

But have you really heard? Evaluating respondent contributions  
in Government consultations and the effects of missing details

by

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## **Abstract**

The Government of Canada has demonstrated that it is making an effort to be more open and consultative with its citizens through its membership with the Open Government Partnership. Although adaptations to evolving technologies have provided more opportunities for engagement, it is still questionable as to whether respondent voices are truly being heard.

Through a case study on the consultations held for the drafting of the second National Action Plan on Open Government in Canada, this notion of respondent representation was explored. It appeared from the outset that there was overlap between respondent contributions and policy, but a more thorough analysis of the data demonstrated that the details of the respondent contributions were left out. As open government is still new, it can be concluded that positive and gradual progress has been made but there is still room for improvement should the Government of Canada intend to expand its participatory opportunities.

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## **But have you really heard? Evaluating respondent contributions in Government consultations and the effects of missing details**

### **1 Chapter: Introduction**

“What We Heard” is a catch phrase that depicts an accumulation of contributions gathered through a series of public consultations. This catch phrase has been used more and more prominently in numerous contexts, but most importantly for this purpose, it refers to government and public interaction. “What We Heard” is meant to show that governments are listening to respondents and reflecting their suggestions in change and ultimately through policy, thus creating a closer citizen-government connection. Through modern technological advances – specifically the internet – more opportunities for participation have arisen, whereby citizens have the opportunity to participate both online and offline. This enables those who are unable to attend offline consultations to still have their voice expressed in an alternative fashion. The internet has revolutionized communication between citizens and governments, allowing multiple opportunities for interaction. Examples can be seen through sharing information on webpages, the use of email as an interactive tool, social media interactions and web page commentaries (Roy, 2006). These practices have made communication easier, faster and the act of retrieving information more accessible.

Not only have governments adopted methods of online participation, such as the collection of respondents’ input, but they also use the internet to broadcast calls for participation in offline consultations that expand their reach into the citizen population. Historically, traditional modes of consultation, like physical meetings, were used to gather input on various government activities from a group of citizens who were able to participate in person. However, the combination of both online and offline practices for government communication provides

more opportunities for greater engagement. The issue that arises is whether the improved, extended reach to citizenry is making a difference in the drafting of policies, where their suggestions are assumed to be reflected and their voices assumed to be heard.

Using the internet to broadcast calls for participation and run online consultations is one of the goals of open government today. Although open government has been defined in many ways, the working definition for the current project is that open government is intended to increase government accountability and transparency through improved and increased information sharing with citizens and to provide more opportunities for citizen participation (Open Government Partnership, 2015). The three main components of open government are transparency, participation and accountability (Longoin, Rogawki & Young, 2013). This thesis concentrated on the aspect of open government that addresses citizen engagement through consultative means and questions whether the combination of online and offline methodologies have resulted in more respondents' representation in decision making. Open government was explored in depth to build context and demonstrate the ways in which the Government of Canada (GC) is working towards being more open.

One example of Canada's commitment to open government was applying to be a member of the Open Government Partnership (2012; OGP). The OGP is a global effort aimed at making governments more open, transparent and accountable to citizens. It also asks members to run consultations with citizens to ensure that their interests are being taken into account. This thesis looked at the open government effort thus far in Canada, and questioned the extent to which respondents' contributions, both online and offline, were being used by the GC to inform policy. Specifically, it examined the respondents' suggestions that was collected from online and offline consultations with Canadians throughout the drafting of the second National Action Plan (NAP)

and compared the stated respondents' priorities with the completed second NAP. The feedback gathered during the consultations were categorized using a theoretical model of participation, the Ladder of Participation proposed by Arnstein (1969), which provided a foundation for the guided improvement of consultation methods for the future. The results of this thesis established a starting point for the GC to assist in improving future consultations.

The guiding research question for this thesis was: *To what extent were respondents' contributions reflected in the second National Action Plan?* To answer this question, a content analysis of the respondents' suggestions, gathered during the drafting of the second NAP, was conducted. A raw data file including the respondents' comments, and associated government coding that was used for the creation of the second NAP, was uploaded to the Government of Canada webpage (2015) for review. This document was downloaded and reused for this content analysis in order to address the main priorities of what respondents wanted to see in the next NAP as well as the key themes that were attributed to the comments. After the content analysis of the respondents' contributions, a subsequent qualitative content analysis was performed to draw out the priorities that guided the NAP. Finally, a comparative analysis was performed using the results from both content analyses to explore the quantity of respondents' contributions reflected in the second NAP. The results from this case study were applied to existing literature in the field of consultations to provide a framework for future considerations of Canada's continuing promise to open government.

This thesis draws on theories and principles of participatory and deliberative democracy to explore practices that could be used to increase participation through consultations. It does not intend to suggest a change in the current model of representational democracy but explores principles of deliberative and participatory democracy that could be used to supplement

representational systems. Furthermore, the case study performed in this thesis is not intended to generalize all consultations that have been performed in Canada. The qualitative analysis performed represents subjective coding that was created for this case and should only be used for future analysis as it creates a basic framework for analyzing two different types of documents. The methodology employed for this research has its limitations and is discussed in the methodology and findings chapters. Case studies are intended to be an in depth analysis of one situation that cannot be generalized but is used for an in depth analysis on one circumstance. For the purposes of this study, the participants in the consultations are referred to as ‘respondents’ as they may not represent the average Canadian citizen. The following section outlines the chapter structure used for this thesis.

## **1.1 Chapter Outline**

This thesis begins with a brief introduction of the guiding concepts and theories that provided the foundation for this research on consultations in Canada and respondents’ representation in policy. It further explores the primary research that was conducted and details the results. It consists of six chapters that will be presented in the following way:

**Chapter One** includes a brief introduction to the thesis that outlines its purpose and the guiding research question. It presents guiding objectives for the project as a whole, as well as an introduction to open government, the Open Government Partnership and Canada’s role so far.

**Chapter Two** provides a literature review of the leading research in the field of citizen engagement, consultations, and evaluating respondents’ contribution to government policy. This chapter lays out the existing research gaps in the above-mentioned domains and how the current project will address them.

**Chapter Three** consists of the leading theories that motivated this research. The theories include participatory democracy, citizen participation, as well as deliberation and legitimacy.

**Chapter Four** is the methodology section of the thesis. It details the process of how the project was completed. It is divided into four sections to include the details of content analysis, the content analysis that was performed on the raw data taken from the consultations, the content analysis that was performed on the NAP and finally, the comparative analysis of both documents.

**Chapter Five** consists of the findings and discussion of the primary research. It was divided into five sections: (1) the comparative analysis between the themes of the respondents' suggestions throughout the consultations and the NAP commitments; (2) the comparative analysis between the priorities from the respondents' consultations and the priorities of the NAP; (3) the comparative analysis between respondents' suggestions about the consultations and the Consulting Canadians NAP commitment; (4) an application of the theoretical models mentioned in previous chapters to determine a starting point for consulting with Canadians moving forward; and (5) recommendations and discussion.

**Chapter Six** consists of concluding remarks, a summary of the main findings; thesis limitations; and offers recommendations for future research to improve Canada's consultation methods.

In order to better introduce the idea of open government and the Open Government Partnership, the following section explains what they are, as well as the progress that the Government of Canada has achieved so far in regards to consulting with Canadians.

## 1.2 Open Government

Although the values of open government has existed for some time, it has resurfaced recently with new definitions. There has been considerable research available on open government (Parks, 1957; Loader, 1997; Heckmann, 2011; Karanicolas, 2012; Evans & Campos, 2013; Longoin, Rogawski & Young, 2013; Clarke & Francoli, 2014; Kukovic, 2015; Nabatchi & Amsler, 2014; Skopje, 2014) but there has been no distinct or concrete definition of what it really is. The historical meaning of open government was simply to make information available to the public with exceptions “regarding rights, interests and considerations requiring security and confidentiality” (Parks, 1957). Open government, in its basic form, is still relevant today; however, it has grown since Parks’ (1957) research on introducing freedom of information legislation to incorporate additional factors.

Open government came to the forefront of society with the internet’s explosion in the 1990s and then with Obama’s Open Government Directive after he assumed office in 2008 expanding the definition to include more than just access to information and data (Evans & Campos, 2012; Clarke & Francoli, 2014). The new definitions of open government became associated with contemporary digital technology to instigate innovative, collaborative opportunities and to demonstrate government flexibility through interactions with citizens as stakeholders (Yu & Robinson, 2012). New opportunities arose for social interaction to be accelerated through the use of multiple tools (Wijnhoven, Ehrenhard & Kuhn, 2015). By giving citizens the tools to engage, open government aimed to flourish and better provide an accountable and transparent democracy by increasing citizen engagement (Wijnhoven, Ehrenhard & Kuhn, 2015).

Clarke & Francoli (2014) performed a content analysis to explore the multiple definitions of open government that was defined by members of the Open Government Partnership (OGP) through their national action plans. The study's intent was to conceptualize a working definition because of the copious discrepancies in understanding that existed (Clarke & Francoli, 2014). The study found that the traditional definition that denotes to access to information and accountability was still dominant; however, public participation had been an added focus across a number of countries participating in the OGP (Clarke & Francoli, 2014). This showed that, although the historical definition of the term remains prominent, open government expanded to include citizen representation through participatory mechanisms. The opportunity of citizen participation had grown since the emergence of Web 2.0 as it became easier to access government officials and information online, as well as an introducing a 'deliberative element' to modern democracy that allowed for reciprocal responsiveness across a number of different types of consultations (Heckmann, 2011). Two-way communication between stakeholder and citizens has been made more possible through the use of consulting through online and offline means.

Recognizing citizens for contributing to government information collection also enables new social identities to be formed within communities. It tightens the relationship among community groups by enabling citizens to have more information and, thereby, offer more opportunities for participation with their governments (Sheedy et al., 2008; Gaventa & Barrett, 2012). In fact, research has shown that including citizenry in democratic processes "increases citizens' sense of responsibility and understanding of complex issues"; it also serves to clarify the public's values and priorities for policy writers, which is paramount when discussing policy (Sheedy et al., 2008; Gaventa & Barrett, 2012). Furthermore, sharing information between citizen and policy maker creates collaborative opportunities for new types of participation by

individuals who would not normally be part of policy writing processes, thus resulting in citizen recognition through reflecting their contributions in policy outcomes.

As new forms of communications emerged to allow for better interactions between stakeholders and citizens, open government aims to use these tools to better facilitate a working relationship. The following section explores the OGP and Canada's membership to it so far. Further it will detail the first and second national action plans that have been created.

### **1.3 Canada and the Open Government Partnership**

This section explains the Open Government Partnership, outlines its history from creation to the current state, and looks at its engagement guidelines. Furthermore, it discusses the process of Canada's enlisting, its membership status and the first and second national action plans (NAPs).

#### **The Open Government Partnership**

The Open Government Partnership (OGP) is a voluntary, international initiative that was launched in September, 2011 to provide a platform that assists governments in becoming more "open, accountable, and responsive to citizens" (OGP, 2015). It is one of the most high-profile international movements to increase government transparency, accountability and citizen engagement (Karanicolas, 2012). It is based on the assumption that governance works best when it is collaborative across both government departments and the public (OGP, 2015). The OGP aims for democratic countries to adopt new processes and systems that apply innovative technology to bringing governments and citizens' closer together (Petrik, 2010). Since 2011, membership has grown from eight to 70 countries that work together towards fostering change, renewing public trust and creating quality governments (OGP, 2015).

Each country must meet minimum eligibility criteria prior to joining the OGP (OGP Eligibility Criteria, 2015). These criteria include scores on fiscal transparency that measure accountability and openness to citizens through the publication of budget documents; access to information laws that guarantee citizens' right to government data and information; public officials' asset disclosures that follow rules on the disclosure of income and assets; and citizen engagement, where the public is included in policy making and governance decisions (OGP Eligibility Criteria, 2015).

In addition to the minimum eligibility criteria, countries must commit to the Open Government Declaration that stipulates increasing the availability of information about government run activities, supporting citizen participation, implementing high levels of professional integrity and increasing access to new technologies (OGP Declaration, 2015). Each country that meets the eligibility criteria and wants to become a member must send the OGP a letter that endorses the Declaration along with its first National Action Plan (OGP Declaration, 2015). After these steps are taken, the country becomes a full OGP member.

Action plans provide the roadmap by which countries demonstrate their commitment to change and outline the use of new technologies that will facilitate their goals (Karanicolas, 2012). Each action plan covers a two-year period and incorporates a set of commitments to promote transparency, accountability, participation and/or technological innovation (OGP: Develop a National Action Plan, 2015). There are no gaps in each cycle between completing the first action plan and beginning the next one so that it is an ongoing process (OGP: Develop a National Action Plan, 2015). This usually requires governments to begin their next action plan during the final six months of the current one (OGP: Develop a National Action Plan, 2015). As action plans are meant to be co-created by numerous stakeholders and citizens, the OGP (2015)

expects that each plan will include 5-15 commitments, all including consultations with citizen, to further its mission. The commitments are to be specific, measurable, answerable, relevant and time-bound (OGP: Develop a National Action Plan, 2015).

Since citizen consultation is a major component of the OGP, three principles guide the action plan consultation process: a) transparency, where government makes the process clear and publicly available; b) inclusivity, reaching out to numerous stakeholders, and c) authenticity, so that all consultation input is accurately documented (Mendel, 2013). Mendel (2013) outlines the steps in inviting citizens to consultations prior to the writing of the NAPs as follows: First, consultations must be announced with a published schedule, highlighting the exact time, place and platform for the exchange of information. Multiple consultation methods are to include online and offline meetings. These consultations are to include citizens and stakeholders, followed by a publicized summary of each session to allow for feedback (OGP, 2015). Public consultations are to be analyzed in order to measure the effectiveness of advertising strategies and whether the invitations allotted adequate time for the invitees to arrange their attendence (OGP, 2015). Second, there is to be continuous dialogue between the leader of the consultation and the citizens' (Mendel, 2013). This can be done through various consultation methods: in physical meeting spaces, or even online such as through twitter town halls or other social media platforms. Online, citizens are expected to comment on the consultations and interact with the advisory panel (Mendel, 2013). By enabling a two-way conversation, stakeholders respond to citizen concerns and consider their offerings, thereby fulfilling the authenticity requirement. Mendel (2013) suggested that the best people to inform decisions about policy are those that it affects, which is why it has become important for governments to engage with the public.

The OGP also has clear and descriptive guidelines in regards to the consultation process.

According to the OGP's citizen engagement process, countries are to:

make the details of their public consultation process and timeline available prior to the consultation; consult widely with the national community...seek out a diverse range of views; make a summary of the public consultation and all individual written comment submissions available online; undertake OGP awareness-raising activities to enhance public participation in the consultation; consult the population with sufficient forewarning and through a variety of mechanisms including online and offline; and finally, countries are to identify a forum to enable multi-stakeholder consultation on OGP implementation (OGP, 2012).

Governments are further expected to conduct an annual self-assessment to measure their success in meeting the established goals and to ensure accountability (OGP, 2015). This includes a mid-term assessment of the current action plan and one at the end of term to focus on the final results, the success of consultations during implementation and the lessons learned (OGP Self-Assessment Report Guidance Note, 2015). The process for the self-assessment report includes a "two-week public consultation period" to gather additional contributions on the progress of the commitment implementation (OGP Self-Assessment Report Guidance Note, 2015).

After the final self-assessment at the end of the action plan period, a researcher working for the Independent Reporting Mechanism (IRM), on behalf of the OGP (2015), conducts a review to assess governments on the "development, implementation of action plans, the progress in fulfilling principles and creates technical recommendations for future improvements" (OGP, 2015). The IRM is meant to be a tool for feedback and guidance on where each country stands and the improvements needed for moving forward.

The above guidelines and expectations were created to assist governments in transitioning to more open government practices. Each OGP member country is unique in its situation in terms of access to technology, which action plan it is currently working on, and its

government's readiness to change. The OGP aims to accommodate for the uniqueness through the flexibility of its guidelines and the understanding that each country varies in its ability to change. Now that the OGP has been defined, the following section will outline Canada's history in the OGP and the two action plans that have been released so far.

### **Canada as a member of the OGP**

In September 2011, The Honourable John Baird, Minister of Foreign Affairs at the time, announced the intention for Canada to join the OGP. The Treasury Board Secretariat (TBS) was to lead the initiative and head the Open Government Steering Committee (OGSC) (Francoli, 2014). The OGSC is comprised of various departments and agencies that are responsible for a portion of the action plan to ensure that commitments are met (Francoli, 2016). Canada met the minimum eligibility criteria in three of the four domains, as budget transparency did not exist in Canada at that time (OGP, 2015). The other three domains -- access to information, asset disclosure and citizen engagement -- all received full marks by OGP calculations. This made Canada entitled to join with a 75 percent eligibility score (OGP, 2015).

Upon becoming a member, Canada's membership in the OGP entailed an active and ongoing commitment to the Open Government Declaration and its principles (Government of Canada, 2015; OGP, 2015; Open Government Guide, 2015). Canada used its OGP commitments as an opportunity to clearly layout its objectives, to share and learn from experience with other nations, to collaborate with OGP colleagues and to include citizens where possible (Government of Canada, 2015). From its inception with the OGP to present day, Canada's progress is evident in the consultation transition from the first to the most recent attempt. Progress over the past few years can also be seen specifically through the online initiatives implemented thus far.

