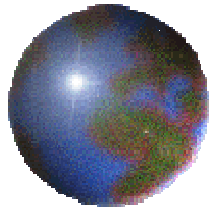


**Committee of Experts on Public Administration CEPA - 9th session
United Nations, New York, 19-23 April 2010**

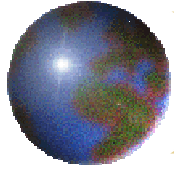


Transparency and responsive accountability



Valeria Termini



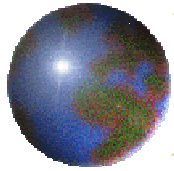


- **In the last decade, policy-makers have been focussing on transparency and accountability**

- ➔ UN: The Economic and Social Council “encourages Members States to **strengthen citizen trust in government** by fostering public citizen participation in key processes of public policy development, public service delivery and public accountability” (ECOSOC Resolution 2006/47).

- ➔ OECD: “The percentage of countries identifying transparency as a **core public service value** almost doubled over the past decade, to 90%” (Angel Gurría, OECD Secretary General, *Government at a Glance* 2009).
http://www.oecd.org/document/3/0,3343,en_2649_33735_43714657_1_1_1_1,00.html





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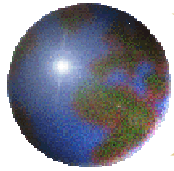
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Where?

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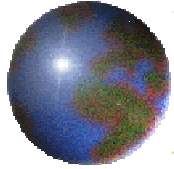




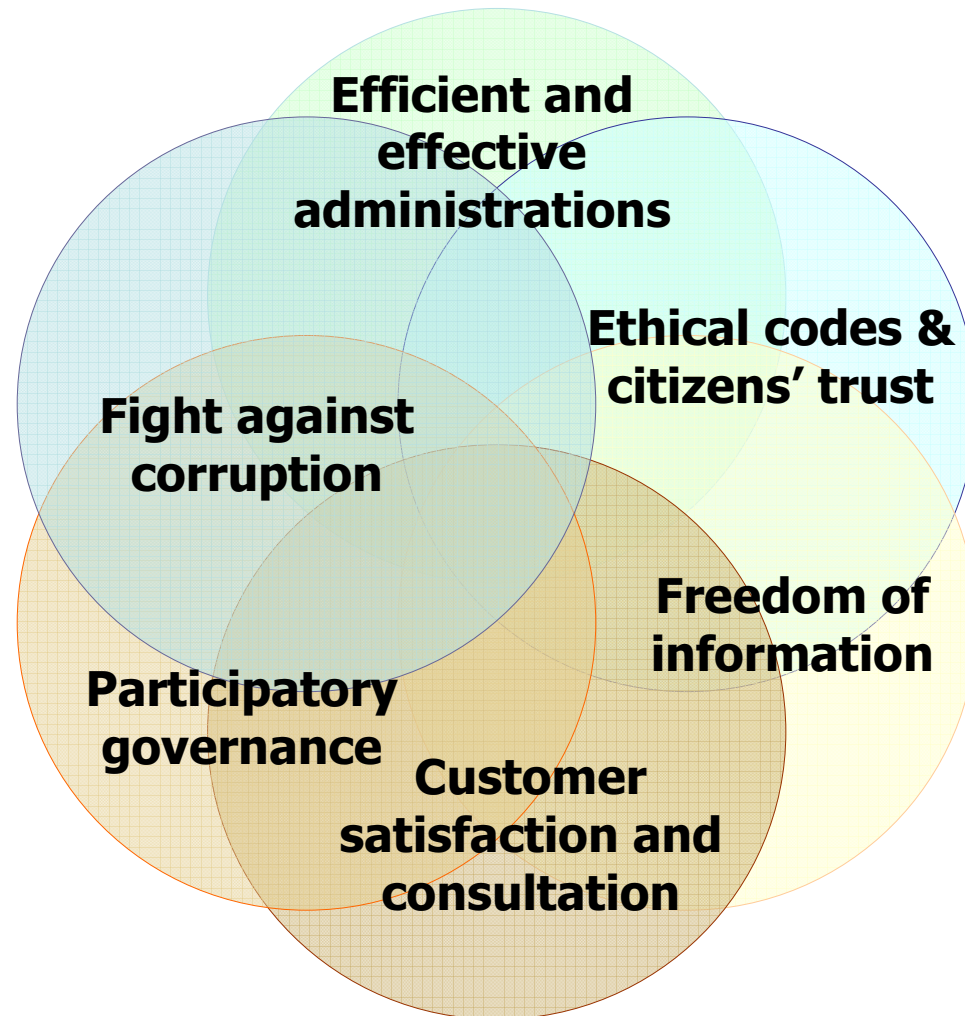
Why transparency? Towards a new paradigm

