigned to each municipality. The results and information about each meeting are published on Nariño's website.

Based on these strategies, the government of Nariño has developed the Public Policy of Open Government that was approved in November 2018. This policy was developed through a

⁶² Arteaga, Javier. 2019. Interview by Laura Barrera Vera. February 13. Audio recording

⁶³ Red de Iniciativas para la Gobernabilidad, la Democracia y el Desarrollo Territorial – RED RINDE & Corporación Transparencia por Colombia (2018). Fortalecimiento Institucional de la Capacidad Colombiana para Aumentar la Integridad y la Transparencia: Experiencias de Gobierno Abierto Departamental

⁶⁴ Ibid.

⁶⁵ Ibid

collaborative process with the academy and will help to increase sustainability over time. Nariño is also now a member of the Open Government Partnership.

Feeling, as an independent consulting firm, has been a key actor in the implementation of open government in Nariño. As an innovation lab, they advised and helped the government to create and implement tools that are replicable and scalable. For example, they developed a scheme of open government - “Lienzo de Gobierno Abierto”- that is useful to implement an open government strategy in any government (See the tool in Annex E).

iii. Medellín

Within the last twenty years, Medellín went from being a city known for its high crime and murder rate to an international reference for technological and social innovation, urban transformation, and civic participation. Medellín began a process of urban and citizen transformation starting with its 2004-2007 development plan, opening the structure of local government to incorporate voices of community groups and organizations, businesses, and universities in decision-making processes. The municipal government launched a series of initiatives including participatory budgeting, open data portals, and intensive collaboration with community leaders - all enacted as methods to decrease violence within city limits. While many of these initiatives could be classified within the three pillars of open government, they neither began nor were a result of Colombia’s national level involvement with OGP.

The Mayor of Medellín, Sergio Fajardo, was responsible for the implementation of participatory budgeting, initially through a mayoral decree in 2004. The process of implementing participatory budgeting encountered initial obstacles, as there were several high-ranking officers of the mayoral office who felt they lost power in the distribution of monetary resources, or thought it to be an administrative burden.⁶⁶ However, after seeing citizens’ support for the proposal, the Municipal Council became an auditor of the program, forcing the mayor’s office to improve their levels of implementation.

The participatory budget of Medellín has the following cycle: citizens first meet in neighborhood assemblies and neighborhoods to identify problems, generate a diagnosis of Local Development Plans and select delegates; then delegates are trained and accredited so that in the next phase they can prioritize options and allocate resources. In the next phase, the decisions taken by the delegates are endorsed by the JAC of each comuna and village for the Municipal Administration to include in the Annual Plan that is finally approved by the City

⁶⁶ “Medellin: Participatory Creativity in a Conflictive City. | Omar Uran - Academia.Edu.” https://www.academia.edu/1174550/Medellin_Participatory_Creativity_in_a_Conflictive_City (April 20, 2019).

Council to be executed the following year. Finally, the process is evaluated and the communities are accountable for the execution of the prioritized resources.⁶⁷

Community engagement was initially led solely by newly established Consultative Councils, composed of on average 100 people per comuna representing social and community organizations. Within each Consultative Council, a few members are elected onto the Committees of Spokespeople and the Municipal Committee of Participatory Budgeting, representing each comuna and locality before the municipal administration. In the second year, the JAL successfully pressured the municipal government into further opening up the participatory budgeting process, which led to the creation of Neighborhood Assemblies (NA), which allowed for further participation from residents of comunas across the city.⁶⁸

The Participatory Budget of Medellín has achieved wide participation from the citizens of its neighborhoods and communes, and has changed the perceptions and behaviors of citizens in terms of appropriation of public and citizen culture and has allowed a greater incidence of civic responsibility in the definition and implementation of solutions to the problems that affect them. The participatory budgeting program was institutionalized and incorporated into Municipal Agreement 283 of 2007. Today, it is incorporated in the Municipal System of Planning along with other bodies and local planning and participation tools, which stipulates that no less than 5% of the municipal budget must be allocated via participatory budgeting.

Additionally, public participation has been integral in economic development plans of the city, as first initiated by Mayor Fajardo. Fajardo initiated a process of community involvement in the planning and design of public architecture, as well as its participation in other decisions regarding municipal funds allocation beyond participatory budgeting. Revenue from the city-owned public services company, Empresas Públicas de Medellín (EPM), funds many of the integral urban projects. Some \$450 million of the utility company's profits go to improving social welfare through these public projects.⁶⁹ All of EPM's public projects are designed and planned through a participatory process with the community to ensure the spaces meet public needs.

One of the most essential collaborations that has allowed for citizens to reclaim safety in their neighborhoods has been strengthened relationships between the JAC and the municipal government. In Medellín especially, the JACs are responsible for establishing relations with state officials, and proposing projects to improve local living conditions. They are often funded by

⁶⁷ "Medellín, Colombia. Planeación Local y Presupuesto Participativo | Participedia." <https://participedia.net/en/cases/medell-n-colombia-planeaci-n-local-y-presupuesto-participativo> (April 20, 2019).

⁶⁸ "Medellin: Participatory Creativity in a Conflictive City. | Omar Uran - Academia.Edu." https://www.academia.edu/1174550/Medellin_Participatory_Creativity_in_a_Conflictive_City (April 20, 2019).

⁶⁹ Ashoka. "The Transformation Of Medellín, And The Surprising Company Behind It." *Forbes*. <https://www.forbes.com/sites/ashoka/2014/01/27/the-transformation-of-medellin-and-the-surprising-company-behind-it/> (April 20, 2019).

residents, and government agencies occasionally contribute matching grants to the projects.

In Medellín, a great urban innovation has been *Las Unidades de Vida Articulada (UVAs)*, as a collaboration between JAC and government.⁷⁰ These government-funded complexes have been launched in collaboration with local JAC and JAL in neighborhoods throughout Medellín, to make them dynamic, safe places where government and society converses a way of growing trust in government, and disseminating information. These spaces enact the principle of co-creation, as the comunas themselves decide the programming and design of the UVAs, creating a sense of representative local identity.

Today there are as many as 45,000 JACs throughout Colombia, from urban barrios to isolated rural areas. Each board has a president and a number of other officers called dignatarios, all elected for three-year terms, as well as many afiliados, often hundreds of people who sign up to participate in JAC projects. The elections are overseen by the Dirección General para el Desarrollo de la Acción Comunal y la Participación (DIGEDACP), a unit of the Ministry of the Interior. However, it is up to the JACs themselves to determine the type of elections, e.g., simple majority, candidate slates, proportional representation, and to conduct the balloting and counting - which has led to JACs in many cities, including Cali and Bogotá, acting as politicized bodies that are not representative of the comunas.

In the 2015 development plan Medellín: *Un hogar para la vida*, the city sought to strengthen public administration, institutions, and the public sphere by invigorating participation within a framework of political culture, co-responsibility with municipal development, and the strategy of projecting Medellín as a smart city through technological and social innovation. Through the program “MDE: Medellín Smart City,” Medellín is implementing projects to create free internet access zones, community centers where information technology can be accessed, a Mi-Medellín co-creation portal, open data, online transactions, and other services that aim to achieve citizen participation and open government. Although there is no single methodological framework for implementation, in the coming years Medellín expects to integrate these services under a single control center, which will enable it to centralize monitoring of city operations. The portal of the Office of the Mayor of Medellín aims to be the single channel of interaction between citizens and the municipal government, as a mechanism for communication and disclosure of its inclusive public policies. Its main aim is to improve, through online disclosure, the quality of life of residents of the municipality. The portal offers the possibility of accessing transactions, programs, and projects of the secretariat.

The government of Medellín has also expanded its use of technology and crowdsourcing to improve collaboration with its citizens and encourage broader participation. Via MiMedellín, citizens can co-create with the city government to come up with novel solutions to top issue.⁷¹ The value created by this platform is reducing friction of communicating with the government,

⁷⁰ “Construcción de Edificios En Medellín - Archivo Digital de Noticias de Colombia y El Mundo Desde 1.990 - Eltiempo.Com.” <https://www.eltiempo.com/archivo/documento/CMS-15848437> (April 20, 2019).

⁷¹ “Mi Medellín.” <http://www.mimedellin.org/> (April 20, 2019).

enabling the city to tap into collective intelligence of its citizens. The platform also uses the crowd to filter out noise via a voting mechanism. Knowing their ideas could be implemented, citizens are motivated to participate to solve real problems in their neighborhood, assuming citizens believe in the legitimacy and power of MiMedellín.⁷² To do so, Medellín has shown commitment to using MiMedellín to actually affect change – for example, Medellín has collected more than 2,300 ideas, and will be implementing a citizen-sourced solution to restore the isolated areas under the bridges crossing the city’s river.⁷³⁷⁴

The initial implementation of participatory budgeting and the growth of open data systems have encountered significant barriers. The integration of entities that provide services has been slow in the absence of inter-administrative agreements that enable information sharing. Technological obsolescence in some of the components has made integration impossible, and the lack of resources in some entities has prevented a stronger campaign that communicates information about the services.

Although these civic engagement initiatives may be representative of the national OGP goals and ideals, Medellín has not engaged with the OGP branded initiatives in any meaningful way - exemplifying the decentralization between the national and local initiatives. In order for OGP to expand in Medellín, they must recognize first the work the municipality has conducted, without co-opting or claiming responsibility. There are many opportunities to grow and institutionalize open government and build upon initiatives already underway, for example by democratizing citizen representation in the JAC and JAL boards and expanding participatory budgeting. However, few cities have transformed as Medellín has. Its homicide rate has plunged nearly 80% from 1991 to 2010. By building civic engagement, and investing public resources to promote social equity as well as environmental sustainability, Medellín has successfully changed the narrative of violence within its city limits.

⁷² “Transforming Governments via Citizensourcing – Digital Innovation and Transformation.” <https://digit.hbs.org/submission/transforming-governments-via-citizensourcing/> (April 20, 2019).

⁷³ “Let’s Empower Citizens to Recreate Cities.” 2014. NewCities. <https://newcities.org/lets-empower-citizens-recreate-cities/> (April 20, 2019).

⁷⁴ “Retos.” <http://mimedellin.org/retos> (April 20, 2019).

Section 4: International Benchmark Analysis & Suggested Process for Implementing

a. Introduction

The team developed an open government process based on Fundación Corona's three pillars of open government - transparency, participation and collaboration, and co-creation - along with our analysis of international cases. We identified the main variables that must be considered in any municipality in order to develop an open government strategy. The variables are organized in six phases that simulate the open government process (See Annex F):

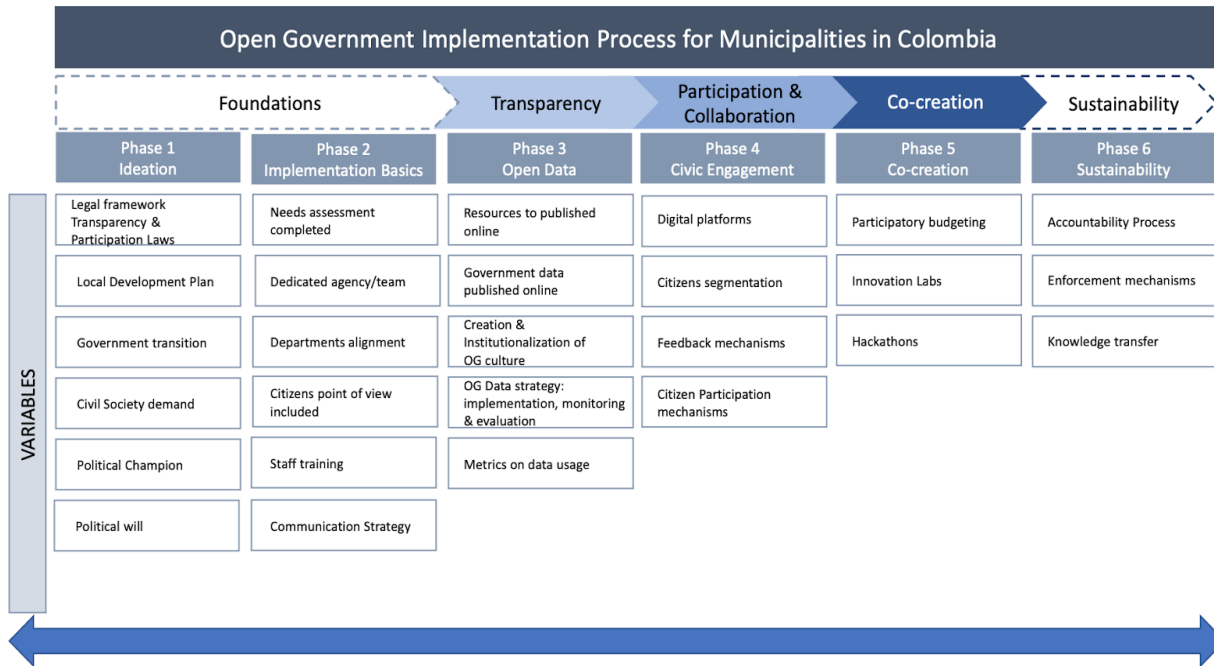
Foundations →	1. Ideation 2. Implementation Basics
Transparency →	3. Open Data
Collaboration & Participation →	4. Civic Engagement
Co-creation →	5. Co-creation
Sustainability →	6. Sustainability

Once the variables and phases were identified in each case study, the team used a binary system to indicate whether the variable of interest was present in the municipality or not, with '1' indicating presence and '0' indicating absence. Then, the team organized the variables in our Municipalities Variables Tool (See Annex G).

This tool serves as a reference to determine the key variables that municipalities need to implement open government strategies, which variables are more important in each phase, and the status of open government in various countries from different regions.

The following section presents a more detailed explanation of the process and the variables for each phase, as well as the comparative analysis based on the Municipalities Variables Tool. For the comparative analysis, the team identified the three most representative cases for each phase, along with an explanation of why each case is a reference for other municipalities.

b. Municipalities Variables Tool: The process for open government



i. Foundations

Phase 1: Ideation

The first phase of the open government process consists of defining the essential and enabling foundations that need to be in place for open government implementation at the local level. This phase includes characteristics such as an established legal framework and political will. An extensive description of variables can be found in the annex (**Annex G**). While all phases are important, this phase is perhaps the most important for nascent open government policies or initiatives.

**Political Will | Political Champion | Legal Framework Transparency & Participation Law |
Local Development Plan | Government Transition | Civil Society Demand**

- **Political will**
 Political will is arguably the most important variable of the comparative analysis. This is further reaffirmed by the international cases, and the team's working assumption that Fundacion Corona and Exituto will target the forthcoming toolkit to municipalities with some level of political will for implementing open government. This term can be described as the presence or lack of motivation for a policy change. In our international cases, this variable appeared to be a precondition for open government strategies.
- **Political champion**
 The presence of a political champion, similar to political will, plays a significant role in the adoption of open government strategies and policies. This variable considers if there are individuals that possess enough political power or motivation to initiate or lead policy changes in open government. While it is more likely that the political champion is a government leader, it is also possible that the champion is a businesses or civil society actors.
- **National legal framework: Transparency and participation laws**
 Transparency and participation laws are fundamental to open government adoption. Local governments should be able to leverage the national legal framework so that they are not limited to the political will for continuing open government strategies.
- **Integration of open government principles in local development plans**
 In Colombia, local development plans are compiled by local governments to establish the goals and indicators for each municipal administration. The plans serve as an enforcement mechanism for municipalities to monitor principles and ensure accountability at the local level. Local development plans act as the blueprint for all municipal open government efforts.
- **Leverage government transitions and civil society demand as an opportunity to initiate the introduction of open government in municipalities**
 Understanding that open government practices can be implemented any time during the term or tenure of office, this variable considers whether a municipality or public official took advantage of a government transition. It is commonly observed that open government laws or policies are implemented at the beginning of a new local administration. Additionally, open government practices are often implemented in response to citizen demands.

Phase 2: Implementation basics

The second phase of our model focuses on building the capacity to enable open government implementation at the local level. This phase identifies variables such as having a dedicated person or team responsible for leading the open government implementation process, staff trainings on relevant open government strategies, and the ability of municipalities to understand and incorporate the views of local citizens. This phase acknowledges that beyond

the demonstration of interest and ideation, municipalities must have the means and capacity necessary for any given open government policy or initiative.

Needs assessment completed | Dedicated agency or team | Departmental alignment | Inclusion of citizen perspectives | Staff Trainings | Communication Strategy

- **Completion of a needs assessment at the municipal level**
Addressing the knowledge and capacity for open government implementation, this variable emphasizes the need for governments to comprehensively assess the gaps and needs in their municipalities, and if the municipalities are able to make effective decisions regarding public management and performance.
- **Dedicated agency or team leading process within government**
Having a dedicated government agency means having the capacity to hire or appoint an individual or team to lead the open government strategy at the municipal level, with the necessary leverage to do so. In cases in which human resources are limited, the open government responsibilities and tasks may fall under an existing staff member who demonstrates interest and has the capacity. At a more advanced stage, a municipality might have multiple interrelated offices, such as offices of transparency and participation.
- **Departmental alignment**
Open government strategies may involve multiple government actors. In these cases, it is important that different departments and agencies are aligned. By working together and engaging in open communication, municipalities can match processes and interests with open government responsibilities to ease implementation and accelerate the adoption of open government.
- **Inclusion of citizen perspectives**
This variable identifies evidence of integration of the perspectives of citizens in open government initiatives and practices. Municipalities are able to act more effectively when they address and target public services and social demands.
- **Staff trainings**
Assuming that open government strategies are a new practice or concept for many municipal offices, it is important to train the staff to align concepts and develop skills related to open government implementation.
- **Communication strategy**
Municipalities should use effective communication techniques to spread awareness of open government initiatives amongst internal and external stakeholders. Regardless of the communication strategy selected, its effectiveness relies on openness and continual engagement with the intended audience.

ii. Transparency

Phase 3: Open Data

The third phase of our model, **open data**, focuses on identifying variables that underpin how municipalities are able to use, collect, manage, and communicate information relating to public services, demands, and opinions. More generally, this phase identifies cases in which municipalities are realizing challenges and opportunities within their territory through leveraging public information and/ or technology. Consequences of this phase include the institutionalization of open data practices, building greater trust between citizens and government, and creating new avenues for participation and collaboration.