The commitments in the first two action plans were largely focused on online initiatives including, specifically, open data. One of the early commitments was to open up government information to the citizenry of Canada. This led Canada to launch its open data portal through [data.gc.ca](http://data.gc.ca) in 2011. It involved three features: open data as a platform to retrieve federal government information; the availability of government agency material to Canadians including budget transparency and completed Access to Information Act requests; and, open dialogue to allow the public to engage with government officials through online consultation platforms (OGP, 2015). This initiative has grown significantly and now incorporates an accumulated database that acts as a portal to multiple departmental information. It was renamed [open.canada.ca](http://open.canada.ca) in 2014 (Government of Canada, 2015).

The [open.canada.ca](http://open.canada.ca) portal (Government of Canada, 2015) includes online access to information services, the Open Government Licence and the new government-wide web portal that enables quick and easy navigation. Although the GC has proven that it is making technological advancements towards better access to information and resources for citizens, the online initiative is not the only important component of open government.

Following open government practices and using the tools provided, there is the opportunity to increase trust between the GC and citizens through the representation of respondents' contribution in policy. One example can be seen through the use of the OGP and the action plans to make use of consultations with the intention of representing participant contributions to produce a more inclusive and participatory environment. The OGP guidelines, shared on a global scale, promote ways of accomplishing representational government through the use of tools that already exist. Although new technologies have provided more ways to

increase government and public interaction, the GC's policy approach has not shifted enough to truly account for these contributions (Irvin & Stasbury, 2004; CCIC, 2004).

The analysis of Canada's compliance to OGP guidelines on public consultation demonstrates the potential movement towards more participatory practices. Should the GC aim to be more participatory with its citizens, decisions should ultimately reflect the participants' needs to enable better representation (Sheedy et al., 2008). Following this model, elite decision making begins to invert to a bottom-up approach rather than a unidirectional, top-down one. For participants to be able to provide valuable suggestions in consultations, they are required to receive enough information to provide informed decisions. Valuable suggestions should then be used for government action and the creation of future policies. Participants should also be provided with the rationale behind why, or why not, the final policy included their contributions (Sheedy et al., 2008).

As this section sums up Canada's role in the OGP thus far, the following sections will explore the first and second action plans that have been released for Canada. As the first action plan was Canada's first attempt at an action plan, there were clear flaws that enabled the GC to ensure that the consultation methodologies were improved for the next action plan.

### **First National Action Plan**

In December 2011 and January 2012 (Lithwick & Thibodeau, 2012), the GC began its first rounds of consultations to explore perspectives on open government, which would inform the drafting of the first action plan. According to the Government of Canada web page (2015), 260 citizens from the private sector, civil society and various levels of government took part in the sessions (Government of Canada, 2015). The consultations were held primarily online and included two Twitter town halls (one in each official language) with the TBS President on

December 15, 2011. Other consultation mechanisms included teleconference calls, a January 2012 meeting with federal, provincial and territorial clerks of legislative assemblies and cabinet secretaries, as well as an advisory panel on open government involving national and international experts from society, academia and the private sector (Government of Canada, 2015; Francoli, 2014; Mendel, 2013).

The first action plan was formally announced in April 2012 with an official start date of July 2012. The consultations performed for the drafting of the first NAP failed to present opportunities for face-to-face meetings with the public (Francoli, 2014; Government of Canada, 2015). As this was one of the key elements in the participation section of the guidelines, the GC would require additional consultation mechanisms for the next action plan to adhere to the OGP guidelines as minimal attempts were made to engage with the public. Additionally, an official timeline was not released in advance and the Twitter town halls were held on a public holiday (Francoli, 2014).

Francoli (2014) indicated that there was minimal evidence of citizen engagement during the implementation of the action plan except during consultations on open data and the Open Government Licence. The draft of the Open Government Licence was posted online and included a consultation between November 26, 2012 and December 11, 2012 (Francoli, 2014). Although this example was a worthy attempt, it did not follow the standardized approach in regards to the OGP guidelines for consultations (OGP, 2015). Numerous stakeholders interviewed by the Canadian IRM researcher signalled the need for more publicity about the OGP and the Canadian open government action plan (Francoli, 2014).

The majority of participants who took part in the consultations found it difficult to obtain advance information and subsequently, to participate (Karanicolas, Mendel, & Lee, 2012). It was

also implied that change is difficult to see because it was hard to attain results once the consultations were complete (Karanicolas, Mendel, & Lee, 2012). In order to reach a larger portion of the population, more information is needed to be shared about participation opportunities prior to the next round of consultations.

The GC had twelve commitments in its first action plan: Open Government Directive, Open Government Licence, Open Regulation, Consulting Canadians, Government of Canada Resource Management Data, Open Data through Data.gc.ca, User-Centric Web Services (GCweb), Advancing Recordkeeping in the Government of Canada (GCDocs), Open Government of Canada Records, International Aid Transparency Initiative, Virtual Library and Modernizing the Administration of Access to Information (OGP, 2014). As indicated in the IRM report, these commitments focused mainly on technological advancements and did not address the digital divide for those lacking the tools and access (Francoli, 2014).

Finally, the annual self-assessment was performed primarily online and was not widely publicized, thereby minimizing participation (Francoli, 2014). It also could not be found online through the OGP (2015) webpage or Government of Canada (GC) webpage (2015). These documents are meant to be made public for others to review and participate in the conversation after a year of working towards change (OGP, 2015). The first IRM report recommended enhanced awareness-raising strategies to ensure that more people are able to participate in the consultations, and to have a decreased focus on technological advancements when not everyone has access to online platforms (Francoli, 2014).

As this was a transitional phase for the GC, the first NAP did exhibit initial steps towards change, even if they primarily focused on online developments. It demonstrated that the next iteration could benefit from the adoption of strategies that emulated the more focused

commitments from the first exercise on a wider scale to improve the participation process and also to include more citizens in the consultation sessions. One could anticipate that with lessons learned, the guidelines would be better followed in the next action plan.

## **Second National Action Plan**

The second NAP was the GC's subsequent attempt at adhering more closely to the OGP guidelines. It was coined the "Action Plan 2.0" which implied improved interactivity between the GC and its citizens. Released on November 6, 2014 after six months of public consultations (Government of Canada, 2015), this action plan specified twelve commitments for the GC to become more open and transparent to its citizens over the next two-year duration. The twelve commitments included the Directive on Open Government, Open Data Canada, Canadian Open Data Exchange, Open Data for Development, Open Data Core Commitment, Open Science, Mandatory Reporting on Extractives, Open Contracting, Open Information on Budgets and Expenditures, Digital Literacy, Open Information Core Commitment, and finally, Consulting with Canadians. The twelve commitments appeared to remain highly focused on technological solutions again, thereby resisting the IRM's (Francoli, 2014) suggestions from the first action plan.

The consultations for the second National Action Plan (NAP), running from April to October 2014, included civil society, public sector, the private sector and Canadian citizens (Government of Canada, 2015). Civil society organization (CSO) meetings were held between February and September 2014 and included 50 representatives from 27 organizations to discuss the direction for the second NAP (Government of Canada, 2015). As civil society is a major participant in open government, Canada was expected to strengthen its relationships with these groups (Government of Canada, 2015). Meetings and public workshops took place in Halifax,

Victoria, Toronto, Vancouver, Montreal, Ottawa and Waterloo; there were also three teleconferences (Government of Canada, 2015). The workshops included round-table discussions to set priorities for the NAP and to identify areas for improvement (Government of Canada, 2015).

The consultations for this NAP were implemented through phases of planning and consulting, sharing ideas and hosting activity discussions and workshops (Government of Canada, 2015). In sum, from April to August 2014, 19 participants provided online submissions to the planning phase. From May to August, the online idea-sharing phase involved 10 in-person sessions across Ottawa, Kitchener, Victoria, Montreal, Vancouver, Toronto and St. Catherine's (Government of Canada, 2015) with 184 participants plus 52 online contributors (Government of Canada, 2015). The activity discussions, from August to September, 2014, deliberated the proposed activities and suggested improvements to the draft action plan (Government of Canada, 2015). Online sessions hosted 216 participants and 128 people participated in person in Halifax and Fredericton; as well, there were eight civil society meetings (Government of Canada, 2015). In October, the subsequent round of activity discussions included 852 online participants, who were asked for their comments once again on the draft action plan (Government of Canada, 2015).

The in-person sessions were of four types: The Advisory Panel on Open Government, where the discussions revolved around the action plan; expert panels, which consisted of professional or civil society members; public round tables; and, civil society meetings (Government of Canada, 2015). The online consultations used voting mechanisms to collect comments, ideas and votes through the Open Government Portal; they also included consultation plan comments, idea dialogues, activity discussion comments and votes, emails, and Twitter

comments using the #OGAP2 hashtag, as well as one comment via LinkedIn (Government of Canada, 2015).

As the second NAP encompassed both online and offline components for consultations, it demonstrated a higher level of attention to the OGP guidelines from the outset. As Francoli (2014) indicated in the first IRM report, the ensuing action plan needed to address challenges related to access to information, data quality and usage as well as meaningful public engagement. A second IRM report was published in early 2016, analyzing the GC's progress in meeting its OGP membership goals (Francoli, 2016). The IRM researcher noted budget constraints were a common discussion point in meetings with government department contacts, which suggests that funding was a hindrance to meeting the established goals (Francoli, 2016). Some stakeholders who attended in-person consultation meetings described them as very structured and overly focused on open data (Francoli, 2016).

One of the most interesting critiques surrounds the idea of who attended the consultations. Francoli (2016) notes that "the government did not track participation at all phases of consultation. At the Idea Dialogue phase, where the government did track in-person consultations, 42 percent of participants came from the public sector, 20 percent from the private sector, 17 percent from the non-profit sector, and 16 percent from academia. Five percent represented a hybrid across sectors. There was a diversity of views, but participation was predominately from the public sector". This demonstrates a divide between the average citizen and government actors participating in consultations, begging on the reflection of how representative these consultations truly were of the general public. However, as noted previously, the second NAP consultations had shown improvement from the first in regards to increasing the number of consultations, as well as the platforms for use.

Through this progress, the GC has demonstrated its willingness to change in using the internet in new ways to share information and data, as well as to run consultations across a number of platforms, online and offline. In summary, this chapter provided an introduction to open government, the OGP, and the GC's progress thus far as a member of the OGP. To add to the discussion on open government, the following chapter provides a review of the research to date on citizen engagement, consultations and policy outcomes.

## **2 Chapter: Literature Review**

This chapter begins to explore the existing literature on citizen engagement, offline and online consultations, and finally, policy outcomes to explore current research frameworks and any existing gaps that were applied to this research.

### **2.1 Engagement**

Engagement, or public participation, has been defined as “the practise of involving members of the public in the agenda setting, decision-making and policy-forming activities of organizations/institutions responsible for policy development” (Rowe & Frewer, 2005; Ballamingie, 2009). It can strengthen decision-making outcomes that may favour those who are being affected by the policy in discussion (Gaventa & Barrett, 2012). Engaging citizens offers the idea to the public that their opinions are being sought with the ultimate goal of integrating these submissions into some form of outcome or policy. Citizen engagement “seeks to renew and deepen the concept of representative democracy by narrowing the gap between governments and the public they serve” (Sheedy et al., 2008). Other researchers have argued against this broad definition because participation can be categorized in a number of different ways and levels as it is a complex term (Arnstein, 1969).

In some circumstances, participation may involve information collection from citizens through consultations, but do not always result in the suggestions being reflected in policy (Rowe & Frewer, 2005). However, this can still be classified as participation because citizens were involved. Engaging citizens in the process of creating policy offers the potential to increase their understanding of complex political issues, it can “help to clarify citizen values, needs and preferences by allowing political figures to acknowledge general views and how to best speak of an issue, it helps decision makers to make better decisions with their understanding of this public

view, it allows politicians to share ownership for controversial decisions and it increases the legitimacy of public decisions” (Sheedy et al., 2008). Table 1 illustrates the seven core values for the practice of public participation as outlined by The International Association of Public Participation (IAP2, 2014).

**Table 1. Core Values for the Practice of Public Participation**

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1. Public participation is based on the belief that those who are affected by a decision have a right to be involved in the decision-making process.
2. Public participation includes the promise that the public’s contribution will influence the decision.
3. Public participation promotes sustainable decisions by recognizing and communicating the needs and interests of all participants, including decision makers.
4. Public participation seeks out and facilitates the involvement of those potentially affected by or interested in a decision.
5. Public participation seeks input from participants in designing how they participate.
6. Public participation provides participants with the information they need to participate in a meaningful way.
7. Public participation communicates to participants how their input affected the decision.

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*Source: IAP2 (2014)*

The seven core values, as proposed by IAP2 (2014), demonstrate a foundation for analyzing the Canadian consultation framework related to the requirements of the OGP. These seven core values provide a starting point when thinking about citizen participation and what it entails. The core values represent what needs to be included when citizens are participating in order for it to be seen as true participation (IAP2, 2014).

Participation can vary in form especially through the use of new technologies and access to government resources. An example of citizen participation that has been seen in Canada is through hackathons. Johnson & Robinson (2014) researched civic hackathons as a method of

local level citizen engagement. These events released data to the public for the purpose of crowdsourcing information, specifically to create new mobile applications that will improve government services. Hackathons are meant to engage the public in hosting participatory events at offline meeting spaces where new applications are co-created for external communications (Johnson & Robinson, 2014). As these are a relatively new phenomenon, there has been little research demonstrating their public impact; however, they do provide a launching point for innovative public engagement meetings at the local level and offer an opportunity for analyses of how the methods employed can be applicable in a national context.

Further methods of participation can be seen through research in Universities. Besley (2010) performed a study on undergraduate students to analyze their views on public engagement. Results demonstrated that half of the respondents indicated negative feelings about engagement in general, while more than a third thought that “decision makers would limit the public’s access to information” (Besley, 2010). This exhibits a significant problem — however, it must be noted that this perception comes from the lack of information about policy and is a significant area for improvement (Besley, 2010). Besley (2010) notes that many comments focus on the quality of engagement rather than the concept of engagement itself, which may have an overall effect. Although there are various ways to engage with the public, participation is a gradual process and participant acceptance may not come simply (Arnstein, 1969).

The two previous examples demonstrate the use of crowdsourcing in public events and the perceptions that a sample of participants have regarding government consultations (Johnson & Robinson, 2014; Besley, 2010). These examples offer insight into new approaches and directions in which governments could pursue to increase trust among the citizenry. An important component of engagement is an informed populace- participants must be made aware

that their participation is needed and ultimately, reflected in policy decisions (Gaventa & Barrett, 2012). Many citizens are “unaware of their rights, lack the knowledge to engage, or do not see themselves as citizens with the agency and power to act” (Gaventa & Barrett, 2012). To reach them, societies and governments should be willing to release appropriate information to facilitate participation, advance notice of consultations and finally, share the outcome of their contributions (Gaventa & Barrett, 2012).

Gaventa & Barrett (2012) indicate from their research that engagement can have both positive and negative outcomes: it may contribute to active citizenship or lead to disempowerment and a reduced sense of agency; it may contribute to increased participatory practices but may be perceived as meaningless or manipulative; it may lead to building responsive states but also face bureaucratic breakdowns and failure to implement policy gains; and, where it may contribute to social cohesion, it can also contribute to greater exclusion. By acknowledging both sides of the argument, one can see the challenges inherent to implementing engagement techniques within a society. In order for meaningful engagement to occur, appropriate planning is required to account for negative outcomes, as well as to ensure that engagement is properly implemented and included in planning and policy outcomes (Sheedy, MacKinnon, Pitre & Watling, 2008).

## **2.2 Offline consultations**

Before the advent of Web 2.0, offline consultations were the traditional interaction method. The risks involved in offline consultations are that there will likely be fewer participants than can be reached online, those choosing to go may be more politically aware than others and may or may not be representational of the population at large, which is also true with online consultations (Culver & Howe, 2004). Culver & Howe (2004) note that a major issue with public

consultation is the sample of people who volunteer or are invited to attend. As volunteers may be participants who are already interested in the topic, and invited participants may include a specific population of interest, the sample may not adequately represent the greater population (Culver & Howe, 2004) thereby resulting in an illusion that participation was called, but the output of the consultations do not represent what the majority population would like to see. With current literature focusing on citizen engagement and online strategies, focus groups and interviews are decreasing as the common method of gathering information because of the cost and time involved in attendance. Nevertheless, offline consultations offer greater opportunity for dialogue and more detailed responses between stakeholders and citizens than may occur online, increasing the potential for positive outcomes so that citizen voices are more likely to be heard (Culver & Howe, 2004). Although they may not reach consensus, they clarify areas of disagreement so that outcomes can coordinate effectively (Johnson, 2007). Other advantages are that they can enhance political efficacy, provide greater insight into citizens' thinking and help to shape public policy (Culver & Howe, 2004). Typically, public consultation can result in deeper understanding of citizen requirements rather than just a tally of the most mentioned online comment (Culver & Howe, 2004).