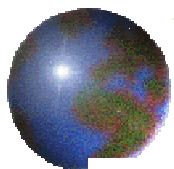
The “Open government” model

Open government model	New Public Management model (80s and 90s)
Citizens are not only consumers but also economic actors and partners ; they need government social protection, safety nets and inclusiveness .	Citizens are regarded as clients/consumers .
Citizens should participate in the public policies cycle and almost “ co-produce ” public services.	Citizens receive, as final consumers , information and data on services of interest to them.
Concept of public value, strategies beyond the simple achievement of results (cooperation, citizens engagement such as participatory budgeting, especially at the local level).	Inspired by the private sector’s approach to product and service; importance of efficiency and effectiveness .



Values of government transparency



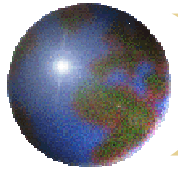


Key message 1

Participatory governance

In an inclusive governance framework, in both developed and developing countries, citizens, as co-producers of services and collective goods, need adequate and accessible information



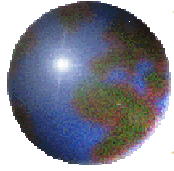


Financial and economic crisis

Challenges for governments

- Quickly develop adequate policy responses
 - Implement measures to face economic and social consequences
 - Tighter **constraints** on public budgets increase the need for achieving “more for less”
- ➔ Urge governments to **disclose** information, be **transparent on decision-making processes** and provide information on **why** decisions are made and to **whom they benefit**.
- ➔ Governments’ response to the crisis has been translated in the adoption of **stimulus packages**. The average world fiscal balance has shifted from -0.5% of GDP in 2007 to -6.7% in 2009: in advanced economies it corresponds to 8.9% (WEO).





Financial and economic crisis

- ➊ Most information provided on the implementation of fiscal policies is **qualitative**
- ➋ Only a limited number of countries **report regularly** on their action

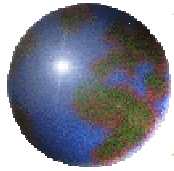
www.recovery.org

U.S Government portal to provide updated, clear and useful information on the use of 2009 Recovery Act funds.

<http://english.mosf.go.kr/>

Korean Treasury providing update information on crisis management

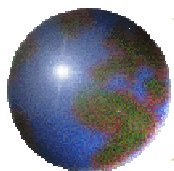




Financial and economic crisis

- ⊕ Need for enhanced transparency during the FEC
 - ⊞ **Democratic and policy performance** are more crucial
 - ⊞ The current crisis is linked to a **lack of confidence** and **strong (negative) self-fulfilling expectations**
 - ⊞ The effectiveness of government's actions depends on its **credibility and on public opinion's trust** (G. Bouckaert & J. Halligan, 2009)
 - ⊞ **The size, scale and speed of government's action might have increased risk of waste, fraud & corruption**





Financial and economic crisis

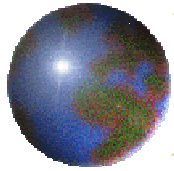
Transparency in public finance

- The need for quick response has highlighted the **importance** for policy-makers and the public of transparent, **timely and reliable information** on financial and economic developments, in particular on the fiscal situation.
- **National statistical offices** play a primary role. Governments should ensure that national statistical offices have adequate resources and capacity and strengthen their independence, in order to promote transparency and trust.

Policy recommendation

Improve the capacity and autonomy of national statistical offices to improve the scope and quality of data.





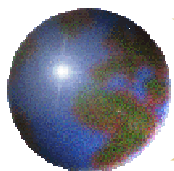
Financial and economic crisis

Transparency in public finance

- ❑ Can raise **public awareness** of the extent of problems related to the economic crisis.
- ❑ Makes it easier to obtain wide support for **fiscal measures**.