Resources to publish government data | Government data published online | Creation and institutionalization of open government culture | Metrics on data usage

- **Resources to publish government data**
Resources to publish government data corresponds with a municipality having the requisite funds, infrastructure, connectivity, and human capital to publish data. This variable looks for evidence of a municipality's capacity to collect and manage data, and is perhaps a prerequisite for any open government strategy, since these resources enable the use of data beyond collection and publication.
- **Government data published online**
For this variable, the team identified whether a municipality has both collected and made data public, assuming that its release is mandated by law. The team also evaluated the type of data published and its relation to government services and public perception. The publication of government data helps to illustrate a municipality's willingness to be transparent.
- **Open government data strategy: implementation, monitoring and evaluation**
This variable considers whether or not a municipality has an open data strategy. Depending on the size and extent of government adoption, open data processes can be complex. Because of this, many municipalities require a procedure for implementing, monitoring, and evaluating this strategy.
- **Creation and institutionalization of open government culture**
It is critical for municipalities to create a culture of transparency. Creating and strengthening an open government culture facilitates internal and external buy-in. Municipalities should leverage and create opportunities for government officials, civil society, members of academia, and the public sector to share and learn insights and skills related to open data.
- **Metrics on data usage**
Data metrics are definitions and determined measurements for any given observation and outcome. The team observed a number of cases in which data was shared within

or between municipalities. This variable is key to ensure municipalities are able to achieve a degree of alignment and coordination of open government strategies.

iii. Collaboration & Participation

Phase 4: Civic Engagement

The fourth phase of our model, **civic engagement**, explores the role of citizen engagement in municipal administration. More specifically, we emphasize the need for platforms in which municipalities create and utilize mechanisms for participation. This phase highlights the need for municipalities to understand and consider the characteristics, needs, and concerns of their jurisdiction. Assuming a municipality has facilitated building trust through transparency, we believe it is of critical importance for municipalities to maintain this trust by creating and maintaining channels of dialogue with citizens

Digital platforms | Citizen segmentation | Civic participation mechanisms | Citizen feedback mechanisms

- **Digital platforms**
This variable considers whether the municipality relies on a digital platform to educate citizens. The importance of this consideration is to assess whether there is a need for digital platforms. While there is a trend toward digitizing public platforms, not all municipalities have the capacity to digitize and not all citizens want to receive or have the ability to receive platforms digitally.
- **Citizen segmentation**
In communicating and understanding local interests and concerns, municipalities must often appeal to different demands and issues. This variable observes situations in which the government demonstrates or attempts to engage with different interest groups. The importance of this variable underscores the need for municipalities to be strategic and engage with all members of society.
- **Civic participation mechanisms**
Mechanisms for citizen participation measure whether citizens are able to communicate concerns and demands regarding public services and values. This variable considers if a municipality has mechanisms that enable and amplify the voices of citizens. Through these mechanisms, channels of communication and engagement can be enhanced or solidified.
- **Citizen feedback mechanisms**
Assuming that a municipality has attempted to identify and appeal to all members of their community, this variable considers whether or not a given municipality has created methods for citizens to communicate interests and provide feedback, such as through an application or physical space.

iv. Co-creation

Phase 5: Co-creation mechanisms

Unlike the previous phases of this model, co-creation is relatively abstract and a new concept in open government. Co-creation is a state in which municipalities integrate demands and interest of citizens in processes or policies. This phase is a long-term and ongoing process where the government is seen as a collaborative platform where all actors are involved in contributing to public policy. This phase signifies two things: (1) whether or not a municipality has been able to address the needs of its community and (2) whether or not a community is able to engage and collaborate with its municipality - indicating a clear and effective channel for democracy. These three instruments are the most common forms of enacting co-creation methodology to date.

Participatory budgeting | Innovation Labs | Hackathons

- **Participatory budgeting**

Participatory budgeting is a process of decision-making for allocating municipal budgets. Participatory budgeting allows for government funds or funded projects to be adequately allocated based on the requests of constituents. Once funds and projects have been realized, evidence of compliance would suggest that co-creation is at work.

- **Innovation Labs**

Innovation labs build local capacity and are often central in developing solutions to municipal challenges. Innovation labs often source ideas from actors outside of government, including educational institutions and the private sector.

- **Hackathons**

Hackathons, which originated in technology areas, are events that are designed for communities of interest and expertise to address challenges and create solutions. This variable examines events in which a municipality uses this form of engagement to create and amend policies or processes. These events elevate the role and collaboration of citizens within government.

v. Sustainability

Phase 6: Sustainability

Just as transparency, collaboration and participation can be viewed as interdependent “gears” driving open government initiatives, sustainability can be seen as the “oil” that ensures these

gears are greased and continuous. In the sixth phase, **sustainability**, we emphasize means of maintaining open government practices through institutionalization and/ or cultural embedment. Through this, we dissect key mechanisms for sustainability, such as leveraging legal enforcement mechanisms and knowledge transfers. The continuation of open government practices and policies relies on the assumption that a municipality achieves, to some degree, the previous five phases.

Accountability process | Enforcement mechanisms | Knowledge transfer

- **Accountability process**
 Methods of accountability that support institutional oversight of government operations and the ability to carry out open government commitments are critical. This variable considers accountability of from the perspective of both officials and citizens. Evidence of this mechanism can be seen in citizen or official bodies that act as overseers of government activity.
- **Enforcement mechanisms**
 At the national and local level, it is imperative that legal enforcement mechanisms are available to ensure open government commitments are followed through. This variable observes whether there are mechanisms for enforcement, such as laws and justice agencies, and if they are being used.
- **Knowledge transfer**
 In both continuing and transitioning government administrations, it is essential that all relevant bodies or officials are informed about their municipality’s open government initiatives and protocols. Governments can use various training methods to inform or onboard agencies and officials and ensure open government initiatives continue beyond individual political cycles.

c. Comparative Analysis

Based on the process and the variables explained in the previous section, the team completed a comparative analysis and identified the most representative international cases for each phase (See the International Takeaways in Annex H, and Comparative Analysis in Annex I) . We analyzed 12 international cases of open government strategies that have been implemented at the local level. The analysis is based on expert interviews and desk research, and includes five Latin American cases and three cases from Spain. The Latin American region and Spain were prioritized because of their similarity to the Colombian context. Cases from New York, Vancouver, Estonia, and Nairobi were also analyzed. Annex J includes a one-page analysis for each case. In the below table, we present the most relevant cases for each phase.

Comparative Analysis of International Cases

Phases for OG Process in Municipalities	Definitions	Key Characteristics	Most Relevant Cases	Approach
Phase 1: Ideation	Cases which clearly demonstrate the core foundations to adopt Open Government	Established Legal framework & strong political will	São Paulo	Strong national legal framework that legitimates digital participation platforms
			Barcelona	Strong national Transparency Law
			Buenos Aires	Transition to new president who champions OG
Phase 2: Implementation Basics	Cases that implemented internal processes to establish OG	Internal assessment & capabilities building	Alcobendas	Staff trainings on OG and processes to coordination among departments
			Santiago	Development of model for implementation of OG at municipal level
			Quito	Develop participatory process in neighborhoods
Phase 3: Open Data	Cases which leverage open data and technology to promote transparency and build trust	Open Government Data Strategy & Data Usage	Tallinn	All public services are online
			Nairobi	Developed transparency web sites complemented with initiative to utilize the data effectively
			Vancouver	Open data platforms with assessment of citizens needs, public mapping portal, mobile apps, free wifi points in the city
Phase 4: Civic Engagement	Cases which have participation mechanisms that include citizens input and needs	Digital and analogue platforms for participation, citizen's segmentation, friendly formats	New York	Community Based Organizations network
			São Paulo	"Poupatempo" platform, "totems" which are digital self-service stations, "Móvel" which is a truck that travels to neighborhoods
			Madrid	Citizen participation platform: "Decide Madrid", integration of citizens and municipality proposals
Phase 5: Co-Creation	Cases in which, together, stakeholders actively create social value leveraging creativity and innovation approaches	Willingness to explore and experiment. Ability to build creative solutions with multiple stakeholders	New York	Participatory Budgeting
			San Pedro	Competition that encourage citizens and officials to turn ideas into implementable policies
			Madrid	Innovation Lab
Phase 6: Sustainability	Cases with mechanisms for OG long-lasting	Accountability and enforcement mechanisms	Alcobendas	Programa Director de Actuaciones (PDA); monitoring report
			Madrid	Citizens demand and enforcement
			New York	Enforcement from community based organizations and civic leaders

(Source: Created by the SIPA Team)

i. Phase 1: Ideation

The cases highlighted for this phase have essential and enabling foundations for open government. The main foundations are political will and a national legal framework related to open government. Most of the cases analyzed have a robust national legal framework that includes both transparency and participation laws. However, there are clear challenges in adjusting those laws to the needs of municipalities. Most of the international cases began the open government process with a new local administration, driven by strong political will and a clear political champion. Some cases initiated the open government process because of civil society demand, but this was not a common trend. Additionally, most cases in Latin America showed a strong political leader driving the open government agenda. São Paulo, Barcelona, and Buenos Aires are relevant cases to demonstrate successful implementation of Phase 1.

Sao Paulo is one of the few cases that began the open government process because of civil society demand. The city's participatory approach began in 2013 after massive protests broke out over public transport fare increases related to investments made for the FIFA World Cup. In response, the government quickly implemented civic participation mechanisms, such as an innovative crowdsourcing platform to increase public participation in revising the city's master plan to develop a more sustainable transportation system. São Paulo has thoroughly utilized Brazilian legislation that institutionalized internet protections and rights to implement these initiatives.

In the case of **Barcelona**, the foundation of the city's open government strategy was the existence of a transparency law. This law has served as an important starting point for open government initiatives in Spain. The political will for this process was fundamental, so Barcelona created a commission backed by the mayor to engage all officials in the municipality involved in driving the open government agenda.

Buenos Aires is considered a pioneer in open government in Latin America. This is reflected by the fact that the city had one of the first "Acts on Access to Public Information" in Latin America passed in 1998 and updated in 2016. Buenos Aires began its open data process in 2012 by establishing an open data portal with Decree 156. In 2013, the city enacted Decree 478 requiring the publication of information in digital formats. In 2015, when President Mauricio Macri took office, he committed to developing a transparency law to institutionalize these efforts at a national level.

ii. Phase 2: Implementation Basics

The cases highlighted for the second phase have strong internal capacities to implement an open government strategy. One of the first things municipalities have done before initiating an open government process is to assess the internal capacities of the municipality to identify key

strengths and weaknesses. For example, in each of the cases in Spain, the major cities developed an open government needs assessment for smaller municipalities to identify the resources and information they need to establish open government strategies.

One of the key aspects of this phase is to set up the internal conditions necessary to implement open government. Most of the cases reviewed, including Madrid, Buenos Aires and Alcobendas, designated an official or created an office to lead implementation of the open government strategy. At a more advanced stage, municipalities will have a staff member or office responsible for participation and another for transparency. Additionally, most of the cases created an internal culture and enhanced capacities around open government through staff trainings and activities to persuade officials that sharing information and participation is fundamental for the organization. Promoting coordination between departments and effective communication techniques between internal and external stakeholders are a common strategy. The cases that demonstrate particular strengths in this phase are Alcobendas, Spain; Santiago, Chile and Quito, Ecuador.

The success of open government in **Alcobendas** is based on a strong internal culture, and the commitment of officials to work towards a common goal. The teams responsible for open government have created a strategy to engage officials in the open government process based on three activities. The first is training officials through an open government course focused on the transparency and citizen participation strategy. Explaining the concepts and the benefits of both strategies were key to engaging the officials. The second activity was to promote internal participation techniques to demonstrate to officials the importance of this concept. For example, they developed the Communication Plan of the Municipality by making all of the officials participate in the process. Additionally, Alcobendas promotes a strong internal coordination strategy. The city created a board of citizen participation, where all the directors of the different divisions of the municipality are involved. For transparency, they coordinated with all of the divisions and created incentives to share information, collaborate and coordinate between them. Now all of the municipality's offices are aligned with the open government process, and incorporate this culture into their day-to-day activities.

In 2016, **Chile** was in the design phase of its third national action plan for the Open Government Partnership. A group of municipalities approached Chile's Consul for Transparency to ask for support in developing a model of open government for Chile's municipalities. The Consul of Transparency decided to lead the process and partnered with the municipalities to create and implement a needs assessment.

A set of indicators for each of the open government pillars was created, followed by a set of evaluation surveys. Once the questionnaires are completed, municipalities give them back to the Consul for Transparency for consolidation and analysis. The Consul analyzes the data and creates a diagnostic for each municipality along with a set of recommendations on how the municipality could move forward with implementing the open government model successfully. Based on these recommendations, each municipality develops a strategy to address its

individual gaps. The recommendations include specific actions and tools that the municipalities can use in order to improve its weakest areas. Since the pilot group of seven municipalities was small, the recommendations were manually customized.

Quito's case is particularly relevant for phase two because it developed its participatory process using a bottom-up approach. One of the foundations of the democratic system in Quito is ensuring that people can participate and make decisions about the management of their government, whether individually or on behalf of an organization.

In March 2016, the Mayor of Quito approved Metropolitan Ordinance No. 102 (OM 102), which created the Metropolitan System of Citizen Participation and Social Control. The purpose was for the municipality to take a historic step to promote participation in collectively addressing issues within Quito. This system mainstreams mechanisms for participation in all phases of public policy and the evaluation and implementation of public services. It also strengthens Quito's social fabric through the promotion of social cohesion, co-responsibility and collective construction, from the perspective of active citizenship.

iii. Phase 3: Open Data

After developing internal capacities, local governments tend to begin the process of developing transparency. The cases highlighted for this phase leverage open data and technology to promote transparency and build citizens' trust. Usually governments begin publishing government data on their websites and comply with the minimum requirements of national law. In most of the cases analyzed, municipalities develop an open data strategy that considers how the data is processed and designed, who the end-users of the data will be, and if they need to simplify the data or represent it visually so it can be understood and used by regular citizens. For example, Madrid has two strategies to share data. One is to share all data sets as raw data so citizens and media can use it for their own purposes. The other is that the municipality organizes and develops creative ways to publish the data so that they can inform the citizens, based on what they are demanding.

In order to create and institutionalize an open data culture, several of the municipalities analyzed hold or participate in conferences and communal events on open government to learn and leverage skills and projects of other actors. For instance, New York and Buenos Aires organize open data week, which is open to the public.

Estonia is one of the most advanced countries in developing transparency and building trust with citizens through open data. The country sought to differentiate its economy from other states and ensure competitiveness by creating a 'digital society'. In 2001, Estonia began issuing electronic ID cards for citizens, which enabled every citizen to have a legal digital signature. Today, more than 99% of government services are digitally accessible through the government's online platform e-Estonia, and citizens can even vote online using blockchain technology. Citizens can track each time their personal information is used by the government,

and view extensive government data, including budgetary information, land registrations, and the financial investments of politicians. This level of openness has led Estonia to become one of the least corrupt countries in the world.⁷⁵ Estonia's communications strategy and ongoing capacity building activities with its citizens have been critical to the success of these initiatives.

Following a series of harmful environmental, economic and political events, leaders in **Nairobi, Kenya**, were motivated to restore economic performance and sustainable growth through understanding consumer information and improving digital literacy. The Open Data Initiative, led by the permanent secretary of the Ministry of Information and Communications, illustrates how municipalities can leverage inter-agency relationships to collect and manage data. The managing agency, the Information and Communication Technology (ICT) Authority, collaborated with local agencies and international bodies, such as Kenya's ICT Board, the National Council for Law, the World Bank, iHub, mLab East Africa, Ushahidi, and Google.

These collaborations have resulted in products such as Nairobi's open data portal, which includes information on public expenditures, census data, and socio-economic indicators such as poverty rates. Additionally, the city has an education management information system, called Eduweb, that includes data from the Ministry of Education on schools, information on examinations, and financial analysis to assist parents in selecting schools for their children. While these are positive and significant strides, this case illustrates the threats of failing to align different divisions and ensure citizen inclusion in open government strategies. The then-permanent secretary stated that not all municipal ministries and agencies were willing to share information and that there was little to no interaction with civil society groups.

The **Vancouver** City Council has a long history of endorsing the principles of open and accessible data while respecting privacy and security concerns. Vancouver was the first municipality in Canada to adopt an open data policy, with a comprehensive plan since 2010. The city currently publishes more than 155 datasets for public use. A data assessment and evaluation of citizen needs allowed the City Council to make as much information public as possible. Since 2013, the city adopted the Canadian Open Government Licence, which gives them access to government data, making it easier to combine, integrate, and share data from multiple providers across Canada, providing more value to the public. Vancouver's city application, Vanconnect, provides access to public transportation and a variety of services that simplify the life of its citizens. A strategic alliance between the City Council and civil society organizations has played a key role in the success of the Vancouver experience.

iv. Phase 4: Civic Engagement

In this phase, most successful international cases have designed participation mechanisms based on citizens' inputs and needs. They include citizen segmentation to design mechanisms depending on the type of citizens they are targeting and consider user-friendly formats that

⁷⁵ Transparency International. "Corruption Perceptions Index 2018." www.transparency.org. <https://www.transparency.org/cpi2018> (May 3, 2019).

adapt to each type of citizen. Successful cases include feedback mechanisms that enable citizens to actively engage with their government and monitor the actions of government offices or officials. The experiences in New York, Sao Paulo and Madrid are highlighted as successful cases in this phase.

In **New York City**, there are two separate ways in which civic engagement is both required and conducted. The goal of participatory budgeting is full participation from all constituents, but there is currently no requirement for the percentage of total constituents required for participation, and it truly depends on each participating council member's office. Successful cases of high civic engagement stem from initiatives run by community liaisons hired by each council member. Community liaisons typically have an office in the neighborhood they represent, and hold open office hours, attend and table at community events, and have adequate translation services available when required. As of 2018, New Yorkers can vote on participatory budgeting online, which has greatly increased participation rates - however there still exists an element of non-inclusivity, as it is usually folks who have already been engaged in civic matters who participate.

Apart from the municipally-led civic engagement conducted via participatory budgeting, there is also a system of United States federal laws that mandate civic participation in developing housing policies under the Fair Housing Act (FHA). In 2015, the Department of Housing and Urban Development (HUD) updated the FHA regulations. Now, in order for cities to receive federal funding linked to housing development, all municipalities, including **New York**, are required to have a certain amount of civic participation in developing housing policies. HUD released a guidebook to accompany the roll out of this updated policy, called Affirmatively Furthering Fair Housing (AFFH) rule. The rule establishes specific requirements program participants must follow for developing and submitting Consolidated Plans and Public Housing Agency (PHA) Plans for funding consideration. For the purposes of the rule, “community participation” means a solicitation of views and recommendations from members of the community and other interested parties, a consideration of the views and recommendations received, and a process for incorporating such views and recommendations into decisions and outcomes.⁷⁶ The rule lists types of stakeholders that must participate, including public housing residents and leaders of local community organizations, among others.