The Canadian Policy Research Network released a handbook on citizen engagement that outlines key success factors when consulting citizens in physical spaces, with the following proposed by Sheedy et al. (2008): “the engagement process must be representative of population, include early involvement, influence policy decisions and provide information to the public; resources should be easily accessible and there should be structured decision making.” Representativeness is defined as including citizens from across the country of all nationalities, demographics and minority groups (Sheedy et al., 2008). Government departments should reflect

participant contributions and commit to the implementation of their requirements in policy decisions and outcomes (Sheedy et al., 2008). As well, they should share information about the plan and budget in a way that is easily understood by all participants and offers transparency, so that participants can make knowledgeable contributions. Furthermore, they must make participants aware of the resources required to make policy changes and the provisions available to support those attending consultations, such as transportation, absence from work, etc. (Sheedy et al., 2008). Objectives must be clearly expressed so that participants understand the process and develop realistic expectations. Finally, governments must clearly explain how contributions are being publicized and taken into consideration. The indicators described above enable a post-project comparative measurement of the amount of engagement to evaluate the participation and strategies used in gathering feedback (Sheedy et al., 2008). With literature that suggests best practices for citizen participation, there is a wide range of suggestions to help those running consultations and improve the methodologies currently being employed.

As engagement and consultation tend to harmonize, the following remarks refer specifically to consultation. Historically, governments have been criticised for not seeking enough participation from citizens when creating or modifying policies (Caddy, 2001). Citizen contributions that are not being reflected in policy may contribute to a false sense of participation in that time is being spent contributing ideas but the outcome does not reflect their submissions (Caddy, 2001). With regard to those who do not participate, the low information rationality thesis may apply. It states that those with low levels of information are unable to follow the public discussion on societal issues, they may be less accepting of the policy debates and less likely to participate in political discussion (Galston, 2001). This suggests that participant samples more likely originate from the group that is most engaged. As it is unreasonable to assume that

every citizen wants to participate in political discussion, consultations should be separated by topic to ensure that interested parties are attending the sessions that affect them, similar to a chunking effect for consultation (Noveck, 2009).

An alternative issue is an unrepresentative sample of the population as a whole by means of recruitment strategy (Galson, 2001; Culver & Howe, 2004). Those who often take part in consultations are already the more attentive and participatory of the population, demonstrating the need to give advance notice of consultative opportunities and to release more information to expand outreach (Culver & Howe, 2004). It is important to take note of those invited to the NAP discussions because the sample may be unrepresentative due to the recruitment strategy used (Galson, 2001; Culver & Howe, 2004). Issues with consultation sampling include: potential citizen manipulation by the officials leading the session to suit a particular purpose; unrepresentative samples; overrepresentation by those who are damaged by policy rather than those whom it could help; the uninterested and affected population might not participate; and, the more contribution is offered, the more collective results may ensue, meaning an aggregation of the most popular responses rather than the most detailed and specific (Milbrath, 1981). It also must be considered that not all citizens are interested in participating in government consultations because of the traditional belief that it does not make a difference or that they are not interested in government initiatives. All of these issues are important to consider so that new ways can begin to address solutions. One of the benefits to increasing the platforms for consultations are that it expands the consultation reach, especially online so that more people have the opportunity to participate. The following section will explore some of the existing literature of online consultations to identify the benefits and the consequences of shifting towards this method of consultation.

### **2.3 Online consultations**

Technology, as an engagement tool, enables information to reach citizens in multiple ways and allows the potential for more people to be included, particularly in societies where internet and mobile penetration rates are high. Those interested in government activities can visit online resources for information on policy-making procedures, but not all government departments offer this service, demonstrating the lack of consistency in information access (Skopje, 2014). For societies in which technology is not accessible, new methods of outreach are required. Furthermore, departments rarely publicize the feedback or information gleaned from citizen participation, potentially diminishing citizens' level of trust as they are not reassured that their recommendations were considered or even heard (Skopje, 2014). This is important when consulting with the public and will be an ongoing topic throughout this thesis. If citizens are being asked to participate, they may only continue to do so when their contributions are reflected in policy documents – when there is evidence that their contributions are making a difference.

Governments around the world are implementing internet strategies to engage citizens in political processes and gather their input in response to the rapid influx of online technologies available through various institutions (Hurrell, 2005; Kukovic, 2015). The idea behind new forms of internet engagement is to appeal to a large population at one time which does not take into account those who live in remote areas as well as those who would not be able to attend physical meetings. However, online consultations are meant to increase the possibility of including individuals who would be directly affected by the decisions in question (Schulz & Newig, 2015; Kukovic, 2015). Some studies observed that the internet provides a public space for citizens to seek more information and participate in conversations that contribute to society as a whole (Dahlberg, 2001; Sunstein, 2001; Papacharissi, 2002). This provides new roles for

citizens and increases their opportunities to be more engaged with governments, if they wish to do so. This new form of engagement moves beyond traditional methods, such as polling, to an interactive and direct means of communication with citizens. As the internet society accelerates through social media -- wikis, YouTube, etc. -- these new types of networking create collaborative environments in which to acquire knowledge and information to edit, re-distribute and exchange within, and between, nations (Petrik, 2010). The expanded reach and opportunity for more information has the potential for a positive change in societies but there is still much work that has to be done to encourage citizen and government interaction. Information should be easy to find and amalgamated in one area so that it is clear and straightforward how, where and why they should communicate with their governments.

Furthermore, digital tools present decision makers with the opportunity to communicate directly with citizens by enabling collaboration and information sharing in a fast paced, real-time exchange (Open Government Guide, 2015). As digital tools are increasingly becoming the way to erase geographical limitations and engage a large citizen component, they also distribute information for those wishing to meet in person and discuss government policies and regulations (Schulz & Newig, 2015). Theoretically, online consultations are easier and less expensive to conduct than offline ones because they can span a greater time period and invite participants who would otherwise be unable to attend physical meeting spaces, allowing for more participation (Nabatchi & Amsler, 2014; Davies & Chandler, 2012; Schulz & Newig, 2015). Further, they may be less time consuming for consultation administrators and for their participants who have to take time out of their day to participate (Nabatchi & Amsler, 2014; Davies & Chandler, 2012). However, they may end up being more costly when it comes to analyzing the data due to having a large dataset to work with. Moreover the anonymity of online consultations appears to make

people more willing to participate in discussion and be less accountable for their comments (Davies & Chandler, 2012). This raises the issue that there may be an increase in other types of content that can include complaining or irrelevant comments that people do not have to commit to demonstrating issues with online anonymity.

The proliferation of online tools and services has enabled the opportunity for more people to be involved in information sharing with the potential of diminishing social exclusion for those who have access, improve information sharing between services and agencies and offers a variety of platforms to augment the speed and efficiency of services (Phippen & Laco  e, 2006). Both governments and citizens have the potential to benefit from a government's efficient use of both online and offline tools. However, it can be argued that online tools may actually result in more social exclusion if offline methodologies of participation are reduced because vulnerable populations do not have access to online tools reducing the opportunity for them to be involved. This makes participation across various platforms, the combination of both online and offline, crucial when it comes to engaging with citizens so that there is an equal opportunity for participation.

An online collaboration model proposed by Held (2004) comprises a four step-process: the suggestion of ideas and strategies; collaborative rating and evaluation of the suggestions; collective decision making based on the options; and, collective evaluation of the outcome. This model was devised with the emergence of the Web 2.0 era, where online resources are easily accessible by large populations. Online consultations are meant to be inclusive and to enable the interactive element to constitute change, with research demonstrating that although online consultation methods are in their infancy, they have the potential to result in vast changes (Culver & Howe, 2004; Petrik, 2010; Held, 2004; Bruns & Swift, 2011). Evaluation is key and is

an ongoing process to continue to elicit more opportunities and consistent growth by learning about the population at large.

However, while the internet offers expanded opportunities for political engagement, it can also reinforce inequalities through the digital divide and result in polarization (Liston, Harris & O'Toole, 2012; Albrecht, 2006; Dahlberg, 2001; Zhang, 2010). Although online sampling may be more convenient for both the consultation leads and those participating, commentaries may be limited by character or word space and with the large amount of potential participants, detail is likely to be lost. A frequently mentioned dilemma with online consultations is the focus on quantity – the number of submissions — instead of the quality and detail of the user experience (Bruns & Swift, 2011). Calls for contributions may generate numerous submissions that link directly to the “policy writing process but in practise, these contributions have less impact on policy making processes than would negotiations within the political establishment” (Bruns & Swift, 2011).

In sum, extensive literature on consultation and engagement offers the ability to determine success and evaluating factors in whether the GC adheres to mandatory elements for successful collaboration. With the combination of both types of consultations, it increases the opportunity to reach a larger population and to offer the choice to participants of what platform is best suited for them. The next section outlines the ways in which evaluation is key to consultations and provides reflections on why not all contributions may be plausible to reflect in policy.

#### **2.4 Evaluating citizen contributions and reflections in policy**

The move towards a more inclusive society comes with the expectation that citizens who participate will see their values and contributions reflected in policies (Canadian Council for

International Co-operation, 2004). Despite this aspiration, the reality of altering government policy to implement citizen contributions is less evident. Consultations aim to connect citizens with policies but the outcomes can sometimes be difficult to implement resulting in some contributions not being reflected. This can be seen through provincial and federal policies that it is not always feasible to implement the wishes of citizens because they do not fit in the current model or intention of the particular policy at hand. Irvin & Stansbury (2004) note that incorporating citizen input into policy is costly and it can reduce the social and economic benefits leading policy makers to question the usefulness of citizen contribution. The time constraints and resource costs inherent to conducting offline consultations are high and often prolong any decision-making process (Irvin & Stansbury, 2004; Lawrence & Deagen, 2001). As government decision making is already a lengthy process, conducting consultations lengthens the process even further (Irvin & Stansbury, 2004). The time required for citizen consultations to be reflected throughout the drafting process of a policy may contribute to the outcomes not being fully representational of the population as a whole.

Further, it can be argued that contributions from citizens do not necessarily always lead to more informed input. The benefit of consultations is to alleviate governmental institutions' accountability and redirect it to the citizens who have contributed so that accountability is shared (Irvin & Stansbury, 2004). Including citizens in consultation sessions may increase the amount of input, but it can also introduce multiple perspectives that may not account for popular consensus or fit into the pre-existing or new policy. Not all citizens will share the same issues or contributions which may lead to conflicting messages for the policy writers to work with. Ostrom (1990) states that consultations work best in small groups so that consensus is more likely to be reached – as seen in local examples of engagement, but the detriment is that popular

representation of the population may be lost. The group size for contribution is important and can contribute to polarizing views or lack of sharing (Ostrom, 1990; Lawrence & Deagan, 2001). Lawrence & Deagan (2001) note that participation is not required when the public is likely to accept the decision maker. It is important to ensure that those participating in consultations are those being affected by the final decision so that the information being gleaned from consultations are more effective.

Prior to consultation events, guidelines should be released to ensure that the quality of engagement is evident to the public and that appropriate evaluation can occur (Sheedy et al., 2008; IAP2, 2005). Traditionally, government policy creation was a closed process, making the implementation of change difficult especially when citizen contributions did not fall easily under categories of regulated, existing policy (Head, 2007). In the public service, government institutions are challenged in coordinating their own needs across different policy domains, making it even more difficult to coordinate citizen requirements into these policies as well (Head, 2007).

Provan & Milward (2001) suggest conditions for the evaluation of consultations with governing institutions. The first requirement is the necessity to be clear on purpose and objectives for the evaluations; for example, for learning and improvement (Provan & Milward, 2001; Behn, 2003). The next point is to create indicators that examine the quality of participatory processes as well as the program and service delivery outcomes. The last prerequisite relates to organisational factors such as “inequalities, capability building, time scale for results, funding and the choice of structures for interactions” (Provan & Milward, 2001; Head, 2007). As changing policy is difficult, it must be considered that “citizen engagement can only take place in the context of the legal and constitutional laws in place in a country. In that sense, it cannot be in

conflict with representative democracy. It does not diminish the political will, nor does it change the doctrine of ministerial responsibility” (Organisation for Economic Co-Operation and Development (OECD), 2009). This acknowledges that although citizen contributions are valued, they may not always be able to be included in government policy because there are existing requirements that are intended to be included. Should citizen contributions fall outside of those requirements, they are less likely to be able to be reflected in the policy and may be more useful in an alternative policy context.

This chapter explored some of the literature that currently exists on citizen engagement, consultations and policy considerations. It is important to consider the history of engagement so that appropriate considerations can be made when interacting with the citizenry. As citizen engagement is not a new phenomenon, the new opportunities that are available make it important for governments to consider what citizens are asking for when they are consulted. This ties quite nicely with the idea of consultations because new technologies have provided more opportunity to: reach the population, connect with citizens through both online and offline platforms, and for governments to demonstrate what they have heard from contributions. Finally, this chapter outlined the reasons why government policy cannot always account for what citizens ask for. This can be due to bureaucracy, guidelines and existing policy frameworks making it more difficult to change in the ways that citizens’ desire. It is important for governments to make this clear when consulting with citizens to share the intention and direction that is being called for through the consultations, thus improving transparency. This can be seen through documents created such as “What we Heard” because it outlines the main points that participants asked for. Although these may not be completely comprehensive, by creating a summary document like

this, it illustrates to the participants that they are being listened to even if their contributions are not always reflected.

As this chapter outlined the existing literature on the topic, the following chapter will describe the theoretical framework that was applied to this thesis and how it was used.

### **3 Chapter: Theoretical Considerations**

This chapter outlines the theories that will be compiled and used to analyze the findings from the case study presented in this thesis. Specifically, it looks at participatory democracy, citizen participation, and finally, deliberation and legitimacy. As literature on the specific measurements for Canada's citizen consultations are relatively sparse, this project aims to contribute to the field of measuring consultative efforts in Canada through a case study performed on the consultations that informed the GC's second NAP. This thesis used a measure of participation to identify where along a spectrum the consultations were so that future studies could assist in identifying the variables that will improve future consultations.

This chapter provides a framework for categorizing the consultations that were performed for Canada's second NAP. Categorizing refers to the idea of identifying where along a spectrum the consultations were so that improvement can occur to provide for better participatory opportunities in consultations. Participatory democracy was the first theoretical consideration that was employed for this thesis. This chapter then specifies a theory of citizen participation that was used as the guiding model for categorizing the GC's consultative efforts. Finally, this chapter looks at deliberation and legitimacy. Deliberation provides governments the ability to acknowledge that consultations work best with a two-way flow of communication (Maier, 2001; Cini, 2011). This allows them to better clarify what respondents want, and to better comprehend respondents' feedback so that it might be more accurately reflected in policy. Legitimacy was defined by Scharpf (2003) as "imply[ing] a socially sanctioned obligation to comply with government policies even if these violate the actor's own interests or normative preferences, and even if official sanctions could be avoided at low cost". Further, Scharpf (2003) identified legitimacy as relying on trust in government and that it is intended to be responsive to those

being governed. Schmidt (2013) furthered this research on legitimacy to say that it refers to the components which must be present when looking at the input; the way consultations were set up, the degree of deliberation occurring and how the consultations progressed. The output analyzes the way in which the contributions were truly being reflected in the final policy to identify where the flaws lay in ensuring that maximum participation occurred and that the maximum number of submissions were reflected (Schmidt, 2013). The following section will detail these factors to create a foundation for analyzing the current research.

### **3.1 Participatory Democracy**

Participatory democracy is a theory that has existed for some time that lays on the principle that participation in governing decisions is key. This section outlines the principles that underlay participatory democracy but can be supplemented to consultation frameworks. In the 1960s, participatory theorists envisioned politics on the basis that “citizens participating in collective decision making on matters that affect their lives should be an integral moral value of contemporary democratic theory” (Hauptmann, 2001). Many citizens identify the need for different participatory mechanisms to be employed in different areas of the country. Participatory democracy requires decentralisation from current government organisations in order to fully expand and accommodate citizen roles in democracy (Patsias, Latendresse & Bherer, 2013). Two core elements of participatory democracy revolve around maximum participation in governing activities across all aspects of society and the experience that turns participants into active citizens (Barber, 1984; Gould, 1989). The operational hypothesis is that through these changes, social transformation occurs as a result of changed citizen roles (Barber, 1984; Gould, 1989; Pateman, 1970). Citizens should be included in a variety of contexts; further information be

shared with them across different platforms that is accessible to the needs of the people; and active citizens can only occur if their participation is acknowledged.

Participatory democracy considers participation to be central to the political decision-making process (Vitale, 2006). Vitale (2006) justifies participatory democracy as focusing on improving citizenship by “reconstructing its values and political practices”. In order to see change occur, this type of democracy must be inclusive of all citizens and engage them by giving them the right to speak on decisions that affect them (Vitale, 2006). As the vision of participatory democracy was to create a more inclusive and vibrant democracy that gives information to citizens to heighten their understanding of their own interests along with those of other groups, and to make informed decisions; however, many theorists see it as unrealistic (Hauptmann, 2001). Involving citizens in democratic practices is important as local knowledge and values can then be brought into the decision-making process (Renn & Schweizer, 2009). In fact, participatory mechanisms can be useful to complement current democratic processes rather than replace them entirely (Schulz & Newig, 2015). Although these are good standards when considering democratic practices, protecting the rights of the majority can be difficult when dealing with masses of citizens (Schulz & Newig, 2015).