➔ E.g. financial crisis in Greece (**euro-zone**): **lack of credibility** due to past revisions of data, **low transparency** and **unreliable statistics**.



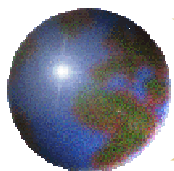


Financial and economic crisis

The case of fiscal administration

- The large fiscal effort to fight the crisis has increased the debt outlook. Significant efforts will be necessary in order to **stabilize public finances** in the medium-long run.
- Governments should consider measures to **strengthen administrative capacity**, particularly in fiscal administrations, **fight tax evasion and corruption** and **support international initiatives against tax heavens**, in order to defend their revenues and taxpayers equity.
- Protecting the **tax base** and efforts to **fight tax evasion** are increasingly important given the extraordinary fiscal efforts undertaken to stabilise the world economy and the need to pose **economic activities on a stable, fair and transparent basis.**



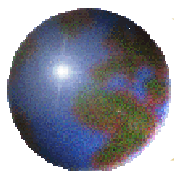


Key message 2

Accountability in financial and economic fields

Enhanced institutional capacity and adequate transparency rules (including in the private sector) could help improve economic policy-making and deal with the economic crisis

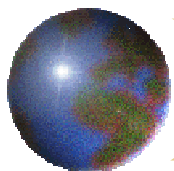




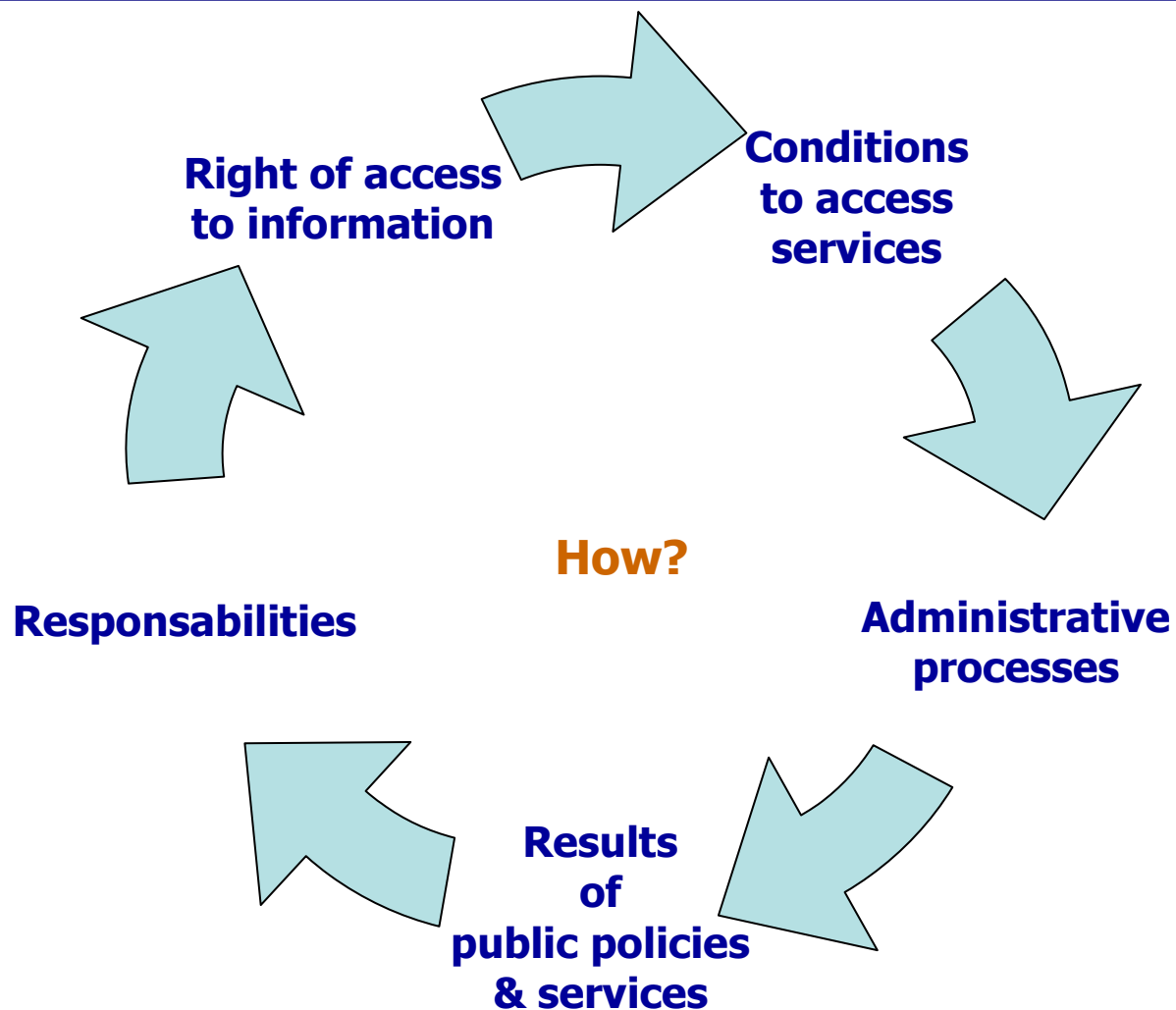
Policy recommendations

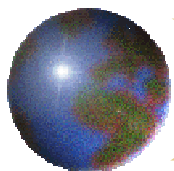
- Provide timely and reliable information on financial and economic developments to policy-makers and citizens in order to encourage better analysis
- Improve monitoring and perform effective public communication in order to increase the effectiveness of government measures and citizens' trust.
- Strengthen administrative capacity (e.g. national statistical offices, SAIs and mediators, fiscal administrations).
- Improve measurement of government services and PA performance.
- Provide citizens with reliable and comparable information through timely publications.





The circuit of transparency





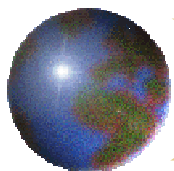
CEPA, United Nations, New York, 19-23 April 2010
Valeria Termini

Transparency International corruption perception index 2009 (number of countries in each continent ranked in the first 40 positions)



http://www.transparency.org/policy_research/surveys_indices/cpi/2009





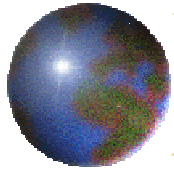
The circuit of transparency – Institutions