In order to facilitate civic participation and equalize internet access, the municipal government of **Sao Paulo** has implemented a service called Poupatempo - a digital platform to give citizens easier access to public services. In 2016, Sao Paulo started offering Poupatempo “totems” which are digital self-service stations. São Paulo has also rolled out “Poupatempo Móvel,” which is a 150 square meter truck that travels to neighborhoods and municipalities far from fixed Poupatempo stations to provide residents of those areas better access to services. According to the government of Sao Paulo, in 2018 the self-service totems provided 4.8 million

⁷⁶HUD Exchange (2015) AFFH Rule Guidebook U.S. Department of Housing and Urban Development

services to citizens, including access to criminal records, vehicle debits and restrictions, and second copies of driver's licenses.

The Municipality of Madrid implemented the first digital participatory platform in Spain called "Decide Madrid". This platform allows citizens to submit proposals and vote for them. If the proposals achieve 1% of the votes, the municipality needs to consider it in its proposals. The citizen participation process in Madrid is not enforced by law, but the political commitment and citizen demand have been key in the continuity of this process. The "Decide Madrid" platform has been recognized internationally and has been replicated by more than 100 municipalities. Thus, the municipality of Madrid has created the "Consul" platform, a free software for citizen participation that can be used by any municipality around the world.

v. Phase 5: Co-Creation

Co-creation is the ideal phase of open government, in which stakeholders actively create social value together by leveraging creativity and innovation approaches. In cases that have implemented this phase successfully, innovation labs have been crucial. They are civil society organizations that work closely with municipalities, helping and advising them on how to successfully implement tools of open government. Other activities, such as participatory budgeting, hackathons, and competitions are organized by municipalities to engage citizens in policy making decisions. New York, San Pedro and Madrid are in this phase and are good examples of what strategies can be used to promote co-creation.

In **New York City**, participatory budgeting is the most evolved form of co-creation within the municipality, as all residents within a participating district above the age of 11 are eligible to vote. Participatory budgeting begins as a yearlong process of public meetings, during which community members discuss local needs and develop proposals to meet these needs. A number of constituent-led committees are then developed, and the constituent liaison of each councilmember typically leads the process of developing and coordinating among committees. This includes a district committee that oversees the implementation of the participatory budgeting process, budget delegates who facilitate interactions with government agencies to receive adequate resources, and participatory budgeting subcommittees to speak frequently with the groups of project proposers to navigate and define the scope of the projects. The aforementioned community liaison facilitates and steps in when asked for assistance, but it is primarily appointed constituents who manage the process. In this way, ordinary citizens interact directly with government and public officials on every level of a project.

Additionally, starting in 2019, the New York City Mayor's office and the Department of Education will launch "Civics Week" in all public high schools, a week-long program with a variety of activities to encourage civic participation and strengthen democracy with the youth. One element of the program will be "Participatory Budgeting in Your School," in which the Mayor's office will provide \$2,000 per school, and students will engage in a participatory

budgeting experience by identifying and proposing projects that are voted on by the entire school.

San Pedro, a Mexican municipality, initiated the open government process with a co-creation exercise. In 2016, an independent municipal councillor, backed by the Mayor, launched the “Desafios” competition to invite the public to collaborate in the creation of better policies and services with the municipality. The municipality, with the support of GovLab, an innovation lab based in New York, and Codeando Mexico, a Mexican innovation lab, invited the community to send proposals for how they would solve particular urban challenges. The government committed to implement the 10 top rated proposals, and helped develop the selected ideas through coaching and mentoring from the leading experts of the region. Mentors included the Ministry of Planning and Urban Development, the Planning and Control Unit of the Municipality, experts from the Laboratory for Mexico City, and PhD data scientists from Harvard. The participants volunteered 20 hours each week, developing their ideas into implementable proposals. As a result, they implemented open data and tech solutions. Based on this experience, the municipality has legislated civic challenges into a new Citizen Participation Law.

Ayuntamiento de Madrid- is one of the few cases reviewed which has an innovation lab attached to the municipality. This serves as the place for the government and civil society to co-create. This space has been thought to be an open space for experimentation and to collectively try to find solutions to some of the issues with governing Madrid. The innovation lab leverage methodologies such as design thinking, organizes hackathons, and gain input for new innovative ideas.

vi. Phase 6: Sustainability

Sustainability is one of the main challenges of open government initiatives. To achieve sustainability and continuity in the long term, the current municipal administration needs to institutionalize open government processes. One strategy that municipalities have implemented is the development of institutionalized accountability mechanisms to supervise open government implementation, either by citizens, such as in the Madrid case, or by officials, such as in the case of Alcobendas. Other strategies that international cases use to improve sustainability are enforcement mechanisms at the local level, such as laws or justice departments that ensure that commitments are being followed. Knowledge transfer is another way to develop sustainability. The team observed that only New York City has a uniform protocol for managing and collecting knowledge, with the purpose of retaining knowledge and information gained through each open government initiative that goes beyond a political cycle.

The Municipality of Alcobendas promotes sustainability by focusing on developing and strengthening internal accountability mechanisms. The city developed a strong internal marketing campaign to increase officials’ engagement and make open government processes part of the culture of the municipality. They focused their efforts on convincing officials that sharing information, publishing data, and encouraging citizen participation are key to improving

their work. Once this process becomes part of the organizational culture, it is very difficult for a new administration to reverse all these efforts.

The City Council of Madrid created a space in its transparency portal where decision-making processes of the city can be monitored by all citizens through three mechanisms: 1) public agendas where citizens can review the meetings public servants hold and the events they participate in; 2) a registry of lobbies of the City of Madrid, to understand who the representatives of Madrid meet with and what interests they defend; and 3) normative footprint, where citizens can consult the different documents generated in the processing of the different laws of the city. These are valid accountability mechanisms for citizens of Madrid that stem from the city's mature civil society.

While there previously was no mandate for councilmembers to participate in participatory budgeting, in **New York City's** 2018 election cycle, voters approved a city charter revision that will create a citywide participatory budgeting process. New Yorkers voted yes on Ballot Proposal #2, creating a Civic Engagement Commission tasked with setting up citywide participatory budgeting no later than the city's fiscal year beginning on July 1, 2020. By 2020, councilmembers will be mandated to participate in participatory budgeting processes in every district across the city. The measure requires the Commission to partner with community based organizations and civic leaders, as well as other city agencies, to support and encourage civic engagement efforts. However, there have been critiques of the Civic Engagement Commission being an undemocratic entity, as it's proposed 15 members are all appointed by elected officials, with 8 members appointed by the Mayor, 2 members by the City Council Speaker and 1 member by each Borough President, with one of the Mayor's appointees required to be the Commission Chair.

d. Lessons from Unsuccessful Cases and Key Limitations

Many of the cases we have reviewed are in the early stages of development and are using a rapid iteration process to continue to improve. It is essential to learn from open government initiatives that were unsuccessful in reaching their goals or were discontinued.

Limitations in Early Stage Projects

In **Nairobi**, there was a strong willingness of the government to share and interpret public information as part of Kenya's Open Data Initiative, to address and improve conditions of society in Kenya. However this approach of was severely limited by two areas related to transparency and collaboration and participation: (1) interagency sharing of information and (2) invitation of civil society groups. When addressing sharing of information, it is important to consider the willingness of agency and authorities of relevant information. In this case, the then Permanent Secretary Dr. Bitange Ndemo of the Ministry of Information and Communications had to lobby and request data from agencies who were not convinced of the value of transparency and open government strategies. Additionally, Dr. Ndemo acknowledged that the process of developing the initiative and related projects rarely included or incorporated citizen

and civil society feedback. Municipalities may limit their ability to understand local problems and develop innovative policies when they fail to include civic society groups that are effective in facilitating conversations, motivating communities, and amplifying the voices of marginalized peoples, such as in Nairobi.⁷⁷

Innovation labs are becoming popular in cities and municipalities as spaces to experiment, design, test, and co-create collaboratively with citizens and government agencies. They seek solutions to concrete challenges that the city or municipality is facing and serve as consultants to the city or municipality. However, because of the nature of their work and the early stage many innovation labs are in, especially in Latin America, they have yet to achieve results of great impact and scale. The labs are experiencing small successes and are mainly focused on testing their hypothesis and learning from those experiences. The biggest challenges faced by the innovation labs is to demonstrate their value to traditional government agencies. It is hard to measure the outcomes and impact of public innovation; this is challenging for governments who need to demonstrate the benefits of any investments. Despite these challenges, innovation labs are driving change and creating spaces for multiple stakeholders to rethink together the public sector.

Mudamos is a strong example of creating spaces for co-creation of legislation and public policies, and also illustrates how open government initiatives need to incorporate constant feedback and make adjustments in order to be successful. The creation of the Mudamos platform allowed citizens in Brazil to submit draft proposals for legislation. However, Mudamos found that most of the proposals were not in the format and language necessary for a draft bill. To address this problem, they have created legislative hack-a-thons, where lawyers volunteer their time to convert the ideas of the public into the format of a draft bill that can actually be considered by the legislature. Additionally, it is important to realize that many of the initiatives in co-creation are still working to scale up, and the number of policies that have been co-created is limited at this point in time.

The team's comparative analysis found that **Spain** has developed successful open government processes in many local governments. Spain has a strong national law of transparency and participation. However, the participation law does not encourage citizen participation at a local level. This is a limitation for the municipalities, as they cannot leverage a strong national legal framework to support citizen participation. For example, in the case of Madrid, the municipality is not able to formally regulate the inclusion of citizens' proposals made in "Decide Madrid" in municipal planning, so they depend on political commitment and local normative processes that enforce the inclusion of the citizen proposals in municipal plans. This limitation is a risk for sustainability, and could lead to the process being discontinued in future government administrations.

⁷⁷ Rahemtulla, H., Kaplan, J., Gigler, B. S., Cluster, S., Kiess, J., & Brigham, C. (2012). *Open Data Kenya: Case study of the underlying drivers, principal objectives and evolution of one of the first Open Data initiatives in africa*. Open Development Technology Alliance (ODTA).

Discontinued Projects

It is essential to recognize the limitations of some open government initiatives, such as participatory budgeting. Participatory budgeting originated in **Porto Alegre**, Brazil in 1989, and contributed to a more equitable distribution of city services. By 1997, sewer and water connections went up from 75 percent to 98 percent; health and education budgets increased from 13 percent to about 40 percent; the number of schools quadrupled; and road building in poor neighborhoods increased five-fold.⁷⁸ Importantly, participation in budgeting meetings grew from fewer than 1,000 people per year in 1990 to about 40,000 in 1999. However, as time went on, a shift in political power deprioritized participatory budgeting, leading to decreased funding, and projects proposed by citizens during the process were never implemented due to poor coordination between government agencies. As a result, in 2018 participatory budgeting was suspended in Porto Alegre, in large part because there was no legal framework enforcing that proposed projects be implemented.⁷⁹

⁷⁸ Kingsley, Patrick. 2012. "Participatory Democracy in Porto Alegre." *The Guardian*. <https://www.theguardian.com/world/2012/sep/10/participatory-democracy-in-porto-alegre> (May 1, 2019).

⁷⁹ "What If Citizens Set City Budgets? An Experiment That Captivated the World—Participatory Budgeting—Might Be Abandoned in Its Birthplace | World Resources Institute." <https://www.wri.org/blog/2018/06/what-if-citizens-set-city-budgets-experiment-captivated-world-participatory-budgeting> (May 1, 2019).

Section 5: Conclusions and Recommendations

The following recommendations for implementing open government in Colombian municipalities are derived from the comparative analysis of international and domestic cases. The recommendations have been divided into three categories;

1. Public Policy;
2. Processes to Drive Open Government; and
3. Transformational Strategies and Tactics

Each category offers concrete recommendations, justification, and recommended action(s). When appropriate, we also point to concrete cases which exemplify the recommendation.

I. RECOMMENDATIONS FOR PUBLIC POLICY

(1) Explore creative ways to gain buy-in from political leaders in the municipalities as a first step for the implementation of open government

Justification: The political will of elected officials was an evident requirement in all successful cases reviewed. If public officials believe in the benefits of open government, this model is more likely to be adopted at a large scale in the municipality and become a core part of the organizational culture.

Recommended Actions:

- *Fundación Corona should identify and demonstrate how open government initiatives can reduce sanctions for Colombian municipalities and enable better service delivery.* For example, demonstrating the positive impacts of disclosure of official's financial information which has been a powerful initiative reducing corruption rates in the Nariño Government, can result in citizens trust and better outcomes for the municipality.
- *Fundación Corona can build on laws such as 1551 of 2012⁸⁰, where rules are issued to modernize the organization and operation of municipalities in Colombia. Specifically, Article 3 - Functions of the municipalities, 21. - "Publish accountability reports on the respective web page of the municipality". Demonstrate how concrete open government initiatives related to transparency and open data can help the municipalities deliver on these types of demands.*
- *Add in public opinion surveys such as Como Vamos a section dedicated to open government. Topics such as levels of trust and legitimacy in municipalities that implement open government initiatives will be of relevance to city leaders. Additionally, it would be effective to publish information or evaluations on*

⁸⁰ http://www.secretariassenado.gov.co/senado/basedoc/ley_1551_2012.html

efficiencies created and service delivery improvements generated by open government efforts.

- Develop a program that offers awards and public recognition to municipalities that implement successful open government initiatives and promote their work with national level agencies. In some of the international cases we have identified successful initiatives that leverage public recognition to incentivize public servants and citizens to commit to open government processes.
- Establish monitoring and evaluation mechanisms to collect sufficient evidence of the areas in which municipal leaders identify the unique value of open government and how it has helped them reduce sanctions and improve service delivery performance. These outcomes should be for consideration to be integrated in a national open government policy.

Example: In Colombia, the certifications “Sellos de Excelencia”, developed by MinTIC, certify the high quality of digital services and information in municipalities. Cali, for instance, has been recognized with this certification for being in the top 10 institutions in Colombia that provide quality information to citizens. This initiative could be leveraged to incentivize open government processes in other municipalities.

(2) Institutionalize and standardize open government initiatives by appointing a lead governmental agency or office. This agency should manage data, monitor and evaluate progress and offer support throughout the implementation process to ensure alignment and sustainability

Justification: The appointment of a national government agency to lead the implementation of the national open government strategy will help to ensure the institutionalization, standardization and sustainability of open government efforts.

Recommended Action:

- The institutionalization and standardization of open government in municipalities in Colombia is a long-term process. However, Fundación Corona should look into the Chile and *Diputación de Barcelona* cases and use them as reference models to advocate to Colombia’s Secretariat of Transparency to either consider these models to help municipalities adopt open government strategies or to identify other national or subnational governmental institutions that could take on the responsibility of overseeing the implementation of the open government action plan at a local level.

Example:

In Chile, the Council for Transparency (Consejo para la Transparencia), an entity created as a result of Chile’s Transparency Law in 2008, supported and guided a group of municipalities in developing an open government model that will be replicated in all the

municipalities across the country. The Council for Transparency in Chile, as the leading agency for open government, also developed monitoring and evaluation mechanisms for the implementation of the model. At the completion of this report, Chile's Council for Transparency has only piloted the model in seven municipalities, and is integrating the process based on lessons learned to soon roll it out in 20% of the municipalities of the country.

Diputación de Barcelona is responsible for offering support and guidance to all 300 municipalities in the Barcelona area. Their model starts with an open government needs assessment which is applied to each municipality, followed by a catalogue of possible services that the *Diputación de Barcelona* can deliver to the municipality, and in doing so help establish open government guidelines. The range of services offered by *Diputación de Barcelona* varies depending on the capabilities and needs of the municipality. In addition, *Diputación de Barcelona* is also responsible for offering continual support to the municipalities as they progress in the implementation of the guidelines. A concrete example is the support *Diputación de Barcelona* offers to municipalities that do not have an online platform to publish their open data as required by the Spain's transparency law. In the case of small municipalities with 100 to 200 inhabitants, they offer a shared platform so the cost is manageable for the municipalities.

While the case of *Diputación de Barcelona* is at a state level and the case of Chile is at a national level, what is relevant about these two cases is that they both showcase lead governmental agencies which help municipalities establish open government.

(3) Leverage civil society stakeholders in the development and advocacy of public policies

Justification: Civil society organizations collect and utilize comprehensive data to understand the needs and concerns of Colombians, and often have a more nuanced understanding of citizens' needs than government actors. To ensure their knowledge and data is effectively utilized by governments and to ensure natural accountability and sustainability of open government initiatives, civil society organizations must be partnered with on open government initiatives in strategic ways.

Recommended Action:

- Before starting to work with municipalities, Fundación Corona should develop a comprehensive mapping of civil society stakeholders and determine where partnerships can be created and where knowledge and capacities can be leveraged. From the mapping assessment of civil society stakeholders, Fundación Corona should aim to select two or three civil society organizations to partner with whose work is aligned with the open government pillars: transparency, collaboration and participation, and co-creation.

- Consider establishing a collaboration with Transparency for Colombia to leverage their existing relationships and channels of communication with municipalities and their public servants and leaders. Transparency for Colombia also has an in depth understanding of the contextual challenges of the municipalities that could hinder the toolkit roll-out.
- Transparency for Colombia's Municipal Transparency Index (Índice de Transparencia Municipal; IMT in Spanish), a mechanism which serves as a reference for municipalities to assess their capabilities to deliver on the expectations of the national government and citizens, is a valuable resource that Fundación Corona can leverage. The three guidelines of the index - (i) visibility, (ii) institutionality and (iii) sanction & control correlate with the pillars of open government. Transparency for Colombia has made headway positioning its Index among municipalities in Colombia, understanding the challenges that municipal leaders face when trying to establish open government mechanisms, especially corruption and mistrust.
- Transparency for Colombia has also already developed a "Practical guide for the elaboration of risk maps and anti-corruption plans" which includes tools to help local governments assess their readiness to address corruption issues. Fundación Corona and Extituto can leverage this guide and discuss with Transparency for Colombia the possibility of complementing it with tools related to the open government pillars of Participation and Collaboration.

(4) Strengthen coordination and accountability mechanisms among governmental agencies

Justification: The Colombian government shows evidence of weak enforcement mechanisms, presenting a lack of coordination between different levels of government and non-government actors. At the national level, Colombia has numerous open government initiatives, supporters, and resources that are not coordinating with local governments. Leveraging these resources for local initiatives will increase municipalities' success in implementing open government strategies. Looking at international cases with high levels of decentralization, we identified that local action has to be aligned with the regional and national context through coordination of training and professional development, transfer of resources, or by incentivizing of legal guidelines for action.

Recommended action:

- Fundación Corona should advocate for the appointment of a lead open government team or staff member in each municipality.
- Once a responsible personnel has been appointed, consider establishing a network of municipal leaders working on open government strategies to coordinate efforts, track progress on local open government plans, and share best practices. The network can be an online platform with resources and toolkits.