Further, citizen participation in democracy is a process of involvement and empowerment, but it is also a process of trial and error (Arnstein, 1969). However, it can be seen as promoting stakeholder agendas in a political space that offers power to those contributing (Maier, 2001; Patsias, Latendresse & Bherer, 2013). Ideally, participation includes a dual top-down and bottom-up approach; the government will still organize the consultations, but seek more input from citizens than previously (Maier, 2001).

Participation also requires a foundation that allows for legislation and acceptance from governmental institutions to reformulate their policies, so that they will be more open and responsive to citizen contributions (Maier, 2001). Although the policy writers own the final stage in participation, a citizen is still recognized as an important contributor to the decision throughout the entire deliberative process (Kukovic, 2015).

Rowe and Frewer (2005) further identify three concepts of participation that are critical to participatory democracy: public communication, public consultation and public participation. Rowe & Frewer (2005) define public communication as the flow of communication from the policy officials to the public. The organizer of the participatory exercise releases information to the public in a one-way flow of communication and public feedback is not sought. If the public does give feedback, there are no mechanisms by which to consider it (Rowe & Frewer, 2005). This still falls under the branch of participation because citizens are being included in the process of sharing information. Relating this to the current government framework in Canada, this one way flow of communication is typically seen through the use of government department websites where information is pushed outward to the public, using the media whether that be TV, newspapers or radio etc.

Public consultation involves information being conveyed from members of society to the policy officials, initiated by the organizer of the engagement exercise (Rowe & Frewer, 2005). The one-way flow of communication, information only being shared from the organizer to the public, originates from the public to the organizer and could include social media interactions with the public or mail-in comments, etc. (Rowe & Frewer, 2005). This idea can be seen through consultations that are merely for information collection. The public may be invited to come and

share what they want to see in the action plan, but the agenda setting of the policy still remains in the hands of the organizer, in this case it would be the GC.

Variants of public participation involve the public being seen as ‘participating’ passive recipients of information from policy writers, public input being sought through surveys and/or the active participation of public representatives in the decision-making process (Rowe & Frewer, 2005). The key difference between the different types of participation is the flow of information between policy writers and citizens. Public participation involves a two-way flow of communication between the public and the policy writers that is effectively a dialogue (Rowe & Frewer, 2005). The next section will detail citizen participation and take it one step further than having the right to participate because it focuses on the individuals rather than the governing style of society.

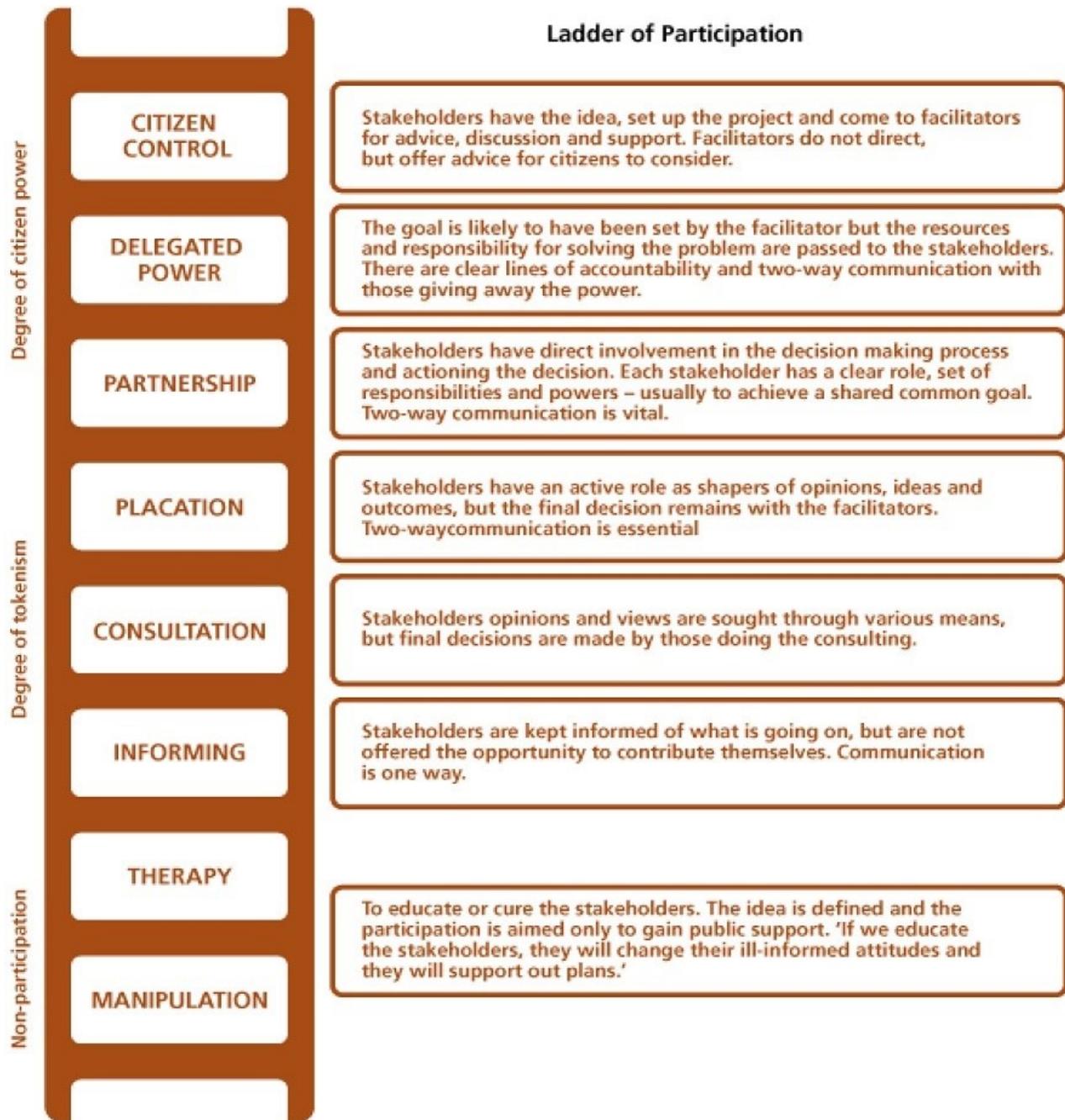
### **3.2 Citizen participation**

Theories of citizen participation specifically look at the methods that citizen participation is a way to empower citizens and giving them a voice (Arnstein, 1969). Citizen participation and engagement is one of the main factors that must be present in order to maintain membership to the OGP. Specifically in Canada, the second National Action Plan (NAP), has a commitment to Consulting Canadians demonstrating the promise to continue engaging with citizens on an ongoing basis. As theories of participation tend to overlap when measuring participation, they can often be seen on a spectrum approach where one side of the spectrum is low participation and the other side is high participation (IAP2, 2005; Arnstein, 1969). This can be seen through Arnstein’s ladder of participation (1969) as well as a spectrum for guiding participation created by the International Association for Public Participation (IAP2, 2005). The IAP2 created a *Spectrum of Public Participation* that outlines five main activities for sound consultations and

effective evaluation: informing, consulting, involving, collaborating and empowering citizens. Each activity includes a clear objective for the public to understand how its contributions apply (IAP2, 2005). Although this spectrum is detailed in the way that it outlines the goals, the promises to the public and some example techniques, Arnstein's ladder of participation (1969) allows for a clear illustration of how to climb the ladder in order to progress to higher levels of citizen participation. However, both present participation along a spectrum that indicates the ways in which participation can vastly differ and also allows for categorisation of participatory methodologies to be employed. Arnstein's Ladder of Participation (1969) has been criticized as a simplified description of the different aspects of measuring participation, but it offers the opportunity to establish a categorisation that can be developed further and provide suggestions for how to proceed to the next rung of the ladder to facilitate for more participation (Arnstein, 1969).

The following outlines the different sections of the ladder and describes what occurs in each, as indicated in Arnstein's (1969) research paper. The ladder is separated into three main sections titled non participation, tokenism and citizen power which reflect three divisions on a spectrum ranging from the least amount of participation to the most participation. Within these categories, there are eight rungs beginning at the bottom, with the least amount of participation, increasing to the top, with the highest citizen participation (See Illustration 1; Arnstein, 1969).

## Illustration 1. Ladder of Participation as Proposed by Arnstein (1969)



Source: An adaption to the Ladder of Participation proposed by Arnstein (1969) Rosier, 2013.

The lowest form of participation is categorized as non-participation, where the power holders merely share information to educate citizens (Arnstein, 1969). This group of rungs

includes aspects of manipulation and therapy. Manipulation is an illusory sense of participation where citizens have no legitimate function. They are directed and not informed of issues.

Therapy is where citizens are employed in focus groups to cure them of some sort of pathology; for example, using homeless people to attune their values to those of the greater public rather than solving the issue of homelessness. Participants can be involved in decisions but are not fully aware of how decisions may affect them (Arnstein, 1969).

The next group of rungs in the Ladder revolves around tokenism, where citizens can hear and be heard but their voices are disregarded, providing a false sense of contribution (Arnstein, 1969). This group of rungs includes informing, consultation and placation. Informing involves the notion of apprising citizens of their rights and responsibilities with regard to participation, but the information only flows one way. Communication strategies are exercised through the news media, responding to inquiries and advertisements. Physical meetings may offer a false sense of participation by inviting the public to come but only offering this one-way filter of information. The next rung is consultation, which encourages citizens to share their opinions with little impact on the final outcome (Arnstein, 1969). It must include other methods of participation as well to ensure that contributions are considered. The last rung in this group is placation, where citizens start to have a degree of influence that relies on the quality of technical assistance available to them in articulating their priorities, and the “extent to which the community has been organized to press those priorities to be heard” (Arnstein, 1969). Citizens may be heard but there is no guarantee that any changes will be made as a result of their contributions. Elements of committees in which citizens may participate are ambiguous and lead to conflict, where people realize that they have not profited from the outcomes despite their participation, as the power holders retain the final say.

The final group of rungs comprises the degrees of citizen power, which are partnership, delegated power and citizen control (Arnstein, 1969). Partnership includes sharing and negotiating control between citizen and power holder. This rung includes the sharing of planning and decision making, such as participating in policy boards and planning committees. The outcome of this deliberation relies on the negotiations between citizens and officials, and the partnership works best with an organized distribution of power and roles in which leaders are accountable for decisions. Power is more often taken by citizens rather than given by the state (Arnstein, 1969). The next rung is delegated power, in which deliberation between “citizens and officials can result in citizens’ achieving dominant decision-making authority over a particular plan or program” (Arnstein, 1969). Officials still inform the public but the citizens are given responsibility for managing aspects of the initiative. Power holders begin bargaining with citizens on issues rather than responding to pressure. This model holds deliberative characteristics in that there is a conversation between both parties to arrive at a negotiation (Arnstein, 1969). The final rung is citizen control, where citizens increase their demands and take the power to make decisions on their own. Citizens govern an institution or program and have the ability to negotiate solutions. This can include a group with no intermediaries between them, with program funding. If final approval remains with public officials, this rung of the Ladder is not completely citizen controlled (Arnstein, 1969).

As consultations are often context specific, governments may still require power in the ultimate decision making but they need to consider allowing for more participation and some more power given to the citizens. One of the prominent aspects found throughout the rungs is the direction of communication; in order to include more participation, governments must be willing to engage in two-way communication. It is important to keep this in mind when analyzing

consultations because in order to progress up the ladder (Arnstein, 1969), governments need to remove themselves from simply sharing information with the public through traditional means and enable the citizens to respond back. The key to two-way communication is that it allows governments to respond to citizen's feedback and provide a specific role for the citizens.

The transition towards an open government requires a vast amount of change. Arnstein (1969) says that participation is a gradual process that requires a willingness to change. By identifying where the consultations with Canadians fit within the Ladder of Participation (1969), new success factors can be identified to assist with the development of the next action plan and for the consultation framework to progress towards the next rung in the Ladder of Participation (Arnstein, 1969), ultimately resulting in more participation.

One of the criticisms of Arnstein's (1969) Ladder was the separation between citizens and power holders, where citizens require a form of protection from public officials (Maier, 1999). As the power holders and the citizens were very much separated, Maier (1999) outlines that as you climb up the ladder of participation (Arnstein, 1969), the power shifts from the stakeholders, to combined power between stakeholders and citizens and finally, to the citizens. As power is not the focus of this research, the takeaway from this model is merely the idea of citizen participation in a model that is shared between the state and the citizenry to lead to legitimate governance. This separation may move away from the open government model; nonetheless, it is an important point to consider when looking at traditional governing methods. Further to participation, the deliberative aspect comes into play as there is meant to be two way dialogue in consultations to ensure that the participant and the leader of consultation understand each other's perspective through discussion and clarification. The following section outlines the details of deliberation and legitimacy as it holds true in consultations.

### **3.3 Deliberation and Legitimacy through Democratic Processes**

Although there is an overlap between deliberation and participation, they are both essential concepts of the current study as deliberation revolves around the conversation initiated with a stakeholder rather than just the sharing of citizen views. Participation, in this case, reflects the amount of people involved in the sample. Both concepts intersect in the consistent call for participation through the drafting phase of the second NAP prior to the release of the final policy. As participation is the main aspect through the drafting process, the deliberation in the conversation of the consultations is the second contributing factor. In order to progress into an open government, participation must increase in consultations and enable maximum engagement and discussion through the use of multiple platform to enhance the level of outreach.

As outlined by the OGP and discussed by scholars such as Arnstein (1969) and Maier (2001), the consultative process calls for politicians to deliberate with the public to gather information and create policies for change. This ensures an ongoing process of including respondents in the conversations with the ultimate goal of reflecting those contributions in final policy. Deliberation aims to reconcile the issue of representation through active dialogue and decision making by an informed citizenry (Ballamingie, 2009). In order for citizens to be informed, the GC needs to know where information is lacking and what they want to know.

Johnson (2007) argues that although public deliberations may not reach consensus, they clarify areas of major disagreement so that the results may still be reasonable and accountable. This point also underlines the importance of ensuring that those who are affected by a decision, are those that are being consulted (Noveck, 2009). Citizen deliberation has been shown to improve knowledge on social issues and increase participation due to change being implemented by governmental institutions (Gronlund, Setala & Herne, 2010; Fishkin, 2009; Delli Carpini,

Lomax Cook & Jacobs, 2004). Further, deliberation is intended to accomplish two specific goals, as described by Lynd (1965). First, each citizen is involved in all decisions that affect their lives, and second, society is organized around the promotion of citizen contribution. Ultimately, democracy is augmented and reformed through continual stakeholder-citizen discussion (Cini, 2011). For deliberation to occur, citizens need to have the ability to make political choices by independently following debate and discussion on particular issues to justify decisions (LeDuc, 2015; Petrik, 2010). Here, discussing an issue is more important than actually resolving it (LeDuc, 2015).

Consultations reflect the concept of deliberation in that citizens are involved in discussing the future of their society with stakeholders with the ultimate goal of reflecting citizen suggestion in policy. Deliberation is intended to politically empower citizens and encourage them to participate (Cini, 2011) while reducing official political contributions. By providing easy access to information through multiple platforms, citizens are able to find information in various ways to become better informed and ultimately participate in the policy drafting phase if desired.

The two foundational researchers in the field of deliberation are John Rawls and Jurgen Habermas. Each researcher focused on a particular aspect that comprises the deliberative aspect involved in consultations. John Rawls (1997) describes it as the mere idea of deliberation in that views are exchanged between citizens and their opinions may get revised based on the discussion, resulting in a conclusion. This leads to the idea of public reason as political rules regulate society and all people are free and equal in decision making (Rawls, 1997). The rules must be justifiable to the public and abstain from any controversy of unfairness, such as from cultural differences and religious arguments (Rawls, 1997). Rawls (1997) acknowledges that appropriate information must be shared with all involved because without an informed public,

political and social decisions cannot be made. These processes can be applied to the action plan drafting phase, as information is to be made clear to the public for participation and discussion among stakeholders and participants. That is why it is important to ensure that those who are participating are those being affected by the policy that is being questioned. The affected population are the best contributors in discussing the direction for change to occur. Not only is it imperative to include those who are being affected by policy change, but governments need to inform the participants on the direction of the discussion and let them know what can and cannot be included in the discussion.

The Habermasian approach of communicative action (1981) is the alternative founding component to a deliberative model, which holds that rational discussion is a process where all participants are honest; they justify their views and come to an agreement or consensus at the end of the discussion as the ultimate goal (Habermas, 1981; Bachtiger et al., 2010). Seven indicators must be present for communicative action (Habermas, 1981; Bachtiger et al., 2010): “participation; the level of justification; the content of justification; respect towards others; respect towards demands; respect to counter arguments; and, constructive politics”. The impediment to communicative action is that the measurement of motive and sincerity can be skewed because of manipulation or information omission, along with the assumption that a final consensus can be reached (Bachtiger et al., 2010; Liston, Harris & O’Toole, 2013; Guttman & Thompson, 2004). Measuring this mode of communication would be subjective but ties quite closely to the core values presented by the IAP2 (2005). Together, these models of deliberation, public reason and communicative action present a foundation for the study of deliberation in consultations and outline the most important factors which must be present: an informed public,

an honest public and the ability of participants to be sincere and rational when having a discussion (Habermas, 1987).