- **National statistical offices:**
 - Are crucial to ensure the production of **accurate** and **reliable** data on government activity and economic trends;
- **Ombudsmen (at the international, national and local levels):**
 - Play a key role in ensuring that administrative powers are exercised **according to law and in the public interest**;
 - Ensure the protection of citizens right to transparent procedures and accessible information

Policy recommendation

Guarantee a circuit of transparency through sound institutions.

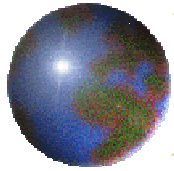




The circuit of transparency – Institutions (2)

- ✦ **Supreme Audit Institutions (SAI)** play a fundamental role in implementing audits, both internal and external, on legality, regularity and performance of government's action
 - ✦ **SAI** provide parliaments, governments and the public with **independent, fact-based** and **reliable** information
- Lima Declaration** on Guidelines on Auditing Precepts (1977)
- ✦ **SAI** should be independent and receive a legal mandate to investigate and report on government's performance
- Mexico Declaration** on SAI independence (1977)



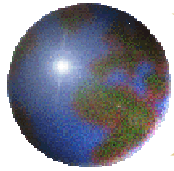


Policy recommendations

Reinforce SAI's role as independent, autonomous, legally mandated institutions endowed with mechanisms of follow-up to their recommendations.

In order to guarantee a better separation between controllers and controlled, SAI's human and financial resources should not be determined by governments only.





Critical issues

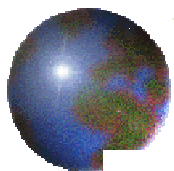
● Quality of information

- **Transparency and accountability are often reduced to:**
 - Provision of data
 - Responsiveness to external audits

- **Citizens are interested in the actual services provided rather than in performance data**
(Pollitt, 2006; Bovaird and Loeffler, 2003)

- Focus on results rather than compliance with rules and procedures (**responsive accountability**)



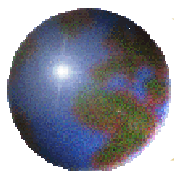


Key message 3

Quality of information

Transparency and accountability require improved quality of information and measurements of public services as well as better communication channels



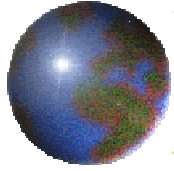


Policy recommendations

Take action to go beyond the mere disclosure of data towards citizens' participation, co-production of services and the implementation of a set of communication channels.