- Facilitate an annual conference for municipal leaders and staff members responsible for the open government strategies and activities to undergo capacity building trainings, showcase initiatives and create an organic national support network between municipalities to share best practices.

II. RECOMMENDATIONS FOR PROCESSES THAT DRIVE OPEN GOVERNMENT

(1) Integrate the sequential open government process identified in our comparative analysis into each of the five “Stages of Government” outlined in Exituto’s Toolkit Proposal (1. Campaigning, 2. Formulation of Local Development Plan, 3. Budget Formulation, 4. Monitoring of the implementation of government plans, 5. Evaluation of programs and policies)

Justification: The six phase open government process proposed in our comparative analysis is replicable, and in line with the essential principles of open government, while creating space to honor the unique characteristics of each municipality.

Recommended Action:

- Exituto should consider integrating the steps of the identified government process into the five “Stages of Government”. (Annex F: Recommended Process for Implementation of Open Government in Municipalities in Colombia) For example, in “Phase 1 - Ideation” we propose to evaluate if the necessary characteristics for open government are in place (civil society demand, political will, political champion identified). A process to ensure these characteristics are in place in the municipalities can be part of the activities that have to be included in the first stage of government, campaigning. The components of “Phase 2 - Implementation Basics” (which include needs assessment completed, dedicated agency or team, departmental alignment, citizen’s point of view included, staff training and communication strategy) can be included in the formulation of the local development plan. Similarly, the components of Phase 3, 4, 5 and 6 are encouraged to be mapped into Exituto’s toolkit and the execution of open government programs.

(2) Pilot the process integrated into Exituto’s toolkit with a small group of municipalities to test effectiveness and to allow room for iteration

Justification: The findings and lessons learned from the first pilot programs can serve as input to iterate the process and scale to more municipalities. Prior to the pilot programs, it is also helpful to define a monitoring and evaluation process to set expectations and measure progress as outlined in Exituto’s toolkit proposal.

Recommended action:

- Extituto, in collaboration with Fundación Corona, should identify a group of municipalities which demonstrate commitment toward open government to pilot the process and toolkit before full rollout.
- Consider the steps of Phase I: Ideation of the process, to determine the selection criteria for the municipalities to be part of the pilot program.

Example: One success case of executing pilot programs in open government is the case of Chile. The Council for Transparency has recently released the first “Model for the Implementation of Open Government at Municipal Level” (December 2018). The Council for Transparency ran its first pilot of the open government model for municipalities in Chile with seven municipalities. For more details on the implementation process and initial lessons learned, please refer to the Chile case notes in Annex J: International Cases.

(3) Ensure the open government toolkit includes flexibility to adjust to the local needs of individual municipalities

Justification: The implementation of the open government process must reflect the unique local culture and needs of each municipality. The speed of the open government approach in each municipality needs to be individualized based on the municipality’s readiness for adoption.

Recommended Action:

- Include the “needs-assessment” in the formulation of the local government development plan. This will provide a more realistic picture of the municipality’s readiness to successfully adopt an open government model that adjusted to the local context.
- Allow for flexibility in the order and the way in which the pillars of open government are adopted by each municipality. Each pillar evolves at a different pace and independently from the others. However, coordination and interaction between teams leading each pillar, when multiple staff members are responsible, is necessary. Each pillar can be simultaneously implemented if the government has the capacity.

Example: In the Municipality of Cali, citizen participation actions have evolved faster than transparency initiatives. This was because the process of citizen participation was initiated at an earlier stage.

(4) Commit to an iterative process, with an eye towards sustainable institutionalization of successful processes

Justification: There was consensus among interviewees that long-term sustainability is still a challenge for open government implementation. Worldwide, national and municipal governments responsible for initiating open government initiatives fear that their progress will be erased in the following electoral term.

Recommended Action:

- A variety of mechanisms, such as OGP/AGA memberships and international agencies such as the OECD and the IDB committed to open government will help Colombia and Fundación Corona remain accountable towards the sustainability of open government initiatives.
- Legal mechanisms and institutionalized areas working on this process will help to build sustainability.
- Invest in building a culture around citizen participation and indicate clear channels to citizens to demand accountability. There is evidence that in initiatives that already have strong citizen participation, such as Decide Madrid, the citizens execute accountability over the new administration, making it more difficult to cut these initiatives.

(5) Leverage national and international open government initiatives, champions, and resources where applicable. Articulate and complement existing tools that have proven to be successful.

Justification: Municipal governments are not isolated, they are part of a larger regional and national context within Colombia. Even when looking at open government cases with high levels of decentralization, local action has to be aligned with the regional and national context, through coordination of competences, transfer of resources, or by following legal guidelines for action. For the same reason, it is essential that there are clear rules and communication channels to align efforts between different levels of government. Despite the complexities of executing communication successfully, this dialogue creates the possibility of coordinating actions and strategies creating mutual benefits. In addition, international agreements, such as the OGP can benefit from incorporating learnings from concrete local initiatives of open government.

At the national level, Colombia has numerous open government initiatives, champions, and resources; leveraging them for local initiatives will increase their chances of success.

Recommended Action:

- Exstituto should leverage all the initiatives and toolkits that exist at the national and international level where applicable, and consider them in the development

of their toolkit. Refer to Annex K: Toolkit List where we offer a list of toolkits identified both in Colombia and internationally.

Example: Feeling Consulting Services has a large number of strategic tools and methods to help organizations take advantage of unexplored opportunities. They have developed the Feeling methodology, which has been used to design participatory solutions for Nariño's inhabitants based on their emotional motivations. Feeling offers its consulting services in Colombia and is also working internationally.

III. RECOMMENDATIONS FOR STRATEGIES AND TACTICS THAT HIGHLIGHT THE TRANSFORMATIONAL OBJECTIVE PROPOSED BY FUNDACION CORONA

(1) Design and implement capacity-building-trainings for local government officials

Justification: It is evident in the cases reviewed that one of the keys to successful open government initiatives is to equip local staff with sufficient open government knowledge and skills. In the cases of Barcelona and Alcobendas, general trainings on open government principles were given to all staff members together with specialized trainings such as open data management and data visualization. The trainings are ongoing and are offered while the new open government implementation strategies are being put into place. As explained by Professor José Hernández Bonivento, these trainings should not only be focused on legal and administrative issues, but also on program management and management of information, to help public servants effectively collect comments and suggestions on services and citizens matters via the participation mechanisms established and managed by the municipality.

Recommended Action:

- Create guides and/or training materials for capacity-building for local government officials.
- Develop the trainings in digital and analog formats to meet the various stages of development of the municipalities in Colombia.
- Start with the development of four basic training modules: 1) Open government general concepts, opportunities and benefits, 2) About Transparency, 3) About Collaboration and Participation, and 4) About Co-Creation.
- Develop additional in-depth modules for each pillar, such as modules on open data and participatory budgeting. These are topics of great relevance to establish open government.
- Explore a partnership with Institute of Participation and Community Action (IDPAC) for the development and promotion of the modules. The virtual education platform - "School of Participation" is an established mechanism that was created by IDPAC with the purpose of enhancing citizen participation in

Bogota. They have already demonstrated successful results not only reflected in the number of citizens who have benefited from the training, but also have made headways developing learning modules based on the input of the citizens.

Example: At the **Ayuntamiento de Alcobendas** each department, the Transparency Office and the Participation Office, is responsible for delivering, on a regular basis, training to their staff on the latest trends in both transparency and participation. They also offer trainings to public leaders, the private sector, and even citizens.

(2) Communicate the results of citizen participation and establish feedback mechanisms towards citizens

Justification: In order to ensure sustained participation and build a culture of trust between government and citizens, feedback mechanisms need to be established to communicate the results back to them. As citizens begin to feel their voice is valued, and their input can truly have decision-making power in policy change, they will engage more in the process and a positive feedback loop can be established.

Recommended Action:

- Help municipalities establish clear communication channels in the municipalities introducing open government (e.g. via online services or social media campaigns) and include metrics measuring the amount of communication back to citizens.
- Ensure municipalities have established mechanisms requesting proactive feedback from citizens (e.g. online and offline surveys).
- Publish regular updates and the results of the municipality's work via the bulletin board or the website to keep citizens informed about the results of the open government initiatives, and present proofs of services delivered and commitments made and progress.

(3) Utilize innovation labs to build co-creation skills among citizens, government and the private sector

Justification: Innovation labs are designed for experimentation, iteration and testing of public innovation solutions. These labs offer environments in which communities can develop and deliver solutions to address their own public challenges. Additionally, these spaces allow for different perspectives from political officials, academics, or civil society, to convene, interact and seek solutions together. There are multiple formats of innovation labs. Some are directly attached to the municipality, such as the case of the innovation lab in Madrid which is responsible for seeking innovative solutions to challenges identified by the Ayuntamiento de Madrid. Others are national initiatives such as Lab Argentina, and others are city labs such as LABcapital as part of the Veeduría Distrital and GovLab in New York City at New York University.

Recommended Action:

- Fundacion Corona should leverage existing innovation labs to create communities of practices of responsible and affected parties, especially municipal officials, to build knowledge and actionable recommendations that can be implemented at the municipal level.
- Seek insights from existing innovation labs in Bogota such as the lab at DNP, LABcapital and MinLAB, the national public innovation lab recently launched in December 2018 by President Duque. These labs are testing public innovation solutions; their processes and lessons learned will be of great help for the development and implementation of the toolkit.
- Explore the possibility of partnering with one of these labs to test some of the solutions expected to be implemented in the municipalities.

Example: The Municipality of San Pedro, Mexico, initiated a co-creation process by implemented an initiative designed by GovLab. The process was supported by GovLab and Codeando Mexico, a Mexican innovation lab.

IV. CONCLUDING REMARKS

Colombia has relevant successful open government initiatives which resemble the open government process identified across all cases. These initiatives can act as blueprints for other cases and provide knowledge for further research. Nariño is Colombia's most visible success in open government. It is a long-term effort driven by a variety of political leaders and governors across several administrations. While it will be helpful for Extituto and Fundación Corona to use Nariño's successful initiatives as a primary reference for efforts such as participatory budgeting, it is recommended to first ensure that the steps of "Phase 1-Ideation" and "Phase 2-Implementation Basics" of the open government process presented in this report are in place in other municipalities since these steps and phases were clearly present also in the Nariño case. This will increase the likelihood of success for the initiatives.

The Colombian cases reviewed demonstrate the importance of adjusting open government initiatives to the context and culture of each municipality and its citizens. Though we encourage referring to the successful projects and activities of the Colombian and international cases, an initiative which might have worked well in one municipality might not have the same outcomes in another. Open government is a cultural transformation that requires time and consistency to become a reality; imposing rigid models or initiatives that have worked in other contexts may result in failed efforts. In order to reach the desired transformation, establishing monitoring and evaluation measurements to track the progress and consistency of the initiatives is recommended.

In comparison to Europe, Latin America is at an earlier stage of open government adoption. In European cases, civil society has a more active role, and local governments tend to include

citizens' perspectives into all local governance and services to a greater degree. Also, municipalities consider citizens to be already prepared, engaged, and well-informed about the channels for participation. In Latin America, sustained levels of economic inequality and differences in opportunity have driven citizen mistrust, restricting channels of citizen participation. There are also still many open questions about the best mechanisms to drive participation and the advantages and limitations of technology-based solutions. There are ongoing experiments with a wide variety of participatory mechanisms for citizens to share their input, express their opinions and needs, and access services – the expectation is that this experimentation will lead to a narrower set of best practices at a more mature stage.

Latin America has a strong network of open government champions and experts who are building knowledge and supporting initiatives. Extituto and Fundación Corona should take advantage of the knowledge that has been already built, and leverage existing tools. For example, Professor Jose Hernández Bonivento, Director of the Chilean Institute of Municipal Studies of the Autonomous University of Chile, and Professor Álvaro Ramírez Alujas, from the Institute of Public Affairs at the University of Chile, are both highly regarded experts in the topic of local and regional governance and open government. Both professors were part of the academic advisory group for the first “Model for the Implementation of Open Government at the municipal level” developed by the Transparency Office in Chile.

There is a strong sense of willingness to collaborate and share best practices among OGP members. International forums, such as the Research Group in Government, Administration and Public Policy (GIGAPP) forum and events organized at the city level, such as open data week, help to convene relevant actors and share knowledge on open government. Another international example is the Community of Practice, led by the Spanish Federation of Municipalities and Provinces (FEMP), that is a platform of awareness and support for the exchange of local experiences in order to generate knowledge transfer in different contexts of the world.

ANNEXES

Annex A: Research Process

The research process occurred in five phases. Each of the phases were created to build upon previous research and formally assess information gathered.

Phase I: Understand	The Team researched and gained a conceptual approach to open government in the international and Latin American contexts.
Phase II: Learn	The Team analyzed the Colombian context which included the open government legal framework, current political and socio-economical challenges and opportunities and understanding of key stakeholders.
Phase III: Fieldwork	The Team interviewed 26 people from government agencies, academia, and civil society in Colombia, Chile, Argentina, Brazil, Ecuador, Spain and the U.S.
Phase IV: OG Process	In the fourth phase, we will convey our two lines of work to collectively complete the comparative analysis of key variables in international cases and the application to the Colombian context, and conclude our findings and recommendations. The Team conducted interviews to deepen our understanding of the national context of open government, the local government context, and the civil society perspective.

a) FUNDACION CORONA'S THREE PILLARS

Fundación Corona's work in open government is focused on an advanced view of the pillars of open government, which serve as the focal point of this workshop's research. Fundación Corona's three pillars of open government are **transparency, participation and collaboration, and co-creation**.

1. Transparency
2. Collaboration
3. Participation

In our preliminary research, in **Phase I**, of open governance and concepts, we theorized that open governance is an interdependent relationship between transparency, collaboration and participation, and co-creation. Research suggests that transparency is a key foundation of trust. For example, open data is one effective method by which the public can make governments accountable. Assuming that to some degree principles are met (OECD principles), many governments are able to provide a basis of public participation. Lastly, with some degree of transparency and collaboration and participation, the Team hypothesizes that a government is equipped to at least multilaterally and publically innovate policies or laws and fulfill co-creation. The Team expected to observe that in all international cases, that open governance strategies would follow the order as follows:

Transparency → Collaboration/ Participation → Co-creation

b) EXPLAIN THE TYPE OF CITIES WE ARE ADDRESSING (GROUP B)

Following the benchmarking of international cases, further consideration was given to the environment and context of Colombia and Colombian municipalities. This point was made during **Phase II** of our process. As previously mentioned, the framework is geared toward the municipal level of analysis. Understanding this, the Team focused on relevant and current issues in Colombia that would affect or influence the conditions of success and failures on open government strategies at the municipal level, such as the following⁸¹:

- Participation in Peace Agreement
- Justice sector (i.e. the police & court system, security)
- Corruption mitigation (i.e. budget & allocation)
- Alleviating distrust in government

Elevating these areas of concern, our framework recognizes that benchmarked cases should be able to address these areas. The significance of this is to ensure that we support and justify the application of the international benchmarked strategies to the Colombian context. Further, the Team sought to understand and validate the opportunities and constraints in which open government strategies could be applied. In understanding these conditions, the Team employed two methods: developing cases, interviewing experts and government practitioners.

c) CASE STUDIES

As a means to elaborate and benchmark on the open government strategies used internationally, the Team conducted and analyzed cases from 13 countries in 5 continents, with particular emphasis on Latin America. Additionally, the Team observed four cities on Colombia: Bogotá, Cali, Nariño, and Medellín.

1. Case description: context and conditions
2. Priorities & motivation for open government initiative(s)
3. Concerns & needs for the success of the initiatives
4. Approach
5. Key activities for implementation
6. Methodology
7. Connection to open governance themes
 - a. Transparency, collaboration, and co-creation
8. SWOT Analysis

⁸¹ We also identified target areas for intervention, and the main concerns of the Colombian population leveraging existing citizens surveys such as Como Vamos, last year's Corona Foundation report - indicators (Sustainable Development Goals and Como Vamos evaluation, the OECD and OAS).