Furthermore, the concept of legitimacy refers to whether government organisations govern effectively for and by its citizens and the moral authority of the law to enable for the expression of a universal identity (Schmidt, 2013; Ingram, 2001). Specifically, legitimacy results from the discursive and deliberative elements of the discussions in ensuring that they were fair and equal; it should also result in policy that is representative of those participating (Vitale, 2006; Hauptmann, 2001). It can be referenced through the outcomes of government decisions and whether they extend to the reflections of participation exercises among the public (Parkinson, 2003). Parkinson (2003) demonstrates that consultations may result in an illegitimate decision because there are people who are left out of the exercises thereby resulting in an unrepresentative decision. This underlines the importance of ensuring that the right conversations are occurring with the right populations.

Some of the literature on deliberation describes the open government model as requesting citizens to be openly involved throughout the processes of decision making and policy writing (Fyfe, 2005). Although this is the ultimate goal by ensuring engagement guidelines are followed, the process of including citizens in consultations is gradual. Noveck (2009) challenges the notion of deliberation to say that it focuses merely on talk and these discussions have not translated into improvements in decision making processes. An alternative that was proposed by Noveck (2009) was collaboration, which breaks down a problem into components, or topics of discussion, that can be divided among members of the public which the topic affects. This idea applies to chunking democratic deliberation to assigned members of the public and officials to ensure that the right people are being chosen to participate in the discussions. However, the notion of

collaboration adds to this discussion in that collaborative democracy combines both participation and deliberation to say that participation needs to increase, two way communication needs to happen but also that chunking citizen conversations make sure that the right conversations are happening with those affected by the discussion at hand (Noveck, 2009).

Adding to this discussion of democracy is legitimacy which has been separated into two sections by Scharpf (1970) to include output and input. Scharpf (2003) defines output legitimacy as policy is seen as being effective when it is implemented by a government pursuing the collective wellbeing. Output has been theorized to include government decisions and actions so that results are not corrupted by self-interest: this includes the way in which the government chooses to approach a problem suggested by the public and the laws and rules which follow (Schmidt, 2013). Output also includes an analysis of the policies created, which have come out of suggestions from the public to ensure that they comply with citizen values (Schmidt, 2013). Finally, output is interested in looking at whether final policies actually align with citizen values, identity and interests (Schmidt, 2013).

Schprf (1970; 2003) defined input as a participatory process that led to the creation of laws and rules through participation of the people. Schmidt (2013) furthers the definition to include the response of governments to citizen concerns. This includes participation and being inclusive. This process depends on the citizens to contribute by expressing their needs and deliberating over issues to come a representative outcome (Schmidt, 2013). Input includes two key values which are critical to the outcome being assessed. These are transparency and accountability as the governments seeking contributions must be willing to demonstrate why they are collecting feedback and what they will do with the information. It also requires governments to demonstrate why certain factors were reflected in policy and not others

(Schmidt, 2013). Again, these values of input are also representative of the policy process seen through the OGP (2015) as governments are expected to be transparent and accountable through their citizens' consultation process and final draft of the second NAP.

Marxen (2015) further points out that legitimacy and transparency work together in that policy outcomes should be shared with the public. This allows for criticism from the public to occur with the publishing of raw data and evaluations. Marxen (2015) also indicates that raw data as well as a summary report must be shared with the public to ensure legitimacy and transparency. All of the above factors are important when performing consultations with citizens to ensure that they are open to all citizens who are interested, they are responsive to those who are affected by decision making processes, they present the opportunity for deliberation to occur and they are legitimate so that governments are being responsive to citizen requirements.

In conclusion, numerous theories can be applied and used as a basic framework in order to analyse Canada's efforts in the OGP consultation phase. As Arnstein (1969) provides a framework to analyze participation among governmental efforts, it provides the basis to find where the GC falls when engaging with the public in consultations. By identifying the area of the consultations, it provides the next steps of what must be present in order to progress to the next level of maximizing participation. The previously mentioned theories will be used to discuss Canada's efforts with their consultations and whether they follow particular policy guidelines to account for maximum participation and are legitimate in the theoretical analysis of this process. The following chapter outlines the methods that were used for this case study on consultation and policy outcomes.

## 4 Chapter: Methodology

This thesis aims to assess the effort that the Government of Canada (GC) has made as a member of the OGP in complying with the consultation guidelines on citizen engagement.

Although citizen engagement, or public participation, is an important part of open government, its related practices are not uniform when they are based on varying interpretations of requirements. OGP consultations are expected to be offered both online and offline to ensure greater participation through multiple platforms, so that a large proportion of the citizenry can access at least one platform.

In order to build this connection for citizens and governments, the GC initiated consultations across the country as per its promise to the OGP. This research explored the representation of these consultations by examining the content of each respondent submission throughout the drafting of the second National Action Plan (NAP). It compared the outcomes to the language in the second NAP to determine the extent to which respondents' priorities were reflected in the policy. Specifically, this research addressed the following question: *to what extent were respondents' contributions reflected in the second national action plan?*

Analyzing the language used in the second NAP revealed the degree to which respondent input was incorporated. In order to explore this connection between respondents' submissions and the NAP, this study engaged in documentary research, content analyses and a comparative analysis. This chapter starts by introducing content analysis and then continues with the details of this research. The analysis portion was divided into three sections: (1) a content analysis of the raw data from the consultations held during the drafting of the second NAP that were posted on the Open Canada webpage (2015); (2) a content analysis of the second NAP as submitted to the OGP (2014); and, finally (3) a comparative analysis of respondents' input and the second NAP.

#### **4.1 Content Analysis**

Content analysis was chosen as the best methodological approach as it is a systematic approach to describe communications, combining both qualitative and quantitative methods. It typically quantifies text through pre-determined categories, often denoting written or verbal messages into categories that express the significance of a particular communication (White & Marsh, 2006). Moreover, it allows for inferences to be made so that analytic constructs can be taken from the text to answer the research question (White & Marsh, 2006). The analytic constructs are often derived from existing theory, knowledge of experts and previous research on the topic (White & Marsh, 2006), which help create the categories to be coded. Each category is mutually exclusive to the others and has a clear definition. This method allows for the quantification of qualitative data by calculating the frequency of information that relates to a particular category of significance.

Furthermore, content analysis can be used to investigate manifest and latent content. Manifest content is the exploration of elements of text that are easy to identify through the words used to convey the message. Latent content refers to symbolism or themes in which inferences or interpretations are used, exploring the meaning behind the text. The current research explored both types of content to ensure for quantitative and qualitative interpretations of the comments made by respondents and the final NAP. By taking an approach that is both qualitative and quantitative, the risk was minimized of losing information through using only one type of analysis.

Content analysis was also selected as the best approach because of the complicated nature of comparing respondents' submissions and Canada's second NAP. By exploring the themes in the raw data generated during the consultations, the respondents' contributions could be grouped

into themes that were then used to compare the input with the final policy documentation. This methodology looks at intent and purpose and creates a checklist approach to identifying whether or not themes were present. Content analysis falls on a continuum between “holistic interpretive approaches”, referring to subjective and qualitative perspectives, to “lexical approaches”, referring to quantitative and manual approaches (Clarke & Francoli, 2014; Lowe et al. 2011). Holistic approaches draw meaning from texts and conclusions about the relevance to larger themes. Lexical approaches are more automated and computer based, using words interchangeably as pieces of data to be “quantified and analyzed” (Clarke & Francoli, 2014). The current study aims to be in the middle of the continuum to include an equal proportion of qualitative methodology, through subjective and existing coding, and quantitative methods, through the use of frequencies and percentages. Content analysis was used to draw on the strengths of both qualitative and quantitative methods. Human coding was used, developed by thoroughly reading through the texts, enabled strong interpretation and contextualized meaning while using quantification for codes and a systematic comparison between the texts (Hsieh & Shannon, 2005; Clarke & Francoli, 2014). Exercising both methods enabled a stronger outcome with qualitative interpretation, while also enabling the frequencies of importance to be extracted from the coding schedules.

Although this study aimed to combine qualitative and quantitative approaches, it does not surpass the limitations of content analysis. Since content analysis has a strong subjective aspect (Champion, 2006), replication and interpretation become difficult. This means that researchers from different backgrounds may come to different conclusions than the primary researcher even when following the same set of rules for interpretation. Furthermore, content analysis entails the researcher developing coding schemes to classify the content, which may reflect certain views of

the researcher. The methods employed for this thesis involved human coding to capture the meaning of the language present resulting in researcher subjectivity for the development of some of the codes and categories used. As there are technological options for coding data, it was decided that human coding would be the best approach for this thesis to ensure it captures as much detail as possible. One solution to this problem would be to use intercoder reliability tests to ensure the reliability of the codes and categories that were used. However, due to limited time and resources, it was not possible to hire further coders so this analysis relies on only one researcher performing the coding. Future studies could validate the findings by applying intercoder reliability tests.

Furthermore, content analysis includes the creation of a coding manual and a coding schedule. The coding manual is created using codes. Codes act as a signifier for some form of content or an overarching indicator of a topic. Within each code, there are a number of categories which is representative of some form of meaning. Each category is attributed a number which is inserted in the coding schedule. A coding schedule represents the content that was present in the documentation which is later tallied up and presented as frequency charts to illustrate the most popular content. This allows for a quantitative comparison and illustrates how much respondents' contribution was reflected in the second NAP. The remainder of this chapter will provide a detailed account of how the research on the respondents' comments, the NAP, and the comparative analysis between the two documents, was accomplished.

## **4.2 Content analysis on consultation data**

The first portion of the current research included a content analysis of the feedback from both the online and offline consultations with Canadians that occurred between April 24 and October 20, 2014 for the drafting of the second NAP (Government of Canada, 2015). The raw

data from the consultations that was used for this study was published on the Government of Canada webpage (2015) in an Excel spreadsheet. The spreadsheet presented an aggregate of the data from the online and offline consultations divided by region, communications platform and comment themes. The comments were extracted and used as the basis for analysis. An examination of the GC datasheet that was created for the analysis of respondents' contributions showed that only general, coded themes of the comments were used, not accounting for detailed comments that were provided. This research took the analysis further than merely thematic coding to capture more detail. As this research question was more specific, further codes were created to better answer this question.

A coding manual was the first step to be able to analyse the data. The coding manual was used for reference and for documentation of each code. It included details of the categories that made up each code. The first codes created were drawn directly from the existing dataset on the Government of Canada webpage (2015); this included the source of the contribution, the platform (whether it was online, offline, teleconference or in writing), the review phase that the contribution came from and the general themes of each comment.

As content analysis calls for each code to be mutually exclusive, this caused some issues for the consultation data set. This is because the comments ranged from one-sentence tweets to page-long submissions. This meant that while some comments might only include one suggestion, others could include many. Recognizing that this was a potential limitation for this research, opportunities for each code to cover more than one suggestion were created. Five new codes were added to account for priorities requested by the respondents for the NAP, naming the code "respondents' priorities" allowing for one comment to request up to five suggestions. The other code which was used more than once, to allow for more than one theme to be identified,

was “Theme”. This included Theme, Subtheme1 and Subtheme2. This ensured that each code remained mutually exclusive.

Finally, the last code created was for the tone of the comment - some comments were positive, illustrated through words such as “support”, “good work”, “great effort”, etc. Some comments were negative in nature, as demonstrated through comments such as “limited outreach”; “you have yet again chosen to reject any substantive change to the largest transparency shortfall in this country, the horrendously out of date Access to Information Act, despite this being not only our recommendation but that of every Information Commissioner in the country”; “stop changing Canada into your own vision of what it should be”; etc. This aspect was explored to determine if tone was a contributing factor to the outcome. Due to time and space for this thesis, this code was not used to answer the research questions but the results can be found in Appendix E.

The categories within each of these codes were also taken from the GC dataset (2015) to start. Since this was a bottom up approach, further categories were added as the content analysis ensued. Each category was attributed a number and listed underneath the associated code in the manual. For example, under the code “Source”, “Advisory Panel on Open Government” was associated with the number “2”. All comments that were pulled from this consultation were marked with a “2” in the appropriate field. This allowed for a count of how many comments were associated with this source at the end of the analysis. The number of categories within each code varied. For example, one code, “Platform”, was comprised of the following categories “1=online, 2=offline, 3=teleconference, 4=not specified and 5=writing”. In this example, following an open coding model, category four was assumed to be the final category but through more detailed research, it was found that there were questionnaire sheets that were given to

participants at the end of the offline consultations where respondents were to fill out their responses. Therefore, it was found that these submissions differed from both online and the offline categories and the fifth category was created which was not captured in the original GC dataset (Government of Canada, 2015).

Once the manual was completed, a sample manual was submitted to the thesis committee for review and to ensure that the codes and categories created were sustainable prior to the coding of the entire dataset. This process enabled the identification of any refining that may be needed for the categories to ensure it encapsulated all respondents’ suggestions (see Appendix A for the coding manual).

Once the key codes were created, they were inserted into the coding schedule – an Excel spreadsheet, so that the content analysis could begin. The codes were placed along to the top of the spreadsheet, to create columns alongside the extracted respondents’ comments. The coding schedule was made up of purely quantitative representation – each category was associated with a number and that number was indicated in the schedule whereas the manual was the index of what each number represented. For example, the coding schedule was set up with the focus of the analysis on the left of a spreadsheet and the codes along the top. In each box, the associated category was indicated. See a sample design in Table 2.

**Table 2: Sample of the Coding schedule**

	Source	Platform	Phase	Theme
Respondent submission	1	2	4	3
Respondent submission	2	4	3	9

Table 2 illustrates the format of a coding schedule. By starting with the ‘respondent submission’, one can refer to the manual to find the associated categories by each code. For ‘Source’, the associated category is number 1, for ‘Platform’, it is number 2, etc. As all content analyses have an associated coding schedule, they all have similar layouts, as per the above example.

The process of creating categories within each code was done inductively. Twenty comments were first sampled to ensure that the code formats worked. Once they did, a further sample of 400 randomly chosen comments to create the categories within each code in the manual was performed. This was done to ensure that the coding manual was complete and that no more codes were needed to be created by the end of the sample. Once the manual was complete, it was used to code the rest of the comments. The coding process involved reading the comment and responding to each code with the attributable category number. Each comment was coded based on the language used and not on the frequency of mention of key words. For example, if one comment used the words ‘open data’ five times and another comment only mentioned it once, open data was not weighted as being more important to the first comment than the second. This is because the comments ranged in form and length and it would not be appropriate for this case to weigh the first comment as more important than the second. The approach that was taken for this research was to identify the suggestions about open data specifically: more data online, more data that is accessible, open data by default, mandatory reporting of all spending etc. By simply focusing on open data as it is, the details are lost which is why the specific language was chosen as the focus rather than frequencies of key words. This was done for 1, 202 respondents’ comments.

Once the first read-through was complete, an additional read-through was performed to ensure that nothing was missed and that the coding was done consistently. This included the same process of reading the comment and ensuring that the categories chosen for each code were sufficient. Afterwards, each comment was moved comment-by-comment to IBM SPSS (a statistical analysis program) while performing a data clean to ensure nothing was missed and that the codes were all completed appropriately. This ensured that there was no duplication and that the results were reliable. Due to the length of the coding schedule (150 pages alone) -- a sample can be found in Appendix B.

Once all the data was in SPSS, each category within each code was entered as 'value labels' so that the statistical analysis would show the meaning of the category rather than the number attributed to that category, as seen in the coding schedule. Frequencies and mode queries were calculated for each code individually. Frequencies were used to demonstrate the most suggested respondents' contributions. This quantitatively reflected the most to the least important respondents' priorities. The mode was used to demonstrate the most common result and the charts were used as a visual representation of the distribution.

For the codes that were used more than once, "Theme" and "Respondents' Priorities", the analysis portion involved merging these codes so that an aggregation of results could be formed due to the codes being mutually exclusive. If they were kept separate, results would be duplicated and they would be required to be merged later. Table 3 documents all the codes that were used in the manual.

**Table 3. Codes used for respondents' submissions**

Code	Description
Source	This category was generated directly from the government data posted on open.canada.ca. It includes all of the consultation events.
Platform for Interaction	This demonstrated how the consultation occurred: online, offline or via other means.
Phase of Consultation:	This was taken directly from the government data sheet on open.canada.ca. It identifies the phase in the drafting of the action plan from which the comment was taken.
Theme of Comment	The comments central theme. These were based on the existing themes offered by the government version of the consultation data.
Subtheme of Comment 2-3	Subsequent themes in the comment.
Respondents' Priorities 1-5	This looked at the critiques/suggestions about what should be included in the action plan.
Suggestions for Change of Consultation Process	Respondents' suggestions revolving around consultations.
Tone of Language	Looked at tone to measure the frequency of negative, positive and neutral comments.

Frequency tables were used to analyze the number of times that responses were attributed to each category within each code to present the most often suggested topics. The tables presented the frequencies and the percentages associated to them within each code. These results demonstrated the proportion of value found within each code. By determining the value, the most frequently mentioned suggestions from the respondents' perspective could be found and used as a foundation for comparison.