Ensure adequate legislation on freedom of information guaranteeing citizens access (possibly anonymous) to information and records (both public and personal).



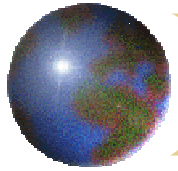


Critical issues - Fight against corruption

Transparency, accountability and integrity

- ✦ Corruption is the **most significant obstacle** to achieving the MDGs (Elia Amstrong, United Nations, 2005)
- ✦ Lack of professionalism and corruption often have to do with **institutions**
- ✦ In several countries, policy performance shows the strongest relationship with **executive accountability** rather than with **executive capacity** (Werner, CEPA, 2009)





Critical issues - Fight against corruption

⊕ Lobbying

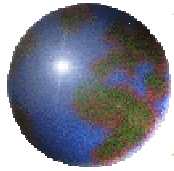
- Is part of the **policy-making process**
- **Improves decision-making** by providing insights and data

★ But, can go **against public interest** if decision-making is not **transparent**, not easily **accessible**.

➡ **Criminal provisions** against illicit influencing of public decision-making, such as trading in influence and bribery (UNCAC)

➡ OECD Council **Recommendation on principles for transparency and integrity in lobbying** (in process, 2010)



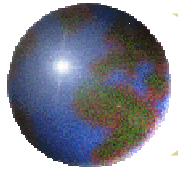


Policy recommendations

Recognise the vital importance of disclosing lobbying activities.

Effective standards and procedures ensuring openness, transparency and accountability would support a level playing field in public policies development and reinforce public trust.

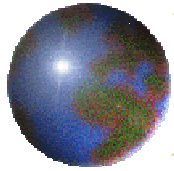




Critical issues – Enforcement and institutions

- ⊕ Transparency should be subject to **legal protection** and citizens should be entitled to **take legal action to protect this right**
- ⊕ Freedom of information and personal data protection should be guaranteed by **independent authorities** acting according to **set criteria**
 - ⊕ A more efficient system could be guaranteed by an authority with a mandate on both privacy and transparency
- ⊕ Adequate civil servants **training** is as crucial as adequate leadership.
- ⊕ Human resources should be familiar with:
 - ⊕ **Ethical codes and rules** for the respect of standards, procedures, values and etiquette
 - ⊕ More advanced codes such as **service charters** focussing on citizens' satisfaction in terms of timeliness, quality and quantity of services.

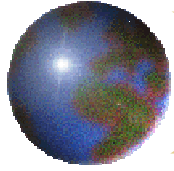




Tools – New technologies

- **E-government programmes** are used to face the crisis and develop a more efficient, transparent, accountable and inclusive government (OECD, *The financial and economic crisis, impact on e-government in OECD countries*, 2009).
- ICT provide for better **information sharing** and more **efficient communication** between PA and the public.
- Allow to have **prompt feedbacks** on services delivered and implement consultation with better **participation tools (leapfrog solutions)** such as wireless connectivity, mobile phones, cable connections, web 2.0).
- Information provided through ICT should be **equally accessible to all** (women, elderly, disabled, socially excluded people, populations in remote areas, minorities, etc.)





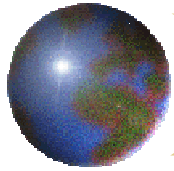
Tools – New technologies

- Measuring **open and responsive government** occurs through indicators on **e-government implementation**:
 - cumulative broadband subscriptions per inhabitant
 - sophistication and full-online availability of e-government services
 - assessment of national portal
 - share of citizens/businesses using e-government services