Annex B: International Interviewee Contacts

Topic	City Country	Contacts Role	Organization	Email
Transparency	Bogota Colombia	Andrés Rugeles Secretario de Transparencia	Secretaria de Transparencia	andresrugeles@presidencia.gov.co
Transparency	Bogota Colombia	Ana Paulina Sabbagh Acevedo Asesora - Coordinadora del Grupo de Política de Transparencia, Acceso a la Información y Lucha contra la Corrupción	Secretaría de Transparencia	anasabbagh@presidencia.gov.co
Co-creation	Narino Colombia	Javier Arteaga Director	Feeling: Thinking consultancy that focuses on issues of Social Innovation, Open Government and educational innovation.	bienpensado@gmail.com
Transparency	Cali Colombia	Liliam Barrera Jefe de Oficina	Secretaría de Gobierno Alcaldía de Santiago de Cali	liliam.barrera@cali.gov.co
Transparency	Bogota Colombia	Juan Felipe Yepes Coordinador del Laboratorio de Innovación	Veeduría Distrital - El Laboratorio de Innovación para la Gestión Pública Distrital (LABcapital)	jyepes@veeduriadistrital.gov.co
General	Bogota Colombia	Nicolas Martin Bekier Director Ejecutivo	Somos Más	nicolas@somosmas.org
Transparency	Bogota Colombia	Armando José Navarro Burgos Profesional Especializado	Secretaría de Transparencia	armandonavarro@presidencia.gov.co
	Madrid Spain	María Alejandra Rico Falla Área de Internacional y Proyectos Europeos Dirección General de Política Institucional	Federación Española de Municipios y Provincias	arico@femp.es
Citizen engagement / Co-creation	Buenos Aires Argentina	Jonatan Beun Chief of Staff	National Direction of Public Innovation - LABGobAr	jonatanbeun@gmail.com
Participation	Buenos Aires Argentina	Augustina de Luca Former worker	Directorio Legislativo	agustinadeluca91@gmail.com
Co-creation	Santiago Chile	Jose Hernandez Bonivento Director	Instituto Chileno de Estudios Municipales	jhernandez@ichem.cl
Participation	Santiago Chile	Manuel Barros Director Comunicaciones	Ciudadanía Inteligente	manuel@ciudadaniai.org

Co-creation	Quito Ecuador	Diego Cevallo Secretario General del Concejo Metropolitano de Quito	Secretaria General de Coordinación territorial y participación ciudadana	diego.cevallos@quito.gob.ec
Co-creation	Quito Ecuador	Diego Hidalgo Director Metropolitano de Participación Ciudadana	Secretaria General de Coordinación territorial y participación ciudadana	diegohidalgo@msn.com
Transparency	Madrid Spain	Victoria Anderica Caffarena Directora del Proyecto de Transparencia	Ayuntamiento de Madrid	andericacv@madrid.es
Participation	Madrid Spain	Miguel Arana Catania Director del Proyecto de Participación	Ayuntamiento de Madrid	aranacm@madrid.es
Participation	Alcobendas Spain	Javier Arteaga Morales Director Proyecto de Participación	Ayuntamiento de Alcobendas	jarteaga@aytoalcobendas.org
Transparency	Alcobendas Spain	Roberto Magro Pedroviejo Director Proyecto de Transparencia	Ayuntamiento de Alcobendas	rmagro@aytoalcobendas.org
Transparency & Participation	Barcelona Spain	Carles Agustí i Hernández Responsable Gobierno Abierto	Diputación de Barcelona	agustihc@diba.cat
Transparency Citizen engagement	New York City US	Andrew Young Knowledge Director	Governance Lab	andrew@theovlab.org
Citizen engagement	USA US	Loren Peabody Research Fellow	Participatory Budgeting Project	loren@participatorybudgeting.org
Citizen engagement	New York City US	Divya Sundaram Policy & Civic Engagement Coordinator	Community Voices Heard	divya@cvhaction.org
Citizen engagement	New York City US	Ariel Kennan Civic Innovation lead	Sidewalk Labs	
Citizen engagement	New York City US	Ester Fuchs Urban Policy Concentration Director	SIPA	ef25@columbia.edu
	Medellín Colombia	Joan Lopez Program Coordinator	Youth, Peace, and Security Program, Medellin Colombia	jl4736@columbia.edu
Citizen engagement	Rio de Janeiro Brazil	Ronaldo Lemos Director	Institute for Technology & Society of Rio de Janeiro	ronaldolemos123@gmail.com

Annex C: Colombia Fieldwork Agenda

Agenda Meetings Capstone Team in Colombia; March 2019			
Institution	Contact Person	City	Date/Time
Departamento Nacional de Planeación (DNP)	Natalia Gomez	Bogotá	Monday, March 18th, 9am
IDPAC	Antonio Hernandez (Director)	Bogotá	Tuesday, March 19th, 9am
Veeduría Distrital	Jaime Torres (Veedor)	Bogotá	Tuesday, March 19th, 10am
MinTIC	Dr. Carlos Rozo	Bogotá	Tuesday, March 19th, 4pm
Visita Gobierno Abierto Cali (Oficina Asesora para la Transparencia; Secretaria de Desarrollo Territorial; Oficina de Planeación de Alcaldía de Cali)	Equipo oficina asesora y sociedad civil datos abiertos	Cali	Tuesday, March 19th. Three Team members + Esteban all day in Cali
	Secretario y/o subsecretario		
	Secretario y/o subsecretario		
Observatorio de la Democracia, Universidad de los Andes	Juan Carlos Rodríguez Raga	Bogotá	Wednesday, March 20th, 10am
Transparencia por Colombia	Andrés Hernández	Bogotá	Thursday, March 21st 2:30pm
Ministerio del Interior (Viceministerio Participación Ciudadana e Igualdad de Derechos)	Dr. Juan Carlos Soler	Bogotá	Thursday, March 21st, 5pm
Konrad Adenauer Stiftung	Maria Francisca Cepeda	Bogotá	Friday, March 22nd, 9am
Fundación AVINA	Mónica Villegas Carrasquilla	Bogotá	Friday, March 22nd, 10am
Extituto	Nicolas Diaz	Bogotá	Friday, March 22nd, 3pm

Annex D: Field Report (Omitted)

OMITTED

Annex D: Field Report (Omitted)

OMITTED

Annex E: Lienzo de Gobierno Abierto

Lienzo de Gobierno Abierto

Open Government Canvas

Herramienta para la planeación e implementación de un modelo de Gobierno Abierto

Política Pública

¿Cómo se vincula con las políticas públicas en todos los niveles?

Políticas Internacionales

Políticas Nacionales

Políticas Locales

Comunicación

¿Cómo se promueve la comunicación para aplicar el Gobierno Abierto?

Plan de Acción

¿Cómo se planea la implementación del Gobierno Abierto y qué acciones se planean para su implementación en el Gobierno Abierto?

Tecnología

¿Cómo se integran las tecnologías de información y comunicación en el Gobierno Abierto?

Innovación

¿Cómo se genera innovación que se nutra al movimiento por el Gobierno Abierto?

Necesidades

¿Cómo se vincula con las políticas públicas en todos los niveles?

Transparencia

Participación

Colaboración

Recursos

¿Cómo se vinculan los recursos humanos y financieros con los tipos de cuenta para la implementación del Gobierno Abierto?

Voluntad Política

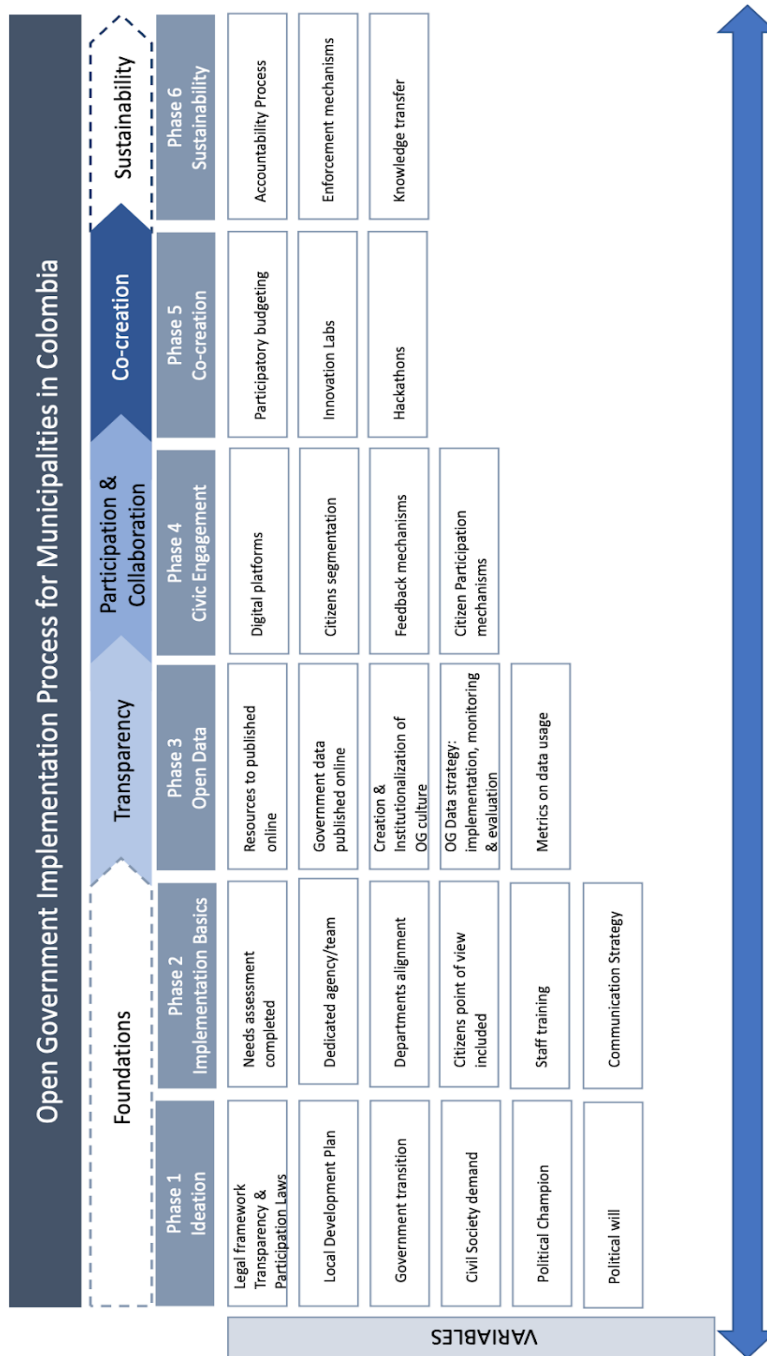
¿Cómo se vinculan los recursos humanos y financieros con los tipos de cuenta para la implementación del Gobierno Abierto?



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Annex F: Recommended Process for Implementation of Open Government in Municipalities in Colombia



Annex G: Municipalities Variables Tool

OPEN GOVERNMENT - MUNICIPALITY VARIABLES (PHASE 1 TO 3)				
	VARIABLES	CODING		REFERENCE QUESTIONS
Phase 1: Ideation	Legal framework Transparency & Participation Law	1	0	Is there a national legal framework for Transparency and participation?
	Local Development Plan	1	0	Does the municipality has a local development plan based on OG principles?
	Government Transition	1	0	Was OG the result of a local election? E.g. Major, Governor
	Civil Society demand	1	0	Was OG the result of citizens mobilization?
	Political Champion	1	0	Is there a political champion leading the OG agenda? E.g. Municipality or National political leader
	Political will	1	0	The motive force the generate political action towards open government
Phase 2: Implementati on Basics	Needs assessment completed	1	0	Does the municipality completed an OG needs assessment of the municipalities?
	Dedicated responsible	1	0	Has the municipality assigned a staff member to oversee the OG initiatives?
	Departments alignment	1	0	Has the municipality created systems and protocols for the internal departments and external agencies to align their OG activities and responsibilities?
	Citizens point of view included	1	0	Has the municipality included in the development of OG initiatives the interest and needs of the citizens?
	Staff Trainings	1	0	Does the municipality use forms or mediums to share or educate staff on OG mechanisms?
	Communication Strategy	1	0	Has the municipality developed a cohesive communication strategy including messaging, image, logo, that helps citizens, public servants stayed inform about OG initiatives and progress? (Design and Planning phase)
Phase 3: Open Data	Resources to publish government data	1	0	Does the municipality have the money, the infrastructure and connectivity, and the human capital to publish government data?
	Government data published online	1	0	Has the municipality published government data online?
	Creation and institutionalization of open government culture	1	0	Does the municipality has mechanism to build open data culture?
	Open Government Data strategy: implementation, monitoring and evaluation	1	0	Does the municipality has an overall data strategy?
	Metrics on data usage	1	0	Are the municipalities monitoring and evaluating the usage and types of the data they publish?

OPEN GOVERNMENT MUNICIPALITY VARIABLES (PHASE 4 TO 6)				
	VARIABLES	CODING		REFERENCE QUESTIONS
Phase 4: Civic Engagement	Digital platforms	1	0	Does the municipality relies only on digital platform to share information and services?
	Citizens segmentation	1	0	Does the municipality considers its diverse population for definition of their participation mechanisms?
	Feedback mechanisms	1	0	Does the municipality has mechanisms to encourage people to communicate their suggestions and feedback about municipality administration, provision of services, etc.
	Citizen Participation mechanisms	1	0	Does the municipality implement any form of participation mechanisms, such as, platform, open spaces, audio?
Phase 5: Co-creation	Participatory budgeting	1	0	Does the municipality has a participatory budgeting process in place?
	Innovation Labs	1	0	Does the municipality has an innovation lab to promote co-creation activities and to offer solutions to municipality challenges?
	Hackathons	1	0	Does the municipality hold events for civil society to suggest or propose solutions on relevant public issues?
Phase 6: Sustainability	Accountability process	1	0	Has the municipality developed a processed which will support the institutionalization of OG and the accountability of it beyond individuals and political terms?
	Enforcement mechanisms	1	0	Are there enforcement mechanisms that can be used at the local level, such as laws, or justice departments that ensure that commitments are being followed through?
	Knowledge transfer	1	0	Does the municipality has a protocol to retain knowledge and information gained through each OG initiative that goes beyond a political cycle?

Annex H: Takeaways from
International Interviews (Omitted)

OMITTED

Annex I: Summary Comparative Analysis - International Case

Open Government Phases for Municipalities	Definitions	Key Characteristics	Most Relevant Cases	Approach
Phase 1: Ideation	Cases which clearly demonstrate the core foundations to adopt Open Government	Established Legal framework & strong political will	São Paulo	Strong national legal framework that legitimates digital participation platforms
			Barcelona	Strong national Transparency Law
			Buenos Aires	Transition to new president who champions OG
Phase 2: Implementation Basics	Cases that implemented internal processes to establish OG	Internal assessment & capabilities building	Alcobendas	Staff trainings on OG and processes to coordination among departments
			Santiago	Development of model for implementation of OG at municipal level
			Quito	Develop participatory process in neighborhoods
Phase 3: Open Data	Cases which leverage open data and technology to promote transparency and build trust	Open Government Data Strategy & Data Usage	Estonia	All public services are online
			Nairobi	Developed transparency web sites complemented with initiative to utilize the data effectively
			Vancouver	Open data platforms with assessment of citizens needs, public mapping portal, mobile apps, free WIFI points in the city
Phase 4: Civic Engagement	Cases which have participation mechanisms that include citizens input and needs	Digital and analogue platforms for participation, citizen's segmentation, friendly formats	New York	Community Based Organizations network
			São Paulo	"Poupatempo" platform, "totems" which are digital self-service stations, "Móvel" which is a truck that travels to neighborhoods
			Madrid	Citizen participation platform: "Decide Madrid", integration of citizens and municipality proposals
Phase 5: Co-Creation	Cases in which, together, stakeholders actively create social value leveraging creativity and innovation approaches	Willingness to explore and experiment. Ability to build creative solutions with multiple stakeholders	New York	Participatory Budgeting
			San Pedro	Competition that encourage citizens and officials to turn ideas into implementable policies
			Madrid	Innovation Lab
Phase 6: Sustainability	Cases with mechanisms for OG long-lasting	Accountability and enforcement mechanisms	Alcobendas	Programa Director de Actuaciones (PDA); monitoring report
			Madrid	Citizens demand and enforcement
			New York	Enforcement from community based organizations and civic leaders

Annex J: International Cases

The SIPA team analyzed 12 international open government experiences at the municipal level using primary source interviews and desk research: five cases in Latin America; three cases in Spain; as well as the case of New York, Vancouver, Estonia, and Nairobi. Below are short descriptions of the context and key elements of each case, organized by region.

I. Latin American Cases:

1. São Paulo, Brazil

There are a number of open government initiatives throughout Brazil that strengthen service delivery and engage constituents in developing city charters. These initiatives are formed through a method of government crowdsourcing, which relies heavily on civic participation via the Internet to develop ideas, deliberate, and vet policy proposals.

The backbone of these initiatives across the country is the Brazilian Constitution of 1988, which created a direct democracy mechanism - if 1 percent of voters sign a petition in support of a new law, the federal Brazilian Congress must recognize it as a bill proposed by the people and vote on it as such. Today, it would take about 1.5 million signatures to reach the 1 percent threshold in Brazil, but at the municipal level some cities require as little as 300 votes in order for a bill to be heard at city council.⁸² However, this mechanism was hindered by the fact that for many years the only way to collect signatures was on paper. There were several initiatives over the last decade to allow for electronic signatures, to further democratize and facilitate civilian interaction with voting systems on bills in process.

An additional law followed that set the Brazilian Civil Rights Framework for the Internet (Marco Civil da Internet, officially Law No 12.965), the 2014 law that governs the use of the Internet in Brazil.⁸³ The project was created through a partnership between the Ministry of Justice Ministério da Justiça and the Center for Technology and Society of the Law School at the Fundação Getulio Vargas, at the time directed by professor Ronaldo Lemos. The Marco Civil is aimed at protecting the privacy rights, net neutrality, safe-harbor for internet service providers and online service providers, open government, and codifying that access to the internet is a requisite to the exercise for civic rights. This law was very important for Brazil and has withstood the test of political change. The current president, Jair Bolsonaro, challenged the law and attempted to limit the accessibility of information by signing a decree of executive privilege,

⁸² Lemos, Ronaldo. 2016. "Using the Blockchain for the Public Interest." *Positive Returns*. <https://medium.com/positive-returns/using-the-blockchain-for-the-public-interest-2ed1f5114036> (May 3, 2019).

⁸³ O'Maley, Daniel. "How Brazil Crowdsourced a Landmark Law." *Foreign Policy*. <https://foreignpolicy.com/2016/01/19/how-brazil-crowdsourced-a-landmark-law/> (May 3, 2019).

but the decree was denied by congress, and thus the public information law has remained institutionalized.

In 2017, a bill was proposed and passed in Congress to legitimize electronic signatures in popular initiative bills, which enabled government crowdsourcing platforms to be further implemented. An application called Mudamos+ was designed in 2017 as part of an initiative by the academic nonprofit Instituto Tecnologia e Sociedade (ITS-Rio), in partnership with the Movement Against Electoral Corruption (MCCE). The open-source app uses blockchain technology to create a secure way to propose and sign popular initiative bills, creating a potentially strong tool of direct democracy through the internet, which is now a legitimate, institutionalized form of participation.⁸⁴ The app makes it possible to collect certified signatures, making it easier for the public to introduce legislation directly into the Brazilian Congress.⁸⁵

On the municipal level, in order to provide Internet connectivity, and engage citizens not just in bill determination, but in accessing key data services, São Paulo has implemented a service called Poupatempo. Poupatempo is a digital platform to give citizens easier access to public services. In 2016, São Paulo started offering Poupatempo “totems” which are digital self-service stations. São Paulo has also rolled out “Poupatempo Móvel,” which is a 150 square meter truck that travels to neighborhoods and municipalities far from fixed Poupatempo stations to provide residents of those areas better access to services. According to the government of São Paulo, in 2018 the self-service totems provided 4.8 million services to citizens, including access to criminal records, vehicle debits and restrictions, and second copies of driver’s licenses.

Additionally, São Paulo has thoroughly utilized the Internet law to build an innovative crowdsourcing platform to increase public participation in revising the city’s master plan to develop a more sustainable transportation system. São Paulo’s participatory approach was initiated in 2013 after massive protests broke out over public transport fare increases regarding investments made for the FIFA World Cup. In response, the government quickly implemented civic participation mechanisms in developing the city’s 2014 master plan, which will guide the city’s urban development through 2034. To facilitate this project, São Paulo’s mayor introduced the Volunteered Geographic Information (VGI) platform, which allowed residents to provide digital input to the plan, and citizens to evaluate whether it meets public demands. According to leaders, the revision included the largest participatory planning process in the city’s history, consisting of 114 public hearings, 25,692 participants, and 10,147 contributions.

Continuing its trend towards becoming more participatory, in 2016 São Paulo joined the Open Government Partnership (OGP), along with 14 other cities, as pioneers of OGP subnational

⁸⁴Refugees, United Nations High Commissioner for. “Refworld | Freedom on the Net 2018 - Brazil.” Refworld. <https://www.refworld.org/docid/5be16b2311.html>(May 3, 2019).