For the purpose of this research, the codes that were weighted as most relevant to the research question were the Theme, Subthemes, Respondents' Priorities and the opinions on

consultations. These codes were used as the basis for the comparative analysis with the second NAP. Due to time and space, the other codes that were analyzed were not included in the comparative analysis but the results can be found in Appendix E. Due to the substantial amount of categories in the codes, the frequency charts outlined the top ten suggestions; the full results can be found in Appendix E. For the purpose of this research, to draw out of the detail of each submission, there were a high number of categories. For future studies, the categories could be grouped differently to account for more information with a smaller number of them. For example, instead of having two categories on government information and information specific to open government initiatives, they could be grouped into one shared category. This research studies them separately to capture as much detail as possible from the submissions.

As this section outlined the methodology employed for the content analysis on the consultations, the results extracted the most frequently mentioned opinions and were used as the basis for comparison to the second NAP. The following section outlines the methodology employed for extracting the priorities set out in the NAP that would drive the two-year span of the action plan.

#### **4.3 Content Analysis on the second Action Plan for Canada as members of the OGP**

Although the process for the content analysis was similar to the outline above, the coding for the second NAP differed. Two separate manuals were needed to account for the difference in document types: a consultation coding manual due to the transcript format of submissions, while the other document was a policy, calling for a NAP coding manual. Having separate manuals enabled the clear capture of the different types of information to avoid the loss of detail whereby keeping the results completely separate. Both manuals contained clear descriptions of items and how they were interpreted to set the guidelines for coding and to address operational definitions

that describe how a concept was measured (Berger, 1991). The consultation coding manual was longer as it represented 1, 202 respondents' contributions to policy. The NAP coding manual was shorter and included codes based on the themes and goals set by the GC to respond to the respondents' priorities. However, the NAP coding manual was created to reflect the three main comparative aspects for this analysis: the themes, the priorities and the consultations.

To begin the creation of this coding manual, the layout of the schedule had to be considered to determine how to best capture the most detail. The NAP was laid out in the following way: an introduction to open government and goals for the upcoming years, a review of what had already been achieved in terms of open government initiatives within Canada, the methods for developing the action plan and the largest section, the commitments for the NAP. As the commitments are the main focus of the second NAP, they were the primary subject for this content analysis. In order to capture the most detail from the commitments, a focus was placed on the deliverables that comprised each commitment. A commitment represents an overarching goal and the deliverables constitute the steps to be taken to achieve that goal. Each commitment had a different number of associated deliverables.

Each deliverable was inserted into Microsoft Excel, the codes were entered along the top of the spreadsheet and the coding manual was created in a bottom up approach. The codes that were used can be found below in Table 4.

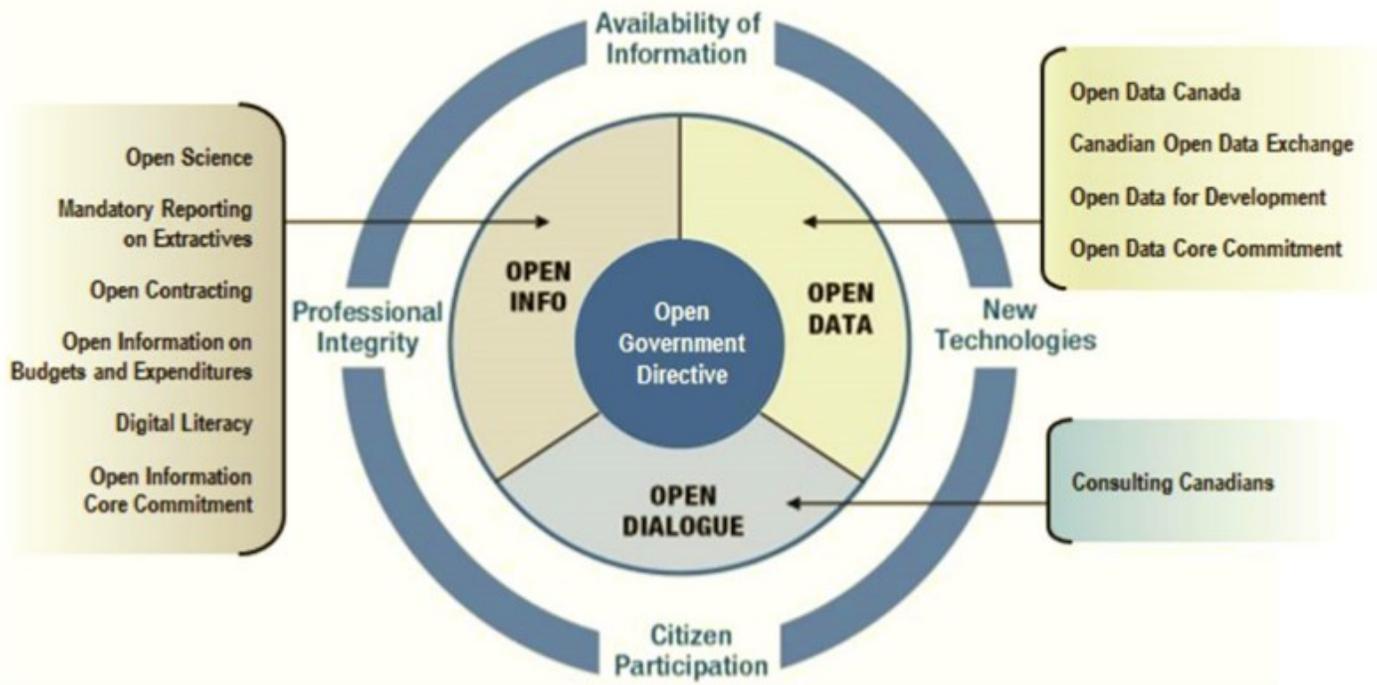
**Table 4. Codes used for the Second National Action Plan**

<b>Code</b>	<b>Description</b>
Commitment	This code represented the commitment that the deliverables corresponded to in the NAP.
Key Theme	The Action Plan divided the commitments by four key themes. This indicated which theme the deliverables fell under.
Sub Theme	This was a subjective code based on existing information in the Action Plan as each commitment was meant to correspond to one of these themes.
Grand Challenges 1-4	Each country was meant to create commitments aimed at solving each of the five Grand Challenges developed by the OGP. This code indicated the related challenge.
NAP Priority 1-4	This was the main idea that the deliverable related to.

The majority of the codes were clearly marked within the NAP, reducing the opportunity for subjectivity. The categories within these codes were developed inductively by going through each deliverable and either creating a new category or applying an existing category. A “NAP Priority” code was created to represent the focus of the deliverable. This code was made up of categories represented by numbers. For example, 1 = open eligible data and information by default, 2 = respecting restrictions on data related to privacy, security and confidentiality, 3 = broader accountability and transparency. The numbers representing the category were entered into the coding schedule. Some of the same language that was indicated in the deliverable was used for these categories, as wording choice was significant in this context. For example, category 1, open eligible data and information by default, is interesting in the perspective of using the term “eligible”, as the other dataset’s contributions ask for all data to be open by default. Key words were included in the category creation to account for information that may

have an alternative meaning when compared to the other data set. See Illustration 2 for a summary of the key areas as identified in the second NAP.

**Illustration 2: A diagram of the key areas of focus for NAP**



*Illustration from Canada’s Action Plan on Open Government 2014–16.*

Each deliverable was examined and a category attributed to each code. For the codes “Grand Challenges” and “NAP Priority”, multiple numberings were created to ensure that each was mutually exclusive but accounted for more than one category correlating to the code. For example, “Grand Challenges”, “Grand Challenges 2”, “Grand Challenges 3” and “Grand Challenges 4”. See Appendix C for the coding manual.

Once the deliverables were all coded, they were re-examined to ensure consistency and accuracy. Again, they were moved into SPSS during the data clean (See Appendix D for the coding schedule of the second NAP). SPSS was used to analyze the frequencies and modes of

the codes and to depict them in graphs. The frequencies represented the distribution of the most prominent category within a code. The mode represented the most frequent category within each code and allowed for a visual representation of the distribution of categories within each code. For the codes “Grand Challenges” and “NAP Priority” that have more than one associated code, the results were merged into a new code to represent the amalgamation. This was more effective than analyzing them all separately due to the overlap that would occur.

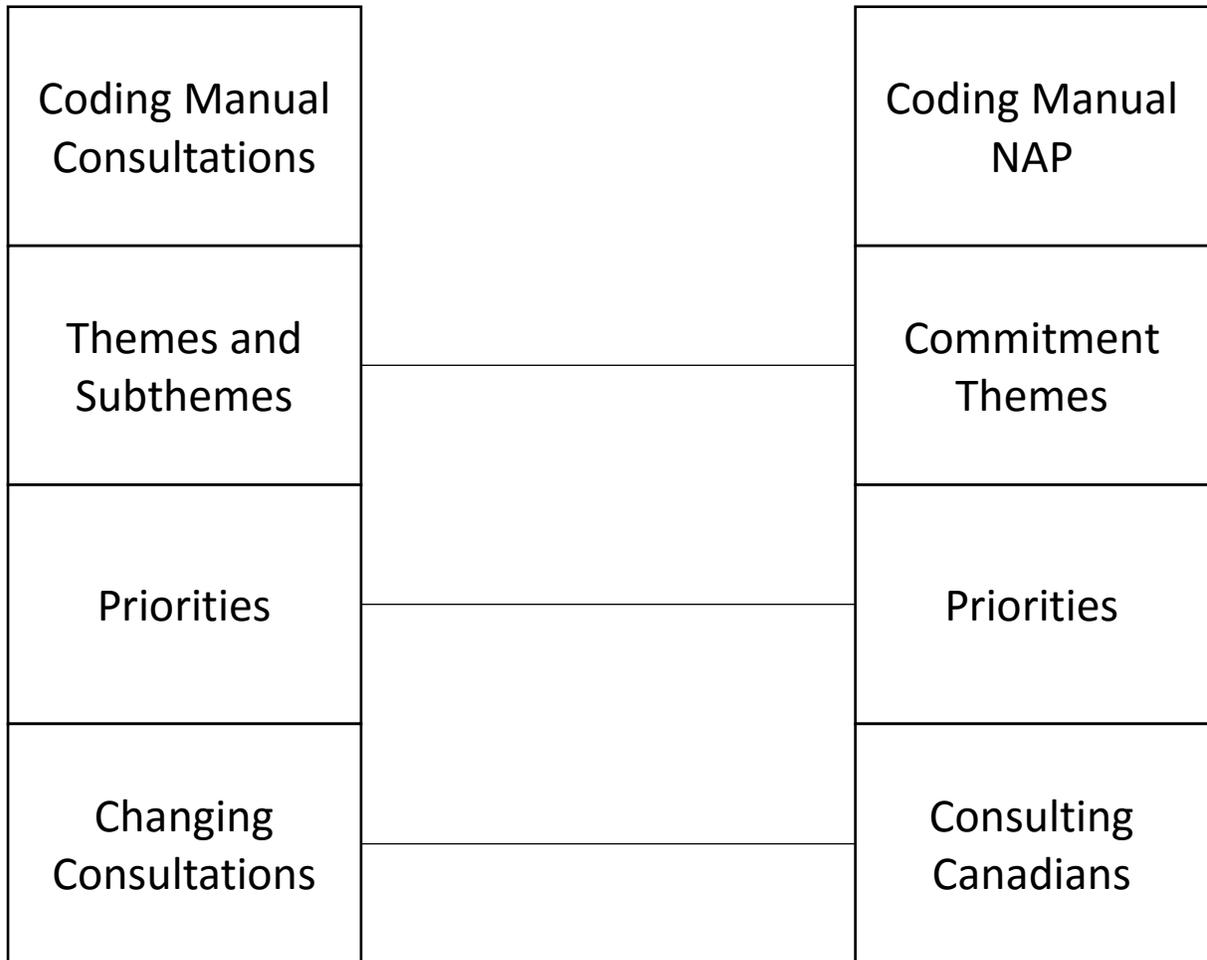
In order to address the research question of this thesis, there were three sections of the NAP content analysis that were pulled out and used specifically for the comparative analysis. These codes included the commitments and the number of associated deliverables, the priorities of the NAP as well as the entire commitment titled “Consulting Canadians” was used as a basis for comparison. As the main focus of the thesis were the results from the comparative analysis, the results of this content analysis displayed found in Appendix F. The following section outlines the methods employed to perform the comparative analysis.

#### **4.4 Comparative analysis between consultation data and second National Action Plan**

After completing the content analyses, the results from the consultation data and the NAP were looked at comparatively to assess the respondents’ and NAP priorities, and to determine how much overlap existed between the NAP and the raw data from the consultations. In order to identify the overlap in the two documents, the comparative analysis focused on comparing respondents’ submission themes to the commitments of the second NAP; a comparison of priorities in both documents; and finally a comparison of the consultation ideas from the respondents’ submissions to the specific commitment of consulting Canadians. These three sections were chosen as the focus for analysis due to be directly applicable to the research question. See Illustration 3 for a diagram of the codes that were used for the comparative

analysis. The coding manuals were created to allow for a similar comparison of these three specific codes because of their relation. Had there been more space and time, it would have been desirable to include all of the results found.

**Illustration 3: Comparative codes used between both codebooks**



The above illustration outlines the three pairs of codes that were used. The first pair of codes compared themes, the second compared the priorities and the third pair compared ideas based on consultations. These pairs will be detailed below. The first analysis was performed on the themes of the respondents’ submissions and the NAP commitments. Taken from the results’ frequency charts, each code’s attributed categories (themes and subthemes) were ordered from

the most to least frequent result. The NAP commitments were ordered according to the number of deliverables associated to each commitment, from the commitment with the most deliverables to that with the least. Once these were laid out, each list was entered into a table divided by the NAP commitments. Using the NAP commitments as the basis for comparison and listing them in the left hand column in order of frequency, it was possible to associate the themes and subthemes to each commitment through an analysis of language. The language in the commitments was specifically analyzed and attributed to a respondents' theme and/or subtheme. This offered the opportunity to see how many broad themes were associated with the commitments and also, how many themes were not reflected in the NAP commitments.

The next section of the comparative analysis compared the priorities that were extracted from the respondents' contributions with the NAP deliverables. The same process ensued—ordering the priorities in a table by frequencies. Due to the size and length of this table, it can be found in Appendix E. For the analysis, the top twelve priorities from the NAP deliverables and the top ten from the respondents' submissions were used as the most important. The top twelve priorities were used for the analysis as the final four deliverables had the same number of frequency. A table was created and the deliverables priorities were listed in order of frequency. Priorities from the consultations were ordered by association to the deliverable priorities. This table also enabled a clear distinction of the respondents' priorities that were not attributed to any of the deliverables.

Finally, the last comparison examined the respondents' ideas about consultations and compared them to the deliverables taken directly from the Consulting Canadians commitment. The same process was used which allowed for a visualization of the priorities that did not fit within the deliverables created. The deliverables were listed in one column of a table and the

associated respondents' suggestions were matched with the deliverables that related to it from an analysis of language. The respondents' comments that did not fit into a deliverable were placed at the bottom of the table (See Appendix G).

From the accumulation of results, a quantification of overlap and disconnect was explored. The next chapter details the findings that were found within each content analysis with an ultimate focus on the comparative analysis between both documents, the second NAP and the consultation submissions.

## 5 Chapter: Findings and Discussion

The following chapter outlines the main findings of the study and discusses them in relation to the research question guiding this thesis: *to what extent were respondents' contributions reflected in the second NAP?* The three central findings were: (1) there was overlap between respondents' interests and the final NAP when analyzing the comments by theme. (2) When further analyzing the content for more specificity in each respondent contribution, there was information that was left out. And, (3) the consultations were classified as being consultative which states that opinions are being sought out by stakeholders but the final decisions are being made by those running the consultations (Arnstein, 1969; Rosier, 2013).

All in all, it can be observed that the second NAP did include some of the input offered by the respondents, but mostly on a general scale when looking at the broad themes of each comment. As the GC analyzed the contributions by categorizing each one into theme based categories, this was replicated in the first portion of the current content analysis on the respondents' comments. Taking the study further to delve into the details of each submission, it was found that, in fact, a disconnect existed in terms of the details within each comment that was missed through the effort of coding responses strictly by themes.

This chapter focuses on the main results of the comparative analysis to demonstrate the overlap and disconnect that existed between the respondents' suggestions and the second NAP. These results were applied to Arnstein's (1969) theoretical model: the ladder of participation. This chapter is divided into the following sections: (1) A comparative analysis between the NAP commitments and the themes of the respondents' suggestions; (2) A comparative analysis between the priorities of the NAP commitments and the respondents' priorities from the consultations; (3) A comparative analysis between the NAP commitment on consulting

Canadians and respondents' comments on consultations; (4). Applying the theoretical model to the findings; and (5) Recommendations and Discussion.