Policy recommendation

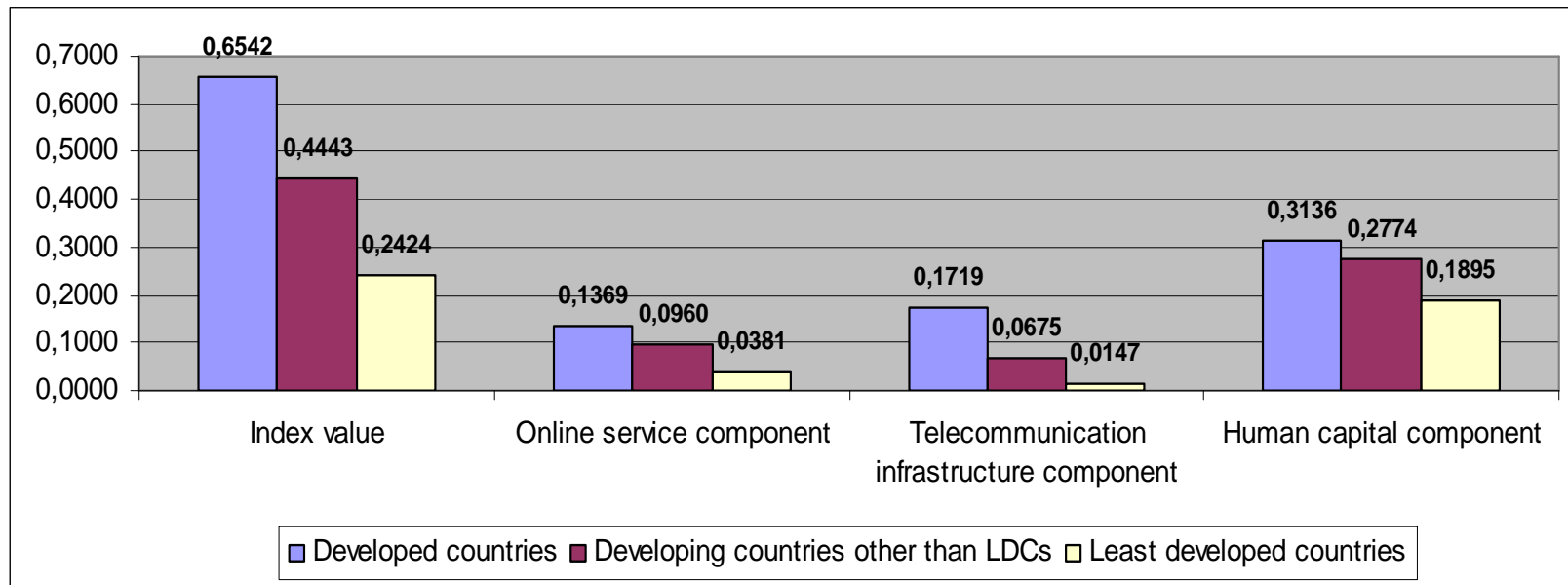
Develop indicators on e-participation (e-voting and e-surveys)





Tools - New technologies

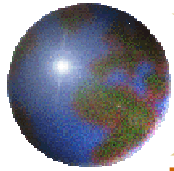
UN e-government development index 2010



Source: UN global e-government survey 2010

Relevance of the telecommunication infrastructures and online service components *vis-à-vis* the human capital component





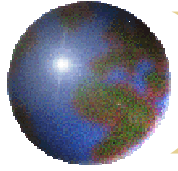
Tools - New technologies

E-participation index 2010: top 41 countries (United Nations global e-government survey 2010)



http://www2.unpan.org/egovkb/global_reports/10report.htm





Policy recommendations

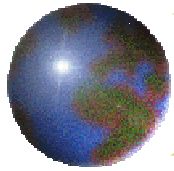
Develop effective electronic records management systems compliant with international standards (IRMT).

Implement public websites with efficient navigation and access tools and well-organised information.

Raise awareness on the role, potentialities and challenges presented by ICT use for transparency and information access.

Train professional staff to deal with ICT challenges and control the quality of records.





CEPA, United Nations, New York, 19-23 April 2010
Valeria Termini

Tools - New technologies

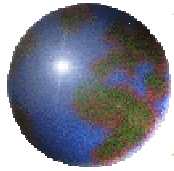
The new European fraud notification system (FNS)

It makes it easier and more secure to report suspicious cases to the European anti-fraud office (OLAF). FNS is accessible from http://ec.europa.eu/anti_fraud/index_en.html

Policy recommendation

Support ethical codes and good conduct with enforceability mechanisms and the use of ICT and extended to a wide public (managers, consultants and policy-makers).





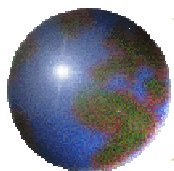
Tools - Connected governance

“Connected governance: vision or reality?”