⁸⁵ “ITS Rio: Technology for Good.” <https://luminategroup.com/posts/story/technology-for-good> (May 3, 2019).<https://luminategroup.com/posts/story/technology-for-good>

membership.⁸⁶ Beginning 2016, the São Paulo municipal government began to pass a number of commitments regarding decentralization, local development, and education, under the leadership of Open São Paulo. For example, the São Paulo Department of Transport founded the Mobility Laboratory (MobiLab), a crowdsourcing platform for urban transportation initiatives, and hosts multiple hackathons in conjunction with the University of São Paulo and start ups.⁸⁷⁸⁸

In addition, the municipal government has committed to strengthening the reach of open government themes among civil servants, by expanding the institutionalization of open government policies by creating a network of civil servants involving all City Hall secretariats, entities, and public venues to dialogue with the CIGA (the Intersecretarial Committee on Open Government) and São Paulo Aberta (Open São Paulo Initiative). This process was led by the Intersecretarial Committee of Open Government of São Paulo (CIGA-SP) and Municipal Secretariat for International and Federative Relations.

Since the participatory process of the municipal development plan was announced, there have been significant complaints from civil society pointing out that there were no guarantees of execution of action plans built through participation, as there was no provision for implementation budget, or even the postponement of its development.⁸⁹ Accountability mechanisms have been introduced as commitments to the open government plan, to expand upon Law no. 16,050/2014's participation requirements that were first introduced to facilitate the 2014 master plan. In 2018, the government introduced in the creation of the 2018-2020 regional action plans and neighborhood plans, to set interim development goals and ensure they are being met. São Paulo's municipal government detailed the guidelines by which the plans must be carried out within each of the 32 subprefectures in "Plano Diretor Estratégico," with an implementation deadline listed in Decree 57,537/2016. The enforcement is led by the Municipal Secretariat of Subprefectures (SMSUB).

⁸⁶Rubnitz, Talia. 2016. "15 Subnational Governments Explore Actions to Bring Open Government to the Local Level." WRI Ross Center for Sustainable Cities. <http://wrirosscities.org/news/15-subnational-governments-explore-actions-bring-open-government-local-level/> (May 3, 2019).

⁸⁷"São Paulo Wins 2014 City/State MobiPrize by Empowering Citizens and Fostering Innovation —." 2014. TheCityFix. <https://thecityfix.com/blog/sao-paulo-mobiprize-empowering-citizens-fostering-innovation-sustainable-transport-hackathon-coby-joseph-dario-hidalgo-henrique-evers-paulo-santos-rocha/> (May 3, 2019).

⁸⁸"São Paulo Wins 2014 City/State MobiPrize by Empowering Citizens and Fostering Innovation —." 2014. TheCityFix. <https://thecityfix.com/blog/sao-paulo-mobiprize-empowering-citizens-fostering-innovation-sustainable-transport-hackathon-coby-joseph-dario-hidalgo-henrique-evers-paulo-santos-rocha/> (May 3, 2019).

⁸⁹ "Pioneering Open Government Innovations in São Paulo and Austin with the OGP Subnational Pilot Program —." 2016. TheCityFix. <https://thecityfix.com/blog/pioneering-open-government-innovations-sao-paulo-austin-ogp-brittany-lane/> (May 3, 2019).

Key Takeaways

- Strong legislation has institutionalized internet protections and rights
- Civil society and public pressure motivated the development of these initiatives
- While these processes encourage participation, they do not necessarily encourage accountability, or require the government to act on civilian proposals
- Municipal governments must now set up e-voting platforms

2. Buenos Aires, Argentina

Buenos Aires is the largest city and capital of Argentina, and the second largest metropolitan area in South America. In 2010, Buenos Aires had an official population of at 2.89 million and is considered a pioneer city in open government due to its long track-record in terms of transparency, participation, and accountability. This is reflected in the fact that the city has one of the first Acts on Access to Public Information (1998) of Latin America. An update to the act was passed in 2016. Moreover, during the last seven years, the approval of the regulation on open data deepened the path towards an open government and included the portal on open data data.buenosaires.gob.ar (2012), publication of information in digital formats (2013), and the implementation of the system of distance processing (2013).

Buenos Aires has decided to prioritize citizen participation & co-creation. The main motivation for the stakeholders to participate was their willingness to make impact and learning how to use technology for the public good. Today, the city has 10 current commitments with OGP and a new action plan for 2018-2020 was recently approved. But this hasn't been easy and without risks.

One of their strategies has been to develop a public challenge, offering citizens incentives to participate. For this, they need the commitment of the citizens but they know its composition is not representative of the larger population (50 participants in the pilot). 94 percent had at least a university degree, including 14 percent with a master's degree, and 12 percent holding a PhD. The ultimate goal of this strategy is to increase the government's capacity with the help of competent community-based experts.

Besides the challenge competition, Buenos Aires works with volunteer participants. Buenos Aires is also focused on creating partnerships with experts in order to organize the trainings and coaching essential to turn ideas into implementable policies. Instead of using a top-down approach they use more decentralized, collaborative and open practices. The "Conversational infrastructure" method and tools allows them to source and implement novel approaches from civil servants and the public.

Buenos Aires officially applied to the OGP pilot program for subnational governments in 2016, based on the belief that transparency, participation and accountability can enhance a more efficient governance. By applying, Buenos Aires committed itself to involve the three branches of government– executive, legislative and judicial– under the open government paradigm, to

seek for sectoral commitments of impact on the citizens and to share its experience with other provinces, cities and municipalities of Argentina. Today, they offer incentives to participate through competitions and the winners receive training to develop their proposals into actionable and implementable policies. There is a vibrant network of global and local experts.

For Buenos Aires, open government is a government near to citizens' needs, opinions, perceptions and ideas. It is a government that does not govern for the citizens, it governs together with them. In this sense, the participation of the City of Buenos Aires in the Pilot Program for Subnational Entities, allows them to add a new channel to address citizens' concerns – through collaboration and co-creation with civil society. At the same time, it represents a reference framework to enhance the connection between institutional reforms and sectoral efforts to ground the concept of an open government in the specific issues identified by the population.

Key Takeaways

- Use open data platforms and transparency as a tool to address urban challenges.
- Encourage citizens to participate through a challenge.
- Citizens present their ideas and proposals, and are able to present their concerns about what challenges need to be addressed.
- Citizens and officials work together to turn ideas into implementable policies.

3. Santiago de Chile, Chile

The national government of Chile joined the Open Government Partnership (OGP) in 2012 and at the end of the year officials created a domestic OGP working group to elaborate a proposal for the country action plan. There are 31 Commitments for the current Action Plan.

In the design phase of the III National Action Plan of the OGP (2016) some municipalities approached the Consul for Transparency asking for their support leading a process to develop a model of open government for municipalities in Chile; it was an initiative driven by the municipalities. The Consul decides to take ownership as part of its responsibility with the OGP. They decided to develop a model that responded to the needs and expectations of the municipalities.

They have some initial guidelines: 1) the model should allow them to deliver on their political commitments made during the campaign, 2) allow them to meet the legal responsibilities of the municipalities and 3) to deliver on the needs of their citizens.

The final model was based on three core principles of open government; 1) transparency, 2) participation and collaboration and 3) accountability. Each principle has a scale from 1 to 5 with specific activities to guide the process for municipalities to adopt the open government model.

Key Takeaways

- The development plans of the municipalities which participated in the pilot were not co-created.
- The pilot was constrained by the time frame they had to finalize the third national action plan.
- The concepts in the model can be interpreted differently by each municipality. Diverse interpretations are expected.
- Once the first model is created, it should be understood that more iteration will have to happen. The development of the open government model should be a co-creation process that includes the input of all the stakeholders.
- Some municipalities decided to adopt a simple version of the open government model as a way to avoid exposure to open data demands.

4. Quito, Ecuador

In 2008, a new mechanism to support citizen participation was introduced in the Ecuadorian Constitution, but it was not until 2010 that the Participation Law was created. However, this new law did not include enforcement and sanction mechanisms, or an accountable institution. As a response to the limitations of this law, a legal code was also established in 2010 - Organic Code of Decentralization and Territorial Autonomy (*Código Orgánico de Descentralización y Autonomía Territorial*; CODAT acronym in Spanish)⁹⁰ - which included clear guidelines for citizen participation among other normatives for local governments. Citizens assemblies (*asambleas ciudadanas*) as a mechanism for citizen participation were introduced in the CODAT.

During Correa's presidency, the central government was responsible for assigning legal representatives from the state (*Personerías Jurídicas*) via the Ministry of Social Inclusion (*Ministerio de Inclusión Social*). However, this central government approach was not well received by the local governments which felt that the central government had too much control over the municipalities. This resulted in a legitimacy crisis; citizens did not trust the servants appointed by the central government.

About territorial distribution in Quito: In Ecuador municipalities are divided into neighborhoods, and those neighborhoods are also divided, by the people, into sub-neighborhoods. For example the "Fight of the Poor" (*la Lucha de los Pobres*) is a neighborhood located in the south of Quito. This neighborhood has been divided by its own inhabitants into three smaller neighborhoods. These sub-neighborhoods are not recognized by the city as official sub-neighborhoods. Each sub-neighborhood has its own community leader who represents the people in the sub-neighborhood. This self-subdivision made it harder for the government to oversee the neighborhoods. However, this issue was addressed with the recognition of the citizens assemblies included in the CODAT. Each neighborhood is able to

⁹⁰ http://www.oas.org/juridico/pdfs/mesicic4_ecu_org.pdf

organize its citizen assemblies and have more than one representative per neighborhood. This allowed each sub-neighborhood to have a representative in the citizen assembly of the neighborhood.

About the Parish Assembly (Asamblea Parroquial): Quito is divided into 65 parishes; 32 urban and 33 rural. Each parish can be formed of 300 neighborhoods and 1 parish can have 600,000 inhabitants (e.g. Calderon, located at the North of Quito). This organization of neighborhoods allowed the creation of the Quito's Assembly on December 7, 2017. City councils were not in favor of the Quito's Assembly, but after reviewing all the legal documents that supported the creation of this Assembly; it was approved. The Quito's Assembly was fundamental to the implementation for the participatory budgeting mechanisms in Quito. With the official establishment of the Quito's Assembly the city budget needed to be approved by the citizens represented by their neighborhood leaders and after of the citizen's input, by the legislative body.

Participatory budgeting - The citizens assembly allowed Quito to establish a systematic participatory processes as well as to implement mechanisms of transparency to reduce corruption acts. \$28 million USD are allocated on an annual basis to be allocated via the participatory budgeting mechanism. Each year, between August and September, 65 participatory budgeting meetings take place in each parish and the neighborhood assemblies are responsible for nominating and selecting the projects they want the municipality to invest in. Prior to the participatory budgeting meetings, the assemblies are allowed to inquire on the viability of some of the projects they consider relevant for their neighborhood; this takes place in April. It is understood that due to the budget limitations, the city is not able to deliver on all the petitions; between May and June the city reviews the requests. There are about 5,000 to 6,000 solicitors. During July, the city contacts the neighborhoods to explain what is viable and what is not. At the participatory budgeting meetings between August 1st and September 15th, the city presents the list of the projects that are viable for the neighborhood to vote on the projects and together select those that are going to be executed as per the budget and viability.

How are the representatives of the neighborhood assemblies supported to ensure they have the capacity to lead the processes effectively? The city of Quito offers several basic trainings related to leadership, budget management, and participatory budgeting. It is also relevant to mention that Quito is divided into 8 zones and each zone has its own administration with a participation arm that directly supports the members neighborhood assemblies. Each year at least 70 processes take place to inform/ socialize the 8 zones about the participatory ordinance (*ordenanza participativa*) and relevant trainings.

Quito Decide <http://www.decide.quito.gob.ec/> is a platform for citizen participation. In this platform all documentation related to participatory budgeting is posted for the public. This is also the platform dedicated to drive citizen participation. This platform was developed in Consul (<http://consulproject.org/en/>), a citizen participation tool for an open, transparent and democratic government, and it was possible due to the support of Madrid who created the platform and

supports other cities to use it to customize their own websites. Quito is also thinking about organizing hackathons. When we asked about the current level of participation in the website, Diego acknowledged that it is not as high as they would like. By March 2019, they had about 3,000 subscribers. Promoting the website has been challenging mainly because they do not have enough financial resources and human capital. They are a team of three people making all of these initiatives happen. The strategy to drive traffic to the website was to create a section “Casa Somos Quito” which promotes free workshops. These workshops already existed and were organized by the communities and delivered to people’s homes. This section of the website became the place to go for people who were looking for the latest workshop in their community. The next step was to discuss with the organizers of the workshops the possibility to offer some of them virtually to allow other people to participate. This area of “Quito Decide” has been the most active of the entire website which has been a great opportunity for Diego to support the local ways of participation. They are now working on leveraging the drive of these committed groups of people. However, Diego recognizes that they are in the early stage of these initiatives and much more needs to happen to establish a sustainable culture of citizen participation.

5. San Pedro, Mexico

San Pedro is a city-municipality of the Mexican state of Nuevo León and part of the Monterrey Metropolitan area. It has a population of around 122,000 inhabitants.

In 2016, the Municipality of San Pedro implemented the “Open Innovation for Solving Public Problems in Latin American Cities”, an initiative designed by GovLab, an innovation lab based in New York, and supported by Codeando Mexico, a Mexican innovation lab⁹¹. The project was a 12 month pilot project that launched five open innovation challenges inviting the public to collaborate in the creation of proposals to solve the main problems of the municipality.

The process consisted on publish well defined problems and their context and pair each challenge with open government data to empower the community by providing them with more tools to propose better ideas. The citizens submitted their proposals, and the government selected the 10 best rated proposals. The teams selected received a 10-week coaching and mentoring program with leading experts of the region to develop their ideas into a fully implementable project for the Municipality⁹². Mentors included the Ministry of Planning and Urban Development, the Planning and Control Unit of the Municipality, experts from the Laboratory for Mexico City, and PhD data scientists from Harvard.

The participants of the selected proposals volunteered 20 hours each week, developing their ideas into implementable proposals. As a result, they implemented open data, tech solutions. Based on this experience, the municipality has legislated civic challenges into a new Citizen Participation Law.

⁹¹ The GovLab (2017). City Challenges - San Pedro Garza García. Retrieved from: <http://www.thegovlab.org/project-city-challenges-san-pedro-garza-garcia.html>

⁹² The GovLab (2017). Open Innovation for Solving Public Problems in Latin American Cities: Preliminary Findings.

One key aspect to success, was the result of having a champion, that led the process internally and worked with the officials to engage them in the project. Also, the project focused on communication strategies, sending letters and organizing meetings with various groups of interests such as schools, universities, neighborhood leaders, civil society organizations, and the private sector⁹³.

One limitation of the model is that it excluded many people from participating, especially the working class do not have time to commit on volunteer work. 94% of the participants had at least a university degree, including 14 percent with a master's degree, and 12 percent holding a PhD. As it was a pilot, they have been working on other approaches to expand to other segments of the population and increase participation.

Different from other cases, San Pedro initiated its open government efforts with a co-creation pilot experience. This experience helped to increase citizens' participation and to increase trust in the population. Also, it helped to incorporate technical knowledge in the preparation of policy projects, since the municipality officials have long standing public service, but they lack subject matter expertise.

Takeaways:

- The importance of finding a champion within the municipality.
- Competitions and creative initiatives can attract citizen participation.
- Co-creation gives the opportunity to increase citizen participation and attract technical knowledge from prepared citizens that are willing to contribute to their cities.

II. Spanish cases:

6. Madrid, Spain

The city of Madrid has a total population around 3 million inhabitants. It is the capital of Spain and the largest municipality of the country.

The municipality of Madrid started to implement open government initiatives in 2015, when a new administration promoted the creation of the Office of Citizen Participation, Transparency and Open Government.

In terms of transparency, before 2015, there was a platform where officials shared information on a volunteer basis. In 2015, a national law made mandatory for municipalities to publish 20 datasets with basic information. Based on this, the municipality of Madrid created a local normative to promote the right of information access to the citizens, the active publication of information, and the mandatory registration of lobby information. Building on this national law, the municipality created a new Transparency Office and developed an open data portal where they shared lobby information, municipal agendas and normative information. Also, they made a local regulation to establish standard characteristics of open data and a sanction system to execute the law adequately.

⁹³ Ibid

The main idea of the municipality in transparency is that they need to publish information and data that the citizens, the media and public sector can use to generate content and news to inform others. They currently have two portals: a transparency portal that provides information that the municipality put together and explain, and an open data portal where they publish raw data that users can use to work on that. By now, there are 400 published data sets.

One key activity for this process was the implementation of a municipal formation system to promote the education of officials to share information. The municipality implements strategies, as trainings and pedagogic methods to encourage officials to share information, and there are also local laws that enforce officials to share data. Currently, they have achieved the total participation of the officials.

In terms of citizen participation, before 2015 they just had relations with formal associations. In 2015, they promoted individual participation through the creation of the first digital platform “Decide Madrid”. This platform includes four important processes: (1) a space where citizens can share their proposals, and if the proposal achieve a 1% of votes the Municipality is committed to include it in its proposals; (2) participatory budget through votes in the platform; (3) co-legislation that involves consultation of the normative before they write it, and the review of the text; and (4) citizen debates which results are included in the municipal proposals.

The main limitation for the citizen participation process is the lack of a national legal framework to encourage citizen participation at a local level. Thus, they are not able to formally regulate the inclusion of the citizens’ proposals in the municipal planning, increasing the risk of a situation where the municipality don’t implement what the citizens suggest in the platform. However, due to political commitment they have established local normative and processes that enforce the inclusion of the proposals in “Decide Madrid” to the municipal proposals.

Regarding collective participation, the area of Territorial Coordination regulates and manage the collective participation through local forums where people meet to make decisions, and relationships with associations and neighbors meetings. The Participation area is focused on individual participation.

One of the main key points of the Madrid case is that the municipality recognizes the access to information and participation as citizens’ rights. To promote this principle they developed communication campaigns through multiple channels, such as posters, buses advertisements, social media, institutional advertisement, radio, and sharing information through formal media.

In order to ensure sustainability, in transparency the local normatives backed by the national laws are very difficult to reverse. Also, they have involved citizens and media, increasing citizens’ accountability, so if a new administration stop sharing information it would create social problems. In participation, due to a legal limitation, the municipality has ensured political commitment. The “Decide Madrid” platform has around 500,000 citizens participating on it, enforcing continuity.

Key takeaways:

- The main motivation to initiate this process was the political will of the administration.
- Recognize the importance to inform citizens about their rights to transparency and participation.
- Ensure sustainability through legal and political commitment.