### **5.1 A comparative analysis between the NAP Commitments and the themes of respondents' suggestions**

The content analysis on the NAP commitments demonstrated the frequency and percentages of deliverables associated to each commitment (for the results table, see Appendix F). Although it is difficult to discern the reasons why some commitments have more deliverables than others, it can be interpreted that the commitments with the most deliverables are either more complex or have more focus. Commitments ranged from having one deliverable to having seven deliverables. The NAP commitment with the largest amount of deliverables was the Open Information Core Commitment (15.2 percent). Identifying patterns of the commitments with more deliverables and multiple commitments surrounding the same topic is crucial to this discussion to explore the commitments that had more focus. For example, open data accounted for two of the top five commitments (see Appendix G or table 5). This indicated a relatively strong government priority to open up government data and information. The results of this content analysis were used to compare the commitments that were most important to the GC along with the most prominent themes of respondents' contributions.

The content analysis of these themes, from the consultations, demonstrated the frequency and percentage of themes that were mentioned (see Appendix G or table 5). The majority of comments fell under Transparency (20.0 percent), Citizen Engagement and Civic Literacy (19.8 percent), Governance and Resources (17.1 percent), Data Quality and Availability (13.3 percent), Innovation and Data Literacy (9.4 percent) and Open and Agile Culture (9.4 percent). These top six topics were the most prominent among all of the contributions.

Furthermore, the additional themes that emerged from discussion, taking into consideration that some comments included more than one theme of discussion, were the subtheme of Open Information (20.3 percent) clearly stood apart from the others, showing that it was an essential priority to the respondents. The next most prominent subthemes were Discussion on Consultations (7.8 percent), Extractive Transparency (7.7 percent), Accountability (7.6 percent) and Data Quality and Delivery Standards (7.4 percent).

Considering these themes, an overlap was found between the NAP commitments and respondents' comment themes. This suggests, at a first glance, that the second NAP was successful in its goal to reflect respondents' contributions in the policy. Table 5 illustrates the comparative analysis on the NAP commitments and the associated respondents' suggested themes.

**Table 5. Percentage comparison of action plan commitments compared to main themes found in respondents' submissions.**

<b>Action Plan Commitments</b>	<b>Respondent submissions: main theme</b>	<b>Respondent submissions: sub themes</b>
Open information core commitment (15.2%)	Transparency (20%) Digital tools for access to information (2.6%)	Open information (20.3%) Libraries (1.2%)
Open data core commitment (13%)	Data Quality and availability (13.3%) Innovation and data literacy (9.4%)	Data quality and availability standards (7.4%) Modernize data and IM regime (3.5%)
Consulting Canadians (10.9%)	Citizen Engagement and Civic Literacy (19.8%)	Data platform (2.7%) Consultation Process (7.8%) Engagement platform (3.4%)
Open data Canada (10.9%)		Multilateral collaboration: data standards (3.4%)
Open science (8.7%)		
Open contracting (8.7%)		Procurement (0.6%)
Mandatory reporting on extractives (6.5%)	Stewardship (7.2%)	Extractive transparency (7.7%)

Open information on budget and expenditures (6.5%)	Governance and resources (17.1%)	Accountability (7.6%) Beneficial ownership transparency (0.8%)
Digital literacy (6.5%)		Digital literacy (4.2%) Funding for data innovation (1.4%) Digital divide (0.9%)
Directive on open government (6.5%)	Open and Agile Culture (9.4%) Foundation of open government (0.9%)	Culture change (4.0%) Directive on open government (0.4%) Privacy (0.1%)
Open data for development (4.3%)	International Relations (0.3%)	
Canadian open data exchange (2.2%)		Multilateral collaboration: Solutions (6.2%) Direct participation (2.6%) Business collaboration (1.6%) CSO collaboration (1.4%)

There were a total of 37 respondents’ themes and subthemes in total and five were left out resulting in an 87 percent success in overlap. Each NAP commitment had an associated respondents’ submitted theme or subtheme demonstrating an overlap. The overlap was defined through identifying the themes that related to the language in the action plan commitment. This high percentage of overlap demonstrates that the general themes of the comments are reflected in the final policy, and that it appears to provide a good representation of respondents’ contribution themes to NAP commitments.

The first NAP commitment with the most deliverables was the Open Information Core Commitment, with seven associated deliverables (15.2 percent). This NAP commitment involved “expand[ing] the proactive release of information on government activities, programs, policies and services, making information easier to find, access and use” (Canada’s Action Plan on Open Government, 2014). Four of the respondents’ themes that relate to this commitment were transparency (20 percent), digital tools for access to information (2.6 percent), open information

(20.3 percent) and libraries (1.2 percent). As the coding methodology called for mutually exclusive categories, the open information and libraries themes can also, arguably, fall under the Open Science commitment. However, they were grouped in the Open Information Core commitment for coding purposes because the language spoke more directly to Open Information than it did to Open Science. Open information had the most associated deliverables and the transparency theme was one of the most frequently mentioned themes in the respondents' suggestions – to share more government information with the public to increase governmental transparency. About one fifth of the respondents' submissions mentioned Open Information in general, rating this theme as very high in importance – and it is reflected in the commitment. Libraries were only referred to 25 times (1.2 percent) but were still reflected in this commitment.

The next NAP commitment was the Open Data Core commitment, with six deliverables (13 percent). This commitment involved working to create “innovative solutions to drive open data across government and prioritize federal data to the public” (Canada’s Action Plan on Open Government, 2014). This NAP commitment was associated with the main respondents’ themes of Data Quality and Availability (13.3 percent) and Innovation and Data Literacy (9.4 percent). Both of these themes were prominent in popularity due to the percentage of mentions. The associated respondents’ subthemes that were represented through this NAP commitment included Data Quality and Availability Standards (7.4 percent), Modernizing Data and IM regime (3.5 percent) and creating a Data Platform (2.7 percent). Analysis of these results showed a pattern, in that many of the frequently mentioned respondents’-submitted themes mirror the NAP’s highly-attributed deliverables associated to the commitments. This suggests that the commitments with the most deliverables relate to the frequently-mentioned themes from

respondents, demonstrating that the GC was focusing on the most frequently mentioned respondents' themes.

The third NAP commitment was Consulting Canadians, with a total of five deliverables (10.9 percent). This commitment was about “enable[ing] consulting more broadly across governments and agencies in support of the delivery of government policies and programs” (Canada’s Action Plan on Open Government, 2014). The main respondents’ themes associated to this NAP commitment was Citizen Engagement and Civic Literacy (19.8 percent), with the respondents’ subthemes of Consultation Process (7.8 percent) and creating an Engagement Platform (3.4 percent).

The fourth NAP commitment was Open Data Canada, with five deliverables (10.9 percent). This NAP commitment aimed to “break down barriers between governments to integrate open data services through common principles, standards and licensing” (Canada’s Action Plan on Open Government, 2014). It did not relate specifically to any of the main themes mentioned by respondents but did refer to the respondents’ subtheme of Multilateral Collaboration: Data Standards (3.4 percent).

The fifth NAP commitment was Open Science, with four deliverables (8.7 percent). Open science was intended to “maximize access to federally funded science research to allow for greater collaboration and engagement among the science community, the private sector and the public” (Canada’s Action Plan on Open Government, 2014). There were no respondents’ themes or subthemes that were directly related to open science.

The sixth NAP commitment was Open Contracting, with four deliverables (8.7 percent). This commitment coordinated access to a broad range of open contracting information across

federal departments (Canada's Action Plan on Open Government, 2014). While there were no respondents' suggested main themes related to open contracting, 0.6 percent was associated to the respondents' subtheme of Procurement which was reflected in the details of this NAP commitment.

The seventh NAP commitment was Mandatory Reporting on extractives, with three deliverables (6.5 percent). This commitment intended to introduce "legislation on mandatory reporting standards that require the reporting of payments made to governments on oil, gas and minerals" (Canada's Action Plan on Open Government, 2014). It related to the respondents' main theme of Stewardship (7.2 percent) and the subtheme of Extractive Transparency (7.7 percent). Both of these themes were popular among respondents' and were reflected through this commitment.

The eighth NAP commitment was Open Information on Budget and Expenditures, with three deliverables (6.5 percent). This commitment was created to "publish expanded information and data on federal spending to help Canadians understand and hold governments accountable for decisions of spending" (Canada's Action Plan on Open Government, 2014). It was associated with the main respondents' theme of Governance and Resources (17.1 percent) and the subthemes of Accountability (7.6 percent) and Beneficial Ownership Transparency (0.8 percent). These themes were reflected in the commitment through the language and intention of the deliverables.

The ninth NAP commitment was Digital Literacy, with three deliverables (6.5 percent). This commitment was intended to "support the development of tools, training resources and other initiatives to help Canadians to develop the skills to access and use digital information"

(Canada's Action Plan on Open Government, 2014). A main theme did not directly relate to the content of this commitment but it did correspond to the respondents' subthemes of Digital Literacy (4.2 percent), Funding for Data Innovation (1.4 percent) and the Digital Divide (0.9 percent).

The tenth NAP commitment was the Directive on Open Government, with three deliverables (6.5 percent). This commitment "issued a mandatory policy requiring federal government departments and agencies to maximize the release of data and information of business value subject to applicable restrictions in relation to privacy, confidentiality and security. Eligible data and information was said to be released in a standardized, open format, free of charge and without restriction of reuse" (Canada's Action Plan on Open Government, 2014). This commitment corresponded quite well to the respondents' themes of Open and Agile Culture (9.4 percent) and the Foundation of Open Government (0.9 percent). It also related to changing the current culture of governance which tied nicely to the subthemes of Culture Change (4 percent), Directive on Open Government (0.4 percent) and Privacy (0.1 percent).

The eleventh NAP commitment was Open Data for Development, with two deliverables (4.3 percent). This commitment focused on working with "developing countries to enhance open data accountability and create new solutions for the delivery of public services" (Canada's Action Plan on Open Government, 2014). The only respondents' theme that related to this commitment was International Relations (0.3 percent).

The twelfth NAP commitment was the Canadian Open Data Exchange, with one deliverable (2.2 percent). This commitment focused on developing an "open data institute for collaboration across numerous sectors and governments to promote commercialization of data"

(Canada's Action Plan on Open Government, 2014). There were no respondents' main themes related directly to the content of this commitment but it did relate with the respondents' subthemes of Multilateral Collaboration Solutions (6.2 percent), Direct Participation (2.6 percent), Business Collaboration (1.6 percent) and Civil Society Organization Collaboration (1.4 percent). This commitment covered a number of subthemes despite having only one associated deliverable.

It appears, from the outset, that the respondents' submissions were being accounted for through the creation of the deliverables for each commitment. However, there were also a number of respondents' themes that were not reflected through the NAP commitments (for the full list of results, see Appendix G). Five respondent themes in total were not reflected in the NAP commitments, comprising a total 10.7 percent of unaccounted respondents' themes. These included Improving Government Services in general (3.9 percent), Civic Literacy (3.5 percent), Funding for Departments (1.4 percent), Performance Measurement (1.1 percent) and finally, Open Source Licensing (0.8 percent). While these themes did not have a high percentage of mention among the respondents' submissions, some assumptions can be made as to why they were left out, however, future studies including interviews would allow for this to be explained more concretely and in more depth. The first assumption is that each theme had a relatively low frequency of mention associated to it. Since they were not mentioned as often as some of the other themes, perhaps they were less important to the respondents as a whole. Secondly, these themes may have been considered as irrelevant to the direction of the second NAP and did not fit with the commitments that the government was prepared to make; or, they were considered to be out of the mandate scope set by the OGP. As the OGP sets out the main direction and guidelines, some comments may lay outside of those lines.

If governments are choosing to consult with the public, they are required to demonstrate that they are listening to those who participate. The issue with the methodology of categorizing respondents' submission by theme, is that it misses the breadth and detail of the input. If a comment is categorized by theme, this leaves room for variation in the context of the comments. Comments range from agreeing with what someone else said or short tweets, to page length discussions. The detail within each comment was unique and this distinction was lost when purely analysing a comment by theme.

This section compared the results from the content analyses from the NAP commitments and the respondents' themes together to provide a detailed comparison between them. As this section summarized the comparative aspects between the second NAP and the respondents' submission themes, the following section will detail the most important aspect of this thesis. It will compare the NAP deliverable priorities with the respondents' priorities for inclusion in the second NAP.

## **5.2 A comparative analysis between the priorities of the NAP deliverables and the respondents' priorities**

The content analysis on the priorities of the NAP deliverables demonstrated that many of the deliverables revolved around making information more available to the public across different platforms for easy accessibility. The top twelve NAP priorities from the deliverables were extracted to indicate the most frequently suggested priorities across multiple deliverables. The top twelve themes were used rather than top ten because the last three NAP themes had the same frequencies. These accounted for 69.8 percent of the total sample (See Appendix G). The most frequently mentioned priority was developing common principles and standards across the GC (13.5 percent). As many deliverables differed from one another, the categories were almost

mutually exclusive. However, each deliverable is important to consider when comparing it to the respondents' submission dataset so that the main areas of focus could be clear. The NAP priorities had a focus on the technological aspect of sharing information through the discussion of an online portal, a federated search, an online community etc. However, there were two categories that greatly differed from the others which was the mandatory reporting of extractives and the open science implementation plan. As these differ from the topic of open data, they still fell under open information for respondents (see Appendix F).

Alternatively, the content analysis performed on the respondents' priorities allowed for the top ten to be identified (See Appendix E for full list of respondents' priorities and the frequencies associated). Respondents' submissions included expressions of opinion that ranged from very generic responses, such as "I support this initiative", to very specific thoughts on exactly what they wanted to see in the second NAP.

The total sample number of respondents' priorities to be included in the second NAP was 3465 (across five instances of this code being used). The top ten contributions comprised 50.3 percent of the entire sample for these codes. The percentages of each category were quite low as a whole due to the large number of categories, but these ten categories do comprise a large portion of the full sample.

Many of the priorities strongly indicated that respondents want more information from the GC which, in turn, could potentially fulfill the respondents' priority for improved relations across governments and communities. The inclination of governments to provide information to its citizens underlines the idea that respondents are interested in what the GC is doing and that they want to be involved. Respondents were also asking for technological changes. More

specifically, they wanted the information that currently exists online to be updated and wanted government data to be more easily accessible. Again, this underlines the request for better information from the GC to those wishing to participate. The last category indicated was for governments to be more accountable for natural resources. Although this category dramatically differs from the previous nine, it indicates that natural resources is an issue of significant concern to Canadians.

To investigate these results, the comparative analysis lays out the top twelve themes of the NAP deliverables (constituting 69.8 percent of the entire sample) with the top ten respondents' priorities that accounted for 50.3 percent of the entire sample (see Table 6).

**Table 6. A comparison between the top twelve priorities from the action plan deliverables and the top ten priorities from the respondents' contributions.**

<b>Priorities from the deliverables</b>	<b>Priorities from the consultations</b>
Common principles/tools/standards across the GC (13.5%)	Standardization across all levels of government, increasing internal communications (4.9%)  Develop multilateral standards for consultations, various platforms for consultation to prioritize citizen value (2.9%)
Launch new government-wide open government portal (9.4%)	Ensure all data is structurally archived in one database for easy accessibility (2.8%)  New data platform (2.5%)
Publish data in accessible formats (8.3%)	Make data more easily available and in workable formats, long term access (5%)
Open eligible data and information by default (6.3%)	Open by default information (1.9%)
Maximize the release of information (6.3%)	

Federated search tool across all levels of government (5.2%)	Improve keyword searches for government information (0.6%)
Establish tools and guidance for releasing government information (4.2%)	Create report and publication requirements, standards (1.3%)
Develop an online community/portal for those engaged in open data that offers training and information (4.2%)	Work with non-government organizations and academics to manipulate data (4.7%) Release raw data/ metadata (0.8%)
Prioritize the publication of data based on public demand (3.1%)	
Run public events for citizens to participate in the reusability of government data (3.1%)	Data visualization and reusability (0.2%)
Develop a government-wide open science implementation plan (3.1%)	Open science (0.3%)
Mandatory reporting of extractive companies (3.1%)	Mandatory reporting (2.8%) Make governments accountable with natural resources (3.1%)

The above table illustrates almost a 1:1 relationship between the deliverable themes and the respondents' priorities indicating overlap from the outset. At least one respondent priority was matched with each deliverable. This shows that the deliverables do reflect respondents' contributions; however, respondents asked for more to be delivered than was represented in the final draft. This is important to note because there were a lot more respondents' priorities listed than themes of deliverables resulting in the clear fact that a lot of respondents' suggestions were being left out from the top NAP deliverables. There were a total of 58 respondents' priorities and 31 that were not represented in the NAP priorities totally for a 47 percent overlap and a 53 percent disconnect. The second NAP deliverables intersected across different commitments because of their similarity. There were two NAP deliverable priorities that had no association to

the top respondents' priorities. They were 'Maximizing the Release of Information' (6.3 percent) and 'Prioritizing Publication of Data Based on Public Demand' (3.1 percent).

The first priority found in the NAP deliverables was creating Common Principles and Standards across the GC (13.5 percent). This related to the respondents' priorities around standardization which resulted in two respondents' priorities being reflected. The second priority from the NAP deliverables looked at launching a new government-wide open government portal (9.4 percent) which accounted for two respondents' priorities displayed in the above table revolving around open data. The third priority from the NAP deliverables focused on publishing data in accessible formats (8.3 percent) which aligned clearly with the respondents' priority of opening up data in accessible formats. The fourth priority from the NAP deliverables focused on Opening Eligible Data and Information by Default (6.3 percent). This idea is especially interesting because, by using the word 'eligible', it refers to the issues of security and confidentiality where not all information can be disclosed by default. However, this idea did correspond to the respondents' requests of opening information by default (1.9 percent).