- Efforts towards “connected governance” should:
 - focus on transforming government operations
 - focus on the integration of services
 - raise the e-government agenda from a mere technical level to a political level.

- **The future of e-government is not only about introducing new technologies into government operations, but also about changing the relation between government and citizens and creating new public values.**



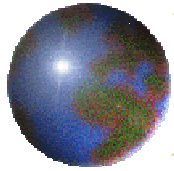


Key message 4

Bridging the digital divide

Investments in advanced and low cost technologies should be in line with the social and economic background and facilitate access to ICT (taking into account age, gender, social and economic capacities)





Tools - Connected governance

Government transformation requires a focus on public priorities and needs defined by citizens

➡ This would imply making data and information available through:

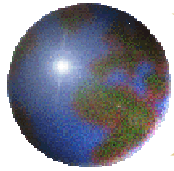
- ❑ open government policies
- ❑ enhancement of transparency and accountability systems

Policy recommendations

Move from supply-driven service to demand-driven service delivery focussing on citizens/customers.

Empower citizens to participate in decision-making and in services delivery (including delivery modalities).





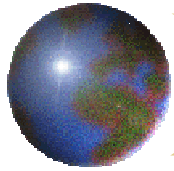
Tools - Connected governance

The case of Bahrain

Leapfrog to connected governance thanks to:

- A less complex institutional background
 - Less resistance due to legislation on data protection
 - **Citizens** central within a **co-designed approach** through surveys, feedbacks and **e-participation**
 - Delivery standards stated in **customer charters**
 - **Capacity-building and awareness-raising** measures
- ➔ Moved from 3 online services in 2006 to **100 in 2009**
- ➔ **19 millions visits** (6 mn average time online, visitors from 193 countries)
- ➔ The use of e-government services increased **from 26% in 2008 to 74% in 2009.**

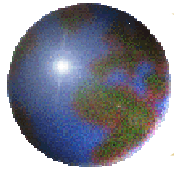




Boundaries

- ⊕ Balance between transparency and **personal data protection**
- ⊕ Transparency does not imply necessarily a flood of data
- ⊕ ICT tools for selecting information and records:
 - ⊕ electronic records management systems (ERMS)
 - ⊕ hierarchy of information and records (from general to specific)
 - ⊕ clear and commonly understandable tags
- ⊕ **Limited degree of restriction** on public information: privacy and secrecy should be an exception
- ⊕ **Proportionality** in disclosing information (e.g. Parliamentary committees or market-sensitive economic and financial data)





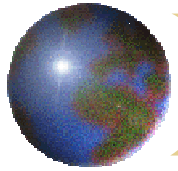
Boundaries

**The framework is
opaque but some
parts are transparent**



**The framework is
transparent but some
parts are opaque**





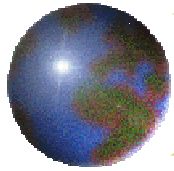
Indicators

- **Enable smooth comparison** (benchmarking)
- Implement concrete **capacity-building initiatives** (e.g. self-assessment tools, peer review and field visits)
- Provide for concrete basis to the implementation of the principle of transparency (**reliable and easy-to-read information**).

Government at a Glance 2009 (OECD): indicators on a wide series of fields (tax, spending, employment, public-private relationship, HRM, regulation, integrity and transparency).

Governance Assessment Portal – GAP, www.gaportal.org
(UNDP)

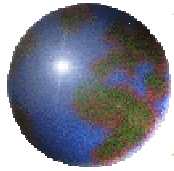




Indicators

- Indicators on corruption measure:
 - **level of integration** achieved by each country as far as **institutions, procedures and practices** are concerned
 - Indicators on corruption:
 - are often **subjective**
 - measure the **perception** of citizens, businesses, experts, etc.
 - are provided in an **aggregated** form (global data and no possibility to observe differences among territories and/or sectors)
- ➔ **Although they are useful tools to increase public awareness and thus foster debate, existing measurements do not provide precise indications on how and where action is necessary.**





Indicators

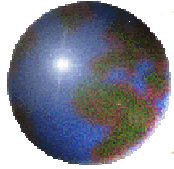
The example of Italy

International scores on transparency, accountability and corruption are somehow **contradictory**:

- **Positive results** (*Government at a Glance 2009*, OECD):
 - **on corruption**: public procurement as percentage of GDP
 - **on open and responsive government**: full compliance in terms of freedom of information, privacy/data protection, administrative procedures, ombudsman and supreme audit institution.
 - **on open and responsive government**: many indicators (sophistication and full-online availability of e-government services, percentage of businesses using e-government) are **above the OECD average**.