7. Alcobendas, Spain

In 2008 a new administration promoted to include accountability in the municipal strategy. This decision was motivated because a corruption scandal at a national level, the introduction of International Transparency Organization, and the construction of municipal transparency index that was promoted by the national government. Alcobendas began to publish information on the web page to increase transparency of the municipality.

In 2012, a private company proposed the municipality to work on an open data portal with an ad-honorem scheme. With this collaboration they began the open data platform that they are still using. Also, Alcobendas is a member of the Federacion Espanola de Municipios y Provincia, opening a space to coordinate with other municipalities, universities, civil society and the private sector about these topics. As a result, they have developed guides and publications about open government. Currently, the municipality has a Transparency Office and the Office of Innovation and Citizen relations, that is focused on participation.

At a national level there is a law of transparency, open data and administrative processes that serves the municipalities as a framework to work. The initial point for the Municipality of Alcobendas to develop a transparency initiative was to identify the needs of the population in terms of information. They recognized that the citizens need to have access to information about the municipality management, but the information that the law required does not necessarily match with the citizen needs. To address this issue, they elaborated a plan to identify and determine citizens information needs.

The municipality has an open data culture where they prioritize sharing quality information rather than quantity. They have a digital platform where they publish data, but also use traditional channels targeting different groups of the population. They publish raw datasets that population can use to be informed, but also, they work with the data to present them in simple ways, as graphs and tables, so it can be understood easily.

The Transparency office is responsible to publish the data, but all the areas must share it with them. The Transparency Office has done a close work with all the areas to train them on how to present quality data, updated, and easy to access and to understand. Also, they have engaged and sensitize them to share data constantly. Now, all the areas are committed to this goal, and they send the data periodically.

In terms of participation, the first citizen participation national law was in 1986. Since then, the Municipality of Alcobendas has been implementing some participation initiatives, but in the last

four years they began to incorporate the digital approach. Currently the municipality has implemented a new participation strategy that is focused on: new rules, a web platform and the use of social media, and a training for participation.

The participation strategy is managed by the Office of Innovation and Citizen relations that has seven officials and one supervisor. The office is divided in the three modalities of participation: individual participation, sectoral participation and strategic participation.

One of the key aspects to implement a participation strategy was to identify what are the topics and services from the municipality in which the citizens are interested to participate, segmenting by areas and ages, and be able to provide the citizens what they are looking for. Also, identify the participation channels was key. At some point the municipality had 24 channels of communication, so they had to reduce and simplify them because it was too difficult to manage them. The channels that they are currently using are a digital participation platform, cell phone applications, social media, website, telephone, and physical spaces. The municipality also has a system for feedback and metrics.

The success of these strategies in Alcobendas is based on a strong internal culture, and the commitment of officials to work towards a common goal. The teams responsible for open government have created a strategy to engage officials in the open government process based on three activities. The first is training officials through an open government course focused on the transparency and citizen participation strategy. Explaining the concepts and the benefits of both strategies were key to engaging the officials. The second activity was to promote internal participation techniques to demonstrate to officials the importance of this concept. For example, they developed the Communication Plan of the Municipality by making all of the officials participate in the process. Additionally, Alcobendas promotes a strong internal coordination strategy. The city created a board of citizen participation, where all the directors of the different divisions of the municipality are involved. For transparency, they coordinated with all of the divisions and created incentives to share information, collaborate and coordinate between them. Now all of the municipality's offices are aligned with the open government process, and incorporate this culture into their day-to-day activities.

Key takeaways:

- Strong internal culture of open government is necessary.
- The open government strategy has been constructed on a natural way. The three principles can't progress at the same pace, so the rhythm with one grows does not have to affect the other, but they have to be related and coordinated. There has to be feedback mechanisms between all the processes.
- The participation strategy began independently, and based on this and on the transparency strategy, they created the open government strategy.

8. Barcelona, Spain

We analysed the open government process that was established in the state of Barcelona (“Diputacion de Barcelona”), that has 311 municipalities. The process started as a state level who led the implementation at a municipal level. The state conducted a process to unificate policies of transparency, citizen participation and open data, all influenced by collaboration principles, into one open government strategy. This process initiated as a response to the citizen’s demands, that has advanced faster because of tech revolutions, while politics has not evolved as fast as citizens creating a gap between citizens and government.

The fundamental basis of the open government strategy in Barcelona was the existence of a Transparency Law, that has served as an important starting point for the open government initiatives in Spain. The political will for this process was fundamental, so they created a Commission, backed by the Mayor, which purpose was to engage all the officials in the municipality who will be involved in driving the open government agenda. The Commission was publicly introduced by the city Mayor who emphasized on the importance of the adoption of the open government framework by the officials and its citizens.

In its efforts to engage all the municipalities of the state in this process, the state government conducted a diagnosis to determine in which state of open government a municipality is, and how the municipality is working internally among other departments. What is most likely to find in municipalities is the absence of transversal work collaboration and a manager who is responsible for following the local requirements by the Transparency Law. Usually, Open Data arrives later into the municipalities dynamics when someone from the technology department decides to take ownership of the processes, but again there is not a collective agreement part of the municipality’s open government framework. This is challenging because open government can’t be disarticulated from the overall strategy of a municipality’s administration. This lack of cohesive work is also shown in the way citizen participation and open data are approach by the municipalities.

To address this problem, the leader of the municipality has to believe in the open government principles. The reasoning is that because resistance along the way is going to make the process challenging, if the leader does not believe in open government, the transversal coordination might not happen. Establish a Political Commission which meets about twice a year with representation of the institution, political party and the leaders of the municipality that demonstrate the collective commitment towards open government has had successful results to increase political commitment. Also, establish an Operational Commission that meets about every two months has been key. They are responsible to do the initial diagnosis of the state of open government in each municipality, led by the State government. Based on this diagnostic, they develop a plan that includes 19 programs for application. For example, if in the diagnosis they found that the municipality has numerous websites to offer their services, the recommendation is to consolidate the websites and brand it under the open government

framework and to incorporate the Barcelona District logo and communication strategies. The 19 programs are overseen by the Operational Commission.

Other component to ensure that the adoption of the open government principles is transversal is the marketing and communication of the overall strategy. This is a fundamental step and the one which is going to allow build awareness, credibility and sustainability to all the initiatives. It relies on simple and clear messages that the municipality sends to the citizens about the commitment towards a transparent, open and participative government that values its citizens to build together. The consistency of the messaging, the channels used, and the simplicity for everyone to understand and to feel represented is fundamental for a successful open government implementation.

The government of Barcelona established the following steps to implement the open government framework:

Consider flexibility, size, and ideology of the municipality, and the way the municipality decides to start the adoption of the open government framework. Some municipalities decide to start the process with Open Data, while others adopting the transparency law. They implement the following activities:

1. Conduct survey for diagnosis, and to anticipate the needs and the areas in which they will need support. Created a criterion of 10 indicators to determine the state in which the municipality is found regarding OG principles.
2. Conduct trainings to ensure that everyone involved in the process of creation, implementation, and sustainability understand the concepts and purpose of open government. Also, it is relevant to explain that open government is a cultural transformation that takes time and that needs to happen among everyone including government, public servants and citizens. This is crucial because, having an attitude that demonstrates the beliefs and commitment toward the open government principles. They implement a training which include four modules; 1) general overview of open government 2) citizen participation 3) open data and 4) transparency.
3. Determination of the projects that are relevant to each municipality. This depends on the capabilities and interests.
4. Electronic voting as a participatory tool. This allows the basic citizen's participation for consultations to citizens about their preferences. The main benefits are the speed to the process of making decisions about the preference of the citizens and the cultural transformation that this approach brings to the municipality including the training of the older generations to familiarize with the process.
5. Implement technology infrastructure, connectivity, mechanisms and partnerships with national agencies that drive open government policies and initiatives around technology.
6. Support the participatory processes to display all participatory processes e.g. participatory budgeting.

7. Develop a platform online for municipalities to host their open government website. All municipalities who need can have access to this simple participatory platform. This is of relevance to smaller municipalities if hundreds of inhabitants.
8. Transparency Law implementation - this is of relevance particularly for small municipalities which do not have the resources to have additional staff members responsible for the compliance of the municipality to the Law.
9. Implement an Observatory of Open Government: This is a fact sheet that is shared with all the 311 municipalities to inform them about trends and international success cases. The purpose is to share information and initiatives that could inspire implementation of new ideas.
10. Establish a virtual Community for every municipality and/or members can share ideas and comments.
11. High-touch services and assistance to small municipalities. They can invest numerous hours helping the municipalities fill out forms and establish simple processes.

Key Takeaways:

- Barcelona has conducted a process from the state level to engage the municipalities to the open government process. Having a higher level of government commit to this process and willing to guide lower levels of governments can be very successful.
- A needs assessment, political will, staff trainings and marketing and communication have been key aspects to scale the open government process.

III. Other international cases:

9. New York, US

Participatory Budgeting began in New York City in 2011 at the municipal governance level, as a method to increase civic participation in deciding where to allocate resources within their communities. The process was initiated by the Participatory Budgeting Project (PBP), a nonprofit that creates and support participatory budgeting processes that deepen democracy, build stronger communities, and make public budgets more equitable and effective. PBP has worked directly with civic leaders in dozens of cities and institutions in the US and Canada to plan and run PB processes.

Each year, New York City Council Members choose to join Participatory Budgeting New York City (PBNYC), giving at least \$1 million from their budget for the whole community to participate in decision-making from their discretionary funding. There follows a year-long process of public meetings, to ensure that people have the time and resources to make informed decisions. Community members discuss local needs and develop proposals to meet these needs. Project ideas are split into two categories: (1) Capital Projects, including improvements to parks, schools, and transportation, and (2) Expense Projects, including arts and culture and city-led programming.

Through a public vote, eligible for residents above the age of 11 to participate in, residents decide which proposals to fund. Council Members choose to join Participatory Budgeting New York City (PBNYC), giving at least \$1 million from their budget for the whole community to participate in decision-making. So begins a yearlong process of public meetings, to ensure that people have the time and resources to make informed decisions. Community members discuss local needs and develop proposals to meet these needs. A number of constituent-led committees are developed, and the constituent liaison of each councilmember typically leads the process of developing and coordinating among committees. This includes a District Committee which oversees the implementation of the PB process, Budget delegates who facilitate the interactions with government agencies to receive adequate resources, and PB Subcommittees to speak frequently with the groups of project proposers, to navigate and define the scope areas of the projects.

In NYC, in 2018, 102,800 New Yorkers voted for their favorite projects across 31 Council Districts, allocating over \$40 million in Capital funds for PBNYC Cycle 6 (2016-2017). Cycle 6 saw a 45 percent increase in the number of voters (up from 67,691 voters in Cycle 5).

Studies show evidence that PB participants are more likely to join civil society groups after participating and that civil society organizations increase in quantity, expand their activities, and become more densely linked.⁹⁴ Interviews with Councilman Brad Lerner's Constituent Liaison Shahana Harif support these studies.

The main factors of success of participatory budgeting are the decision of elected officials to participate in the project continuously over several years, their decision to allocate adequate resources to meet the requests of their constituents, and the coordination between city agencies to realize the projects. In 2018 in NYC, while the number of paper ballots stayed consistent, the recent off-site digital voting accounted for this growth in participation. However, the program faced challenges allocating resources to meet citizen needs and ensuring efficient/accessible service delivery. Additionally, the Participatory Budgeting arm of the NYC Council has developed cohesive, standardized materials for Budget Delegates and Facilitators to use.⁹⁵

While there previously was no mandate for councilmembers to participate in PB, in 2018's NYC election cycle, voters approved a city charter revision that will create a citywide PB process. New Yorkers voted yes on Ballot Proposal #2, creating a Civic Engagement Commission tasked with setting up citywide PB no later than the City Fiscal Year beginning in July 1, 2020. The measure requires the Commission to partner with community based organizations and civic leaders, as well as other City agencies, to support and encourage civic engagement efforts. However, there have been critiques of the Civic Engagement Commission being an

⁹⁴ Baiocchi 2005; McNulty 2011; Van Cott 2008; Gonçalves 2014; Touchton and Wampler 2014; Wampler, McNulty & Touchton 2018

⁹⁵ "Resources." *Participatory Budgeting*.

<https://council.nyc.gov/pb/resources-for-budget-delegates-and-facilitators/> (May 3, 2019).

undemocratic entity, as it's proposed 15 members are all appointed by elected officials, with 8 members appointed by the Mayor, 2 members by the City Council Speaker and 1 member by each Borough President, with one of the Mayor's appointees required to be the Commission Chair.

Apart from the municipally-led civic engagement conducted via PB, there is also a system of federal laws that mandate civic participation in developing housing policies under the Fair Housing Act (FHA). The FHA was originally written into law in 1968 by the US Department of Housing and Urban Development (HUD), to protect people from discrimination when renting or buying a home or receiving a mortgage loan from a bank. However, there have been issues in ensuring this law is met and enforced. Starting in 2015, HUD updated the FHA regulations, and now in order for cities to receive federal funding linked to housing development, all municipalities, including NYC, are required to have a certain amount of civic participation in developing housing policies. HUD released a guidebook to accompany the roll out of this updated policy, called the Affirmatively Furthering Fair Housing (AFFH) rule.

The rule establishes specific requirements program participants must follow for developing and submitting Consolidated Plans and Public Housing Agency (PHA) Plans for funding consideration. For the purposes of the rule, "community participation" means a solicitation of views and recommendations from members of the community and other interested parties, a consideration of the views and recommendations received, and a process for incorporating such views and recommendations into decisions and outcomes.⁹⁶ The rule lists types of stakeholders that must participate, including public housing residents, leaders of local community organizations, among others. It states the incentives for community engagement, stating that it bridges the gap between current local needs and decisions about where and how to invest public dollars judiciously, ultimately proving more cost-effective solutions that best serve constituents.

In both the PB and Housing cases listed above, engaging many different stakeholders in the process has proven to be the most successful way to ensure that projects are truly completed and public officials are held accountable. This decentralized collaboration acts as a natural accountability mechanism, as people involved will want to ensure that their participation leads to an outcome.

Key Takeaways

- Individual councilmember support, and nonprofit capacity building support was a necessity to motivate the project
- Coordination between individual agencies can make implementation difficult
- Constituent engagement at every level of process increases chances of long-term civic engagement

⁹⁶ HUD Exchange (2015) AFFH Rule Guidebook U.S. Department of Housing and Urban Development <https://www.hudexchange.info/resources/documents/AFFH-Rule-Guidebook.pdf>

10. Vancouver, Canada

In May of 2009, Vancouver City Council passed a motion referred to as Open3 which declared that the city of Vancouver would endorse the principles of open and accessible data and would freely share with citizens, business, and other jurisdictions the greatest amount of data possible while respecting privacy and security concerns.⁹⁷ The initiative was proposed by City Councillor Andrea Reimer, and was the first municipality in Canada to adopt an open data policy.⁹⁸

The city then launched the Open Data website in September 2009 and have been adding new data to it since then. In May of 2010, they developed a longer term plan for open data. The plan outlined short and long term goals, including the publication of certain datasets, engagement with users of open data, and moving open data from project phase to an operational program.

The city's response to this motion involved an initial assessment of what data could and should be made available in the short-term. They identified data that was of most interest to the community and that had already been vetted through many of the legal, business, and technical processes required to make information publicly available. This has since been published in map form in VanMap, the city's public mapping portal. There are currently over 155 datasets available for public use, including building footprints, business improvement areas, transportation, and city/school/election ward boundaries. Meanwhile, the Vancouver Public Library has been a leader in providing access to digital services. Its access to online resources was one of several reasons it was named as one of the world's top public libraries in 2013.

In September 2013, Vancouver adopted the Canadian Open Government Licence (OGL). It gives users consistent terms for accessing and using government data, making it easier to combine, integrate, and share data from multiple providers across Canada. This is a major step towards encouraging wider use of open data and delivering more value to the public. Vancouver joins the Government of Canada, Provinces of BC, Alberta, and Ontario, and the cities of Nanaimo, Edmonton, and Toronto in adopting the OGL.

Additionally, Vancouver was the first city in Canada to implement a digital strategy, to effectively use open data and engage citizens. This effort has been spearheaded by the city's chief technology officer, Jessie Adcock, and it advanced "mobile-first perspective" through the Vanconnect app. The city app can be used to use public transportation to travel throughout the city, and conduct daily service needs like getting a dog license, booking swimming lessons at

⁹⁷ City of Vancouver (2009) Motion on Notice B.2. "Open Data, Open Standards, and Open Source <https://vancouver.ca/files/cov/open-data-council-motion-20090519.pdf>

⁹⁸ VANCOUVER becomes role model for open source in government

[Kavur, Jennifer, ComputerWorld Canada](#); North York [Vol. 25, Iss. 12](#), (Jul 10, 2009): 14.

public pools, or submitting other service requests, as well as watch city council meetings. There are 500 free Wi-Fi points in Vancouver to facilitate accessibility.⁹⁹

Since Vancouver's implementation, the city of Edmonton, Ottawa, and Toronto have joined have joined forces on an open data framework. Their goals are to enhance current open data initiatives, data standards, and terms of use. A key limitation to the implementation of the open data initiatives has been resistance from city agencies in updating and engaging with open data, as they have perceived suspicions of open source data, and who will use it.

Key Takeaways

- City council instrumental in institutionalizing open data initiatives
- Partnered with civil society institutions to ensure data was utilized and effective
- Coordinated with other cities to replicate method

11. Estonia

Estonia is one of the most advanced countries in developing transparency and building trust with citizens through open data, and the Estonian government has been at the forefront of leveraging new technologies to improve governance. Estonia's transformation began when it sought to differentiate its economy from other states and ensure competitiveness by creating a 'digital society'.¹⁰⁰ In 2001, Estonia began issuing electronic ID cards for citizens, which enabled every citizen to have a legal digital signature. These signatures are now used to verify virtually every government service except for the most sensitive, such as marriage.

O

Today, more than 99% of government services are digitally accessible through the government's online platform e-Estonia. The efficiencies generated from digitizing public services saves Estonia 2% of its GDP every year, which is equivalent to what the country contributes to NATO for security protection. The Estonian government began using blockchain technology in 2008, and citizens can now vote online using blockchain.¹⁰¹ Citizens can also track each time their personal information is used by the government in an online audit log, and view extensive government data - including budgetary information, land registrations, and the financial investments of politicians.¹⁰² This level of openness has led Estonia to become one of the least corrupt countries in the world.¹⁰³ Estonia's communications strategy to build trust in

⁹⁹ "City of Vancouver Honoured with Digital Transformation Award." 2018. Georgia Straight Vancouver's News & Entertainment Weekly.