The next NAP priority focused on Maximizing the Release of Information (6.3 percent). This idea did not relate very strongly with the respondents' priorities and, therefore, the corresponding field was left blank despite it being mentioned six times throughout the creation of the deliverables across different commitments. The sixth priority from the NAP deliverables was creating a Federated Search Tool across All Levels of Government (5.2 percent). This priority related to the respondents' submissions of Improving Key Word Searches for Government Information (0.6 percent). The seventh priority from the NAP deliverables included Establishing Tools and Guidance for Releasing Government Information (4.2 percent), which related with the

respondents' priority of Creating Reporting and Publication Requirements and Standards (1.3 percent).

The eighth priority from the NAP deliverables was Developing an Online Community or Portal for those engaged in Open Data that offers Training and Information (4.2 percent). The details related to the respondents' submissions of Working with Non-Governmental Organizations and Academics to Manipulate Data and Release Raw Data and Metadata (4.7 percent). The next priority from the NAP deliverables was Prioritizing the Publication of Data Based on the Public's Demand (3.1 percent). There was no concrete relation with any of the respondents' priorities.

The tenth priority from the NAP deliverables was Running Public Events for citizens to participate in the reusability of government data (3.1 percent), which related to the respondents' submissions of Increasing Data Visualization and Reusability of Government Data (0.2 percent). Next, the eleventh priority from the NAP deliverables was to Develop a Government-Wide Open Science Implementation Plan (3.1 percent), which corresponded to the respondents' priority of including Open Science in Governmental Planning Activities (0.3 percent). The last priority from the NAP deliverables was Mandatory Reporting of Extractive Companies (3.1 percent), which related to the respondents' priority of Mandatory Reporting (2.8 percent) and also to Making Governments Accountable with Natural Resources (3.1 percent).

Furthermore, there were also 31 respondents' priorities that were not reflected in the NAP deliverables at all accounting for 53 percent of the sample. These can be seen in Table 7 below.

**Table 7. Respondents' submissions not reflected in the second NAP deliverables.**

<b>Respondent Submission</b>	<b>Percentage of total respondents' submissions</b>
Providing more information on open government in general and more details about it	7.9%
Changing the current government culture to improve oversight and increase internal communications	6.0%
Changing and regularly updating the current technological framework of shared government data through new formats and different mediums	4.5%
Improving relations between governments and the public to provide for two-way communications	3.9%
Improving the quality of engagement to offer citizens enough information to make informed decisions	3.3%
Evaluating the progress of open government initiatives and enforcing them	2.8%
Demonstrating leadership in new initiatives	2.0%
Technological advancements within government to share information	1.9%
Reprioritizing government funding to ensure that departments can perform open government initiatives	1.8%
Open source licensing within the GC and creating a policy to open up data	1.4%
Detailed government spending and activity reports in a common format	1.3%
Providing training to professionals and the public on identifying problems	1.1%
Budget and spending accountability readily available to the public	1.1%
Open policies and practices addressing the Canadian digital divide	0.8%
Address the digital divide that exists in Canada	0.8%
Increased funding for improvement of digital tools	0.6%
Improved training to officials on legal regulations and identifying associated problems	0.5%
Procurement reform	0.4%
Providing incentives for participation	0.4%
Controlling information should be the role of numerous parties and not just the government	0.4%
Providing more than just government data on open.gc.ca	0.3%
Recruiting technologically competent candidates for open data initiatives	0.3%
Creating a data quality policy	0.3%
Improving working conditions for extractive industries	0.3%
Adding open government features to high school and university classes	0.2%
Using existing data to create the narrative for consultations	0.2%
Disclosing materials in consumer goods	0.2%
Owning your own data	0.1%
Making voting mandatory or lowering the voting age	0.1%
Creating environmentally friendly solutions	0.1%
Reforming whistleblower law	0.0%

The above table indicates that the top ten respondents' priorities were not entirely reflected in the priorities that emerged from the NAP deliverables. In fact, four of the top ten most frequently made respondents' submissions were not reflected. These were: Providing More Information on Open Government in General and More Details About It (7.9 percent); Changing the Current Government Culture to Improve Oversight and Increase Internal Communications (6 percent); Changing the Current Technological Framework of Government Data Through New Formats, Different Platforms and Updating Them Regularly (4.5 percent); and finally, Improving the Relations Between Governments and the Public to Allow for Two-Way Communication (3.9 percent). These four submissions proved to be relatively important to respondents as their frequency of mention was, as stated earlier, in the top ten. These four respondents' priorities accounted for 22.3 percent of the total respondents' priorities put forward throughout the consultations.

The request for more information about open government is important; it shows that respondents are truly interested in understanding the GC's intentions for open government and how it will affect them. The comments on this subject ranged in terms of the direction and detail concerning what respondents wanted to know about open government. However, despite this being one of the most frequently mentioned respondents' comments, the fact that it was not included in the open information category of the second NAP is noteworthy. This could be related to the set-up of new platforms and intention of ensuring that all data is compiled in one area, however, the fact that this was an important issue for respondents, it should have been reflected.

Another top priority for respondents was the idea of changing government culture through improved oversight and increasing internal communications. This demonstrates that

respondents are concerned about the way that the GC is functioning; in terms of culture, the comments varied from policy-related to the lack of communication between departments and levels of government. However, looking at the sample of those included in consultations, there were a number of participants who were public servants. Those who work in the GC were contributing on the need to have a culture change making these results interesting. Respondents, and public servants alike, want to see change so that it is easier for them to follow the standards and guidelines being created and easier to contact the right official immediately rather than being redirected multiple times. Along with simplified communication channels, respondents want oversight to be provided over all aspects of governance and to see a better relationship between governments overall. The importance of this request bears repeating because respondents are reaching out to tell the GC that they are concerned and that things need to change within government to better facilitate an open exchange. A comment like this may have been left out of the second NAP because it does not relate to the direction of open government specifically, but it is an important comment to note. As the OGP guides action plans in outward facing commitments, the internal communications between governments is irrelevant. This may be why this point was left out, however, the GC could have used this requirement within another NAP commitment to demonstrate to the public that it took into consideration the comment. Alternatively, the GC could address this requirement in another means to notify the public why it was not included in the second NAP.

The third respondents' priority from the top ten submissions that was not reflected in the second NAP was changing the current technological framework and updating it regularly. This comment can be inferred through the commitments as a whole but its details were not directly captured in the deliverables. The deliverables did not speak to changing current frameworks but

did address adding new platforms for interaction. The aspect of regular updating was also omitted; a portion of respondents have noticed that platforms and data are quickly outdated and want to see them modernized regularly to demonstrate the GC's continuing interest in the best interaction it can provide.

The last key top ten idea that was not included in the deliverables was to increase two-way communication between citizens and the GC. One frequent request was to allow public servants to reply to citizens directly to increase response times. Despite the increased automated functions such as email, online submissions and telephone inquiries, it is more difficult than ever to reach an actual person. The idea that 3.9 percent of the respondents' contributions mentioned increasing two-way communication is important. Although consultations do enable a two-way flow of communication, the length of time for communication is restricted purely to the consultation period, and it is difficult to determine that respondents' voices are truly heard and respected via this method.

From this analysis, 31 of the 58 coded respondents' priorities were not accounted for in the second NAP -- totalling 53 percent of respondents' ideas that were left out. As well, 15 out of the 35 NAP priorities did not relate to respondents' priorities, resulting in 43 percent of deliverables aimed at ideas irrelevant to what respondents mentioned their priorities to be (Appendix G). Because consultations are meant to enable participants to have their voices heard and represented in an outcome, the fact that 53 percent of their comments were not represented is substantial. Although there may be reasons for discounting some submissions, this number suggests that change is required in terms of engaging with participants. This research found that the coding mechanism performed by the GC could be improved to capture more detail within the respondents' suggestions.

Alternatively, having 43 percent of deliverables aimed at priorities irrelevant to the contributions from consultations shows that there is something more that is contributing to the creation of the second NAP. This could happen due to the way the GC coded the data; coding by theme allows room for subjective interpretation of what respondents wanted. For example: if a comment is coded as revolving around the theme of open information, there was a variety of comments that ranged in different directions to include more information about open government, more information about government policies, easier access to information etc. By coding these comments as open information, there is room for the GC to interpret the information in a particular way. This makes it possible to understand why there may be NAP deliverables that go in an alternative direction than what the respondents asked for. This also allows for the understanding that not all contributions were heard. The subjective component to coding by theme has effects on the interpretation of respondents' comments and the ultimate goals created by the GC. As it appears that the commitments as a whole were representative of the themes brought forward by respondents, the details in the deliverables differed quite differently to the depth of the respondents' contributions.

Further, there could also be reasons for the contributions not to be reflected in the policy as mentioned in previous chapters that did not fit with the direction of the second NAP. Some of the categories above are not specifically attributable to the second NAP. As they are all good recommendations of focus, they may be better fit for information purposes for the government or better fit for another situation. As the second NAP was created in fulfillment to the mandate of the OGP, some key factors may be irrelevant towards helping to make the GC more open.

This section of the analysis demonstrated the importance of analyzing data through a more detailed approach than a merely theme-based one. As the theme-based approach of

analyzing respondents' submissions does demonstrate quite a large overlap with the second NAP's representational intent, it presents a false sense of participant representation. The direction of the second NAP may have been set by the themes, but all things considered, it still enabled the GC to create the details within the commitments and the deliverables that do not represent what participants wanted.

This sums up the comparative results of the main NAP deliverable priorities and the respondents' priorities. The final factor in the comparative analysis looked exclusively at the consultations themselves. Its purpose was to extract respondents' preferences on how consultations are performed and the requirements that should be included. This analysis compared these preferences with the deliverables associated to the Consulting Canadians commitment.

### **5.3 A comparative analysis between the NAP commitment on Consulting Canadians and respondents' comments on consultations**

As consultations are a key requirement for countries to hold membership in the OGP as indicated in the guidelines, this final section looked specifically at the consultation requests from respondents and compared them to the section on Consulting Citizens in Canada's second NAP on Open Government (2014). Prior to the comparative analysis, the content analysis performed on respondents' suggestions towards consultations showed the priorities that respondents wanted to see for future consultations. The top ten contributions were extracted for comparison which accounted for 91 percent of the total sample (for the full results, see Appendix G). The highest result showed that respondents want more opportunities for participation (32.7 percent). The respondents' suggestions varied across multiple aspects of consultations that provide a wide array of suggestions that should be accounted for when consulting with Canadians. As the most

frequently suggested comment was to increase opportunities for participation (32.7 percent), this indicated again that respondents want to participate. Another interesting aspect was that respondents were asking for multiple platforms for participation, including online initiatives through social media and a particular platform used for participating in government consultations which could act as a one stop shop for seeing what the GC is up to and how the public can participate. This demonstrated the desire to use new tools to reach the citizenry and also consideration for those who do not have the ability to use these tools. In these cases, alternative means of consultation are necessary.

Respondents also asked for regular consultations so that consistent feedback can be offered. They also wanted to see their voices being reflected in the NAP. Or, alternatively, wanted the GC to better explain why their contributions may not have been reflected. The deliverables found in the second NAP are presented below in a similar table to the previous sections showing the overlap between what people specifically asked for in consultations versus what was found in the second NAP.

**Table 8. Comparison of deliverables and related respondents’ contributions.**

<b>Action Plan Deliverables: Consulting Canadians (Canada’s Action Plan on Open Government, 2014)</b>	<b>What respondents asked for: consultation submissions</b>
Improve the existing Consulting with Canadians website to facilitate easier access to information on federal consultation activities for citizens.	Better and inclusive recruitment strategies (2.4%)
Develop and launch a new government-wide consultation portal to promote opportunities for public participation, host online consultations, and share findings from completed consultations.	Create platform specifically for citizens to participate in government initiatives, including regular emails (7.3%)
	Release all dialogue from consultations; success stories (3.4%)

	Increase Opportunities for engagement; provide information to make decisions (32.7%)
Expand the use of social media across government to enable departments and programs to connect to Canadians in innovative ways and enhance engagement in support of citizen-centric services.	Consult online using social media, including up-voting (7.3%)
Develop a set of principles and standards for public consultations in discussion with citizens and civil society, including setting out minimum benchmarks for consultations.	Create standards and guidelines to follow (7.8%)
Conduct targeted consultations on open government themes with key groups in Canada (i.e. aboriginal populations)	Include special interest populations to ensure that affected voices are heard (8.8%)

The above table shows that at least one respondent submission related to each NAP deliverable for Consulting Canadians. Again, there was overlap between the deliverables and the consultation improvements that respondents requested. There were a total of 15 respondents' suggestions about consultations and there were 8 which were left out resulting in a 53 percent disconnect and a 47 percent overlap, similarly to the previous comparative analysis results.

The first NAP deliverable was improving the existing Consulting with Canadians webpage, relating to the respondents' suggestions of improving recruitment strategies (2.4 percent). The NAP deliverable of Developing and Launching a New Government-Wide Consultation Portal related clearly with the respondents' requests for a specific Participatory Platform (7.3 percent); this NAP deliverable also related with releasing the Consultation Dialogues (3.4 percent) and Increasing Opportunities for Engagement (32.7 percent). The third NAP deliverable, using Social Media across Governments to connect Canadians to government services, related with respondents' asking for Social Media to be used for Consultations (7.3 percent). The fourth NAP deliverable, developing a set of Principles and Standards to follow, was also requested by respondents, especially in consultation with other respondents and civil

society organizations (7.8 percent). The last NAP deliverable, the idea of conducting targeted consultations, related to the respondents' submissions of Including Special Populations in Consultations to ensure that affected voices are heard (8.8 percent).

Only 47 percent of respondents' specific requests were captured in the NAP. Eight out of fifteen respondents' suggestions were not accounted for in the consulting with Canadians NAP commitment, totalling 53 percent of proposed ideas that were not directly reflected. These included: Increasing Direct Communication between Public Servants and Citizens (8.3 percent), Increasing Gamification and Competitions as Incentives (6.3 percent), Prioritizing Citizen Contributions (5.4 percent), Consulting for Feedback on What is Being Implemented (3.4 percent), Engaging with other Departments and not citizens (2.9 percent), Inviting Students to Participate (1.5 percent), Consulting Prior to the Release of all Policies (1.5 percent), and having a Civil Society Representative at each Consultation to Champion the Initiative (1 percent).

Six out of the top ten respondents' priorities on consultations were reflected in the NAP. The resulting four submissions that were not reflected in the commitment on Consulting Canadians were: increasing communication between public servants and citizens (8.3 percent), increasing gamification or competitions to provide incentive for participation (6.3 percent), prioritizing participant contributions (5.4 percent) and including regular consultations for feedback on new processes (3.4 percent). These four ideas accounted for a large proportion of the submissions on consultations (23.4 percent). This important finding aligns with the previous analysis of priorities within the deliverables and the consultations in that it demonstrated that just over half of the respondents' comments on this subject were not reflected in the final NAP. This demonstrates the need for a more detailed analysis of the depth of the comments rather than considering them purely by theme. Again, the thematic categorization of comments created the

façade of respondents' representation but did not reflect the true meaning behind the respondents' thoughts and input.

This section outlined the results from the comparative analysis performed on the second NAP and the respondents' submissions in consultations. As demonstrated, there were similarities between the respondents' suggestions from the NAP consultations and the actual NAP, but there were also important differences. Since roughly 47 percent of respondents' priorities were reflected in the NAP, the notion of threshold must be considered. When looking at the success of represented themes (the first section of the comparative analysis), which was the method employed by the GC in creating the policy, it appeared that the GC aimed for a high threshold with the success rate of about 87 percent. Although identifying the direct threshold is out of scope for this thesis, the methods employed by the GC for analyzing the results of the respondents' submissions suggests that the goal of including participant representation in the NAP was high. Should the threshold be aimed at 85 percent overlap, there is improvement that must occur when analyzing the respondents' contributions on a more detailed basis to fulfill this threshold. To analyze the improvement required for the priorities in the documents as well as the consultations to meet the general representational intent of the NAP, the theoretical model of Arnsteins' Ladder of Participation (1969) was applied to the results to identify where, in scope, the consultations lay with regards to this theoretical model.

#### **5.4 Applying the Theoretical Model**

As mentioned in previous chapters, the intention of open government is to facilitate transparency, accountability and citizen engagement. Because citizen engagement is critical, Canada intended to encourage consultations in the development of the second NAP. By analyzing the amount of respondents' contributions that were left out -- about 47 percent of

respondents' priorities found within the NAP deliverables -- as well as by comparing the Consulting Canadians commitment and the respondents' contributions on consultations, it is possible to identify where the Canadian open government consultations fit in Arnsteins' ladder of participation (1969). By identifying the appropriate rung on the ladder, one can visualize the ways in which the ladder can be ascended to facilitate better approaches to participation among the citizenry and in turn, foster better representation and engagement.

It is clear that neither the top rung of