- However, **Italy ranges 63rd in the 2009 Transparency International ranking on corruption perception index**.



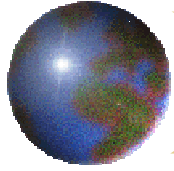


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Policy recommendation

Develop work of international organizations and governments on governance quality indicators in different sectors.

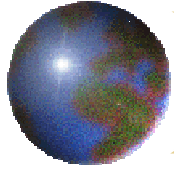




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Valeria Termini

In brief...

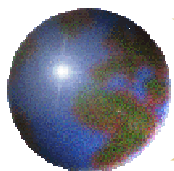




Key messages

- **Participatory governance**
- **Accountability in financial and economic fields**
- **Quality of information**
- **Bridging the digital divide**



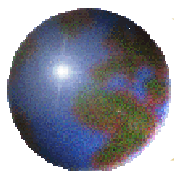


Policy recommendations (1/5)

Institution-building

- ✦ Strengthen administrative capacity (e.g. national statistical offices, SAI and mediators, fiscal administrations).
- ✦ Guarantee a circuit of transparency through sound institutions.
- ✦ Reinforce SAI's role as independent, autonomous, legally mandated institutions endowed with mechanisms of follow-up to their recommendations.
- ✦ In order to guarantee a better separation between controllers and controlled, SAIS's human and financial resources should not be determined by governments only.



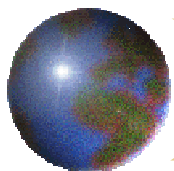


Policy recommendations (2/5)

Quality of information

- ❖ Improve the capacity and autonomy of national statistical offices to improve the scope and quality of data.
- ❖ Improve monitoring and perform effective public communication to increase the effectiveness of government measures and citizens' trust.
- ❖ Provide citizens with reliable and comparable harmonised information through timely publications.
- ❖ Develop work of international organizations and governments on governance quality indicators in different sectors.
- ❖ Ensure adequate legislation on freedom of information guaranteeing citizens access (possibly anonymous) to information and records (both public and personal).



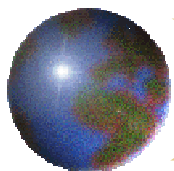


Policy recommendations (3/5)

Transparency in the economic field

- Provide timely and reliable information on financial and economic developments to policy-makers and citizens in order to encourage better analysis.
- Improve measurement of government services and of PA performance.
- Recognise the vital importance of disclosing lobbying activities.



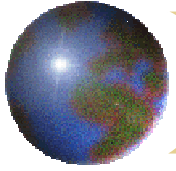


Policy recommendations (4/5)

ICT

- Develop indicators on e-participation: e-voting and e-surveys.
- Develop effective electronic records management systems compliant with international standards (IRMT).
- Implement public websites with efficient navigation and access tools and well-organised information.
- Raise awareness on the role, potentialities and challenges presented by ICT use for transparency and information access.
- Train professional staff to deal with ICT challenges and control the quality of records.
- Support ethical codes and good conduct with enforceability mechanisms and the use of ICT and extended to a wide public (managers, consultants and policy-makers).



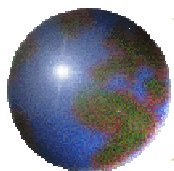


Policy recommendations (5/5)

Participatory governance

- Take action to go beyond the mere disclosure of data through citizens' participation, co-production of services and the implementation of a set of communication channels.
- Effective standards and procedures ensuring openness, transparency and accountability would support a level playing field in public policies development and reinforce public trust.
- Move from supply-driven service to demand-driven service delivery focussing on citizens/customers.
- Empower citizens to participate in decision-making and in services delivery (including delivery modalities).

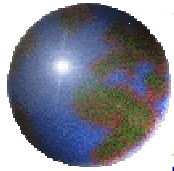




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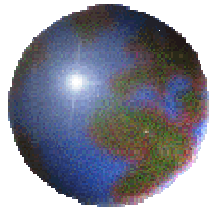




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*Thank you for
your attention!*



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