<https://www.straight.com/life/1116701/city-vancouver-honoured-digital-transformation-award> (May 3, 2019)

¹⁰⁰ "Estonia, the Digital Republic | The New Yorker."

<https://www.newyorker.com/magazine/2017/12/18/estonia-the-digital-republic?reload=true> (May 2, 2019).

¹⁰¹ "Blockchain for Social Impact." Stanford Graduate School of Business.

<https://www.gsb.stanford.edu/faculty-research/publications/blockchain-social-impact> (May 2, 2019).

¹⁰² Ibid

¹⁰³ e.V, Transparency International. "Corruption Perceptions Index 2018." www.transparency.org. <https://www.transparency.org/cpi2018> (May 2, 2019).

the digital system and ongoing capacity building activities with citizens have been critical to the success of these initiatives.

Estonia is in the process of implementing its fourth national action plan as part of the Open Government Partnership. The key focus of the 2018-2020 action plan is increasing inclusiveness and transparency of government at the state and local level in Estonia.¹⁰⁴ The key initiatives of the fourth national action plan are:

- Creating a new information system to support a more inclusive process of drafting legislation
- Trainings and advice to promote earlier and more substantial civic engagement
- Providing support to the local level for developing local open government action plans
- Creating a user-friendly tool for the public to compare the quality levels of public service in different local governments
- Working to increase the openness of Estonian parliament and develop skills for participatory democracy in school education

There are a number of efforts in Estonia that complement the implementation of open government principles, including the National Anti-Corruption Strategy; the Civil Society Development Concept to empower capable and socially active citizens; the Action Plan for Administrative Capacity; as well as general principles of legal policy that have minimum requirements for impact analysis and stakeholder engagement.¹⁰⁵

Previous national action plans emphasized information availability and participation opportunities to support more inclusive and transparent policymaking. These efforts included the development of Estonia's open data portal opendata.riik.ee; and the Citizen Initiative Portal, where every Estonian can present issues relevant to society or send a collective address to the parliament. Estonia has created an e-consultation system that can notify stakeholders when legislation is being drafted, summarize the results of public consultations, and share other important information during the legislative process. The government has also centralized and standardized information related to participation opportunities on ministry websites and actively updates the information.

Estonia's e-Governance Academy works to build capacity with local leaders to create local open government action plans and support their implementation.¹⁰⁶ The initiative was piloted in the municipalities of Elva and Lääneranna, and also produced general recommendations for open government initiatives in all local governments.¹⁰⁷ Continuing this work during the

¹⁰⁴ "Estonia Action Plan 2018-2020 | Open Government Partnership." <https://www.opengovpartnership.org/documents/estonia-action-plan-2018-2020> (May 2, 2019).

¹⁰⁵ Ibid

¹⁰⁶ "About Us." *e-Governance Academy*. <https://ega.ee/about-us/> (May 2, 2019).

¹⁰⁷ "Open Government Partnership at the Local Level in Estonia | Open Government Partnership." <https://www.opengovpartnership.org/stories/open-government-partnership-local-level-estonia> (May 2, 2019).

implementation of the 2018-2020 OGP national action plan, the Estonian Ministry of Finance is the leading agency coordinating the open government efforts of Estonia's 79 local governments.¹⁰⁸ Currently, most local governments in Estonia publish data on their local website, facilitate youth councils, and share information on council sittings, but many do not take a comprehensive and systematic approach in their open government initiatives. The development of local open government actions plans is intended to better coordinate these efforts for greater impact.

Although Estonia is significantly smaller than Colombia in terms of population, many of the country's innovations in government digitalization and open government could be applied to the Colombian context.

Key Takeaways:

- Digitalization of public services creates significant efficiencies, which can be used as an incentive for local leaders
- Open data and increased transparency have helped Estonia become one of the least corrupt countries in the world
- The Estonian government actively communicates with citizens on open government initiatives and is working to build the capacity of citizens to be more active participants
- Estonia's e-Governance Academy is building capacity for local governments to create their own local open government action plans

12. Nairobi, Kenya

In 2011, Kenya became one of the first African countries and 22nd internationally to launch an Open Data initiative. This initiative made 160 government datasets freely available through an online portal. The initiative was intended to support greater transparency among other things, and fundamentally change the nature of citizen-government interactions. Through conversations with Nanjala Nyabola, Nairobi based political analyst and author of "Digital Democracy, Analogue Politics: How the Internet Era is Transforming Kenya," the following information was gathered regarding open data initiatives throughout Kenya.

This initiative was largely motivated by the government desires to stabilize economic performance and restore sustainable growth. Despite being the fourth largest economy in Sub-Saharan Africa, Kenya experienced uncertainty in the economic recovery in 2010 after a series of events such as post elections, drought and global food crisis, and the financial crisis in 2008 and 2009. Another motivation for implementation was the Kenyan government's desire to understand the consumer of information, and address limiting access such as digital inclusion and information literacy.

¹⁰⁸ Estonia Action Plan 2018-2020 | Open Government Partnership."
<https://www.opengovpartnership.org/documents/estonia-action-plan-2018-2020> (May 2, 2019).

Open Data initiative was led by the Permanent Secretary (PS) Dr. Bitange Ndemo of the Ministry of Information and Communications, through the 2006 Kenya ICT Strategy, which called for the release of government data for ICT products. PS Ndemo requested ministry data in 2009, a year in advance of launching an eta data portal. He engaged and negotiated with ministries to release database, and leveraged external relationships with organizations, such as the Open Government Partnership (OGP) for additional datasets and best practices. PS Ndemo developed a taskforce of both government and non-government officials and various sectors, which established four teams to focus on the following areas: Technical/ Usability, Data, Launch, Legal and Policy Development.

The Open Data initiative is today managed by the Information and Communication Technology (ICT) Authority, a State Corporation under the Ministry of Information Communication and Technology. The corporation was established in August 2013. The Authority is tasked with rationalising and streamlining the management of all Government of Kenya ICT functions. Their broad mandate entails enforcing ICT standards in Government and enhancing the supervision of its electronic communication. They also promote ICT literacy, capacity, innovation and enterprise in line with the Kenya National ICT Masterplan 2017. The key actors to keep the Open Data initiative running are the Kenya ICT Board, the National Council for Law, World Bank, iHub, mLab East Africa, Ushahidi, and Google.

Initial feedback shows that the most frequently used Open Data Portal datasets, by public users, included public expenditure information, census data and poverty rates. Additionally, there exists Eduweb, an Education Management Information System (MIS) that uses data from the Ministry of Education, that enables management of school & student data, examinations & financial analysis, to assist parents selecting schools for their children.

In order to spur usage of the Open Data Portal, the Kenya ICT Board launched the Tandaa Digital Content Grant in 2010, a \$4 million, three-year grant program to entrepreneurs to develop applications that utilize the data to provide services or products for citizens. The Board also launched Digital Village Centers, which are focused on enhancing female access to ICT in rural areas and creating an enabling environment for ICT in education, and increasing ICT careers for women. Lastly, the open data portal is supplemented by Huduma Centres, which are one-stop-shop citizen service centres that provide efficient Government Services at the convenience of the citizen, from a single location. There has also been movements to implement e-learning resource centers at Community Libraries across the country.¹⁰⁹

Key limitations of implementation have been that not all municipal ministries and agencies are willing to share information. Additionally during the planning and implementation phase, there was little to no interaction with civil society groups. Despite the efforts of establishing education centers, there is a lack of addressing the limitations and barriers to data use and

¹⁰⁹ venturesafrica. 2013. "72% Of Kenyans Lack Internet Access." Ventures Africa. <http://venturesafrica.com/72-of-kenyans-lack-internet-access/> (May 3, 2019).

interpretation at the constituent and civil society level. There must be training programmes to build the capacity of government departments in practical issues, as well as complementary programmes including technological support and showcases highlighting tools available to the public.

Key Takeaways

- Digital literacy and training is a necessity
- To elicit a better response, must leverage of civil society groups and local tech communities is necessary
- Agency buy-in can be achieved through international support
- Internet connectivity is private, which can limit citizen ability to engage

Annex K: Compilation of Toolkits

Nariño

Feeling: Canvas Open Government

Feeling is a global thinking consultancy that proposes a tool for the planning and implementation of an Open Government model. His Open Government Canvas (LIGA) is born from the experience of the implementation of an Open Government policy in the department of Nariño. Inspired by the Model Business Canvas, it seeks in a visual way to organize in nine modules the necessary elements for planning and action when working on the construction of an Open Government model.

<https://lohiceconfeeling.com/v2/>

Bogota

Methodology AEI, Public Innovation Laboratory of Bogota

The AEI Methodology of Innovation has been created by the Innovation Laboratory for Public Management of the District Veeduría, LABcapital, and is being used to improve and positively contribute to the quality of life of the inhabitants and visitors of Bogotá. Its acronym AEI refers to the steps of its methodology (in order): empathy, intuition and action. The implementers of the AEI Methodology of Innovation, are considered coLABoradores by LABcapital.

<http://labcapital.veedurriadistrital.gov.co/sobre-el-laboratorio/metodologia>

Función Pública

The technical, strategic and transversal entity of the National Government that contributes to the well-being of Colombians by continuously improving the management of public servants and institutions throughout the national territory. Public Function is part of the 24 sectors that make up the National Executive Branch, being the head of the Public Function sector, which also includes the Higher School of Public Administration (ESAP) is a decentralized entity of universal character with regional presence.

<http://www.funcionpublica.gov.co/inicio>

Actue Colombia: anti-corruption and transparency project

Project and tools provided by the European Union to support the Colombian government in strengthening its comprehensive anti-corruption public policy (PPIA). The institutional strengthening project of the Colombian capacity to increase integrity and transparency aims to strengthen the integrity, transparency, access to information and accountability of public entities at the national, territorial and sectoral levels. It also aims to generate cultural and institutional changes, promote co-responsibility of the private sector, and finally create the conditions for compliance with international commitments of the country.

<http://actuecolombia.net>

Transparencia por Colombia: practical guide for risk maps and anti-corruption plans

TpC advises citizen reporting and promote the social and judicial punishment of corruption. Their guides require better accountability in the financing of political campaigns and contribute to the private sector rejecting and combating corruption. TcP motivates citizens to influence the protection of the public and the social sanction of corruption, also contributes to strengthen public management from the administrative to close space for the corrupt.

<http://transparenciacolombia.org.co>

International

Open Data Kit

The Open Data Kit community produces free and open-source software for collecting, managing, and using data in resource-constrained environments. The community produces two suites of software: ODK and ODK-X. Their users include Google, WHO, CDC, USAID, the Red Cross and Red Crescent, the Carter Center, the Jane Goodall Institute and many others. From monitoring rainforests to observing elections to tracking outbreaks, Open Data Kit is widely used for mobile data collection.

<https://opendatakit.org>

OGP Participation and Co-Creation Toolkit

Captures a multitude of good practices in participation and co-creation and presents them to encourage further adoption and innovation and help government reformers and civil society partners alike in improving the quality and output of co-creation processes across OGP.

<https://www.opengovpartnership.org/stories/ogps-participation-and-co-creation-toolkit-usual-suspects-business-usual>

Collection of guides by and for transparency

The project of edition of the "Collection of Guides by and for Transparency" arises from the Strategy of Innovation and Creation of Public Value of the Diputación de Castellón. With the intention of giving useful tools to all City Councils to be able to manage it efficiently and legally. The aforementioned collection is comprised of an Update and Maintenance Guide for the Municipal Transparency Portal, and another on the Exercise of the Right to Access to Municipal Public Information. A third Guide of File and Municipal Documentary Management tries to give fulfilled answer to the needs of the City councils in relation with the requirements related to the electronic management of the documents and its later long-lived file, in view of the innumerable requirements that the regulations of Administration electronics imposes.

<https://transparencia.dipcas.es>

OECD - Anti-corruption and integrity in the public sector

Traditional approaches based on the creation of more rules, stricter compliance and tougher enforcement have been of limited effectiveness. According to OECD, strategic and sustainable

response to corruption is public integrity. Integrity is one of the key pillars of political, economic and social structures and thus essential to the economic and social well-being and prosperity of individuals and societies as a whole.

<http://www.oecd.org/gov/ethics/>

OECD - Digital government

OECD's work on digital government explores how governments can best use information and communication technologies (ICTs) to embrace good government principles and achieve policy goals.

<http://www.oecd.org/gov/digital-government/>

OGP - Local Civil Society Expertise

The most important resource available to secure the development of ambitious commitments and strong action plans is the expertise of national Civil Society Organizations. OGP promotes establishing permanent dialogue forums or hosting thematic workshops in order to bring together civil society and government, and co-create innovative solutions for public problems. These are the contacts that OGP provides to ask about inventive consultation mechanisms:

https://docs.google.com/spreadsheets/d/1QBPIrdTk_36UmlcFZp5aZsDhX1EA-I02XAtgwJj7cWM/edit#gid=1272166913

OGP - Point of Contact Manual (POC)

The POC Manual brings together updated versions of all the materials that the OGP Support Unit has developed to guide and aid government points of contact in the drafting, implementation and assessment of National Action Plans. It includes information on issues such as basic templates to develop commitments, basic requirements and best practices for consultations, peer exchange opportunities, country calendars and rules regarding delays. Even though, the main audience for this document is government officials, it can provide civil society advocates with a detailed list of everything that their OGP participating government is expected to do.

http://www.opengovpartnership.org/sites/default/files/ogp_2016_poc_manual.pdf

Independent Reporting Mechanism Reports (IRM)

Is a tool by which all stakeholders can track OGP progress in participating countries. The IRM produces annual independent progress reports for each country participating in OGP. The progress reports assess governments on the development and implementation of OGP action plans, progress in fulfilling open government principles, and make technical recommendations for improvements. These reports are intended to stimulate dialogue and promote accountability between member governments and citizens. In addition to publishing reports, the IRM also releases all of its data in open data format.

<https://www.opengovpartnership.org/about/independent-reporting-mechanism?sa=D&ust=1455038888979000&usq=AFQjCNFC1CQk5Uz-Zg5yQiLzF-btKaKymQ>

OGP - The Open Government Guide

A resource for people working to make their governments more transparent, responsive, accountable and effective. It was designed in particular to support the OGP. The Guide has been developed by the Transparency and Accountability Initiative (T/AI). It aims to support governments and civil society organizations to advance transparency, accountability and participation particularly as part of the Open Government Partnership. It highlights practical, measurable, specific and actionable steps that governments can, and are taking to advance open government.

https://www.opengovpartnership.org/sites/default/files/open-gov-guide_summary_all-topics.pdf

Open Government Costing Tool

The Open Government Costing Tool is a Microsoft Excel based application designed to support the collection and calculation of the cost of open government programs. This tool was created as a companion to the Open Government Costing Framework and Methods, which details an approach to estimating the cost of open government programs. This tool is a template in which users can directly enter data collected on input units and unit costs of an open government program and automatically generate an estimate for the cost of the program. The publisher also offers written guidance on the use of the tool.

https://www.r4d.org/wp-content/uploads/R4D_OpenGov_Priceless_web.pdf

The OGP Toolbox

The OGP Toolbox is a free software and platform to guarantee sustainability, independence and the capacity to associate various actors at the international level towards open government. In February 2017, the OGPToolbox.org association was created to fulfill the mission associated with the platform. The object of the association is to empower public, private and civil society actors worldwide by sharing digital tools and resources, in order to promote democracy, transparency, participation and collaboration.

<https://ogptoolbox.org/en/>

Implementing Innovation: A User's Manual for Open Government Programs

A hands-on resource that provides practical advice, guidance, and an 8-phase process from concept development to implementation for building an open government program, with each step referencing principles, lessons learned, case studies, and a checklist for determining whether you are at the right phase. This resource complements Open Government Partnership Action Plans and was developed as part of a year-long project with the Mexican government.

<http://implementinginnovation.org/manual/>

Open Policy Making Toolkit

The publisher defines Open Policy Making as developing and delivering policy in a fast-paced and increasingly networked and digital world through collaborative approaches, new analytical techniques, and testing and iteratively improving policy. The manual includes information about Open Policy Making in the United Kingdom government as well as tools, step-by-step guidance and techniques policy makers can use to create a more open and user led policy.

<https://www.gov.uk/guidance/open-policy-making-toolkit>

Toolkit for Advancing Legislative Openness

This resource aims to enrich the efforts of parliaments and their civil society counterparts to engage in collaborative processes, either as part of the Open Government Partnership National Action Plan or otherwise. The first section focuses on the development of open parliament commitments. The second section shares the experiences of a variety of parliaments and civil society organisations in collaborating in the creation of parliamentary openness commitments and in developing ongoing mechanisms for dialogue on openness. The final section shares some of the types of commitments that parliaments have made to become more open, accountable and engaging citizens. It also lists additional resources that can be drawn upon to advance parliamentary openness. The resource is available in English, Spanish, and French.

<http://openparltoolkit.org>

Open Government Data Toolkit

A collection of online guidance and knowledge to assist countries and others in setting up open data strategies and platforms. The resource is comprised of seven sections: Open Data Essentials, Starting an Open Data Initiative, Technology Options, Demand & Engagement, Supply & Quality of Data, Readiness Assessment Tool, and Technical Assistance and Funding.

<http://opendatatoolkit.worldbank.org/en/open-data-in-60-seconds.html>

Open Data Swiss Handbook

The resource provides support for individuals and organizations wishing to publish open government data. Some guidance may be specific to the Swiss context. It is designed as a wiki: contributions from organizations and individuals that have experience with open data are welcomed. The resource is organised into stages: identify, prepare, publish, and support. A Github repository of the website's code is also available.

<https://handbook.opendata.swiss/en/pages/index>

Do-it-Yourself Open Data Toolkit

The Do-it-Yourself (DIY) Open Data Toolkit provides a step-by-step guidance on how to develop an open data initiative. The Toolkit is primarily intended for municipalities that have not yet begun an open data project and need some guidance on how to implement one. It can also be referenced by other governments or organizations who are considering initiating an open data initiative. The toolkit includes: Open data orientation, Planning considerations, Publishing sample data sets, Adopting an open data policy, Executing an open data pilot project with

community engagement and Moving your open data initiative from pilot project to operational program.

<https://open.canada.ca/en/toolkit/diy>

Co-Creation Navigator Toolkit by Waag Technology and Society

The Co-creation navigator will help you perform at your best as it guides you through the different stages of co-creation, from preparation to execution. With just a few minutes a day, you will learn how to build your team, how to get in the right frame of mind and how to remain innovative throughout the co-creation process. Uses the metaphor of a subway map to guide you on your journey through the different stations of a co-creative process. The Navigator is currently in open development, and being co-created with practitioners in a wide range of professional contexts.

<https://waag.org/en/project/co-creation-navigator>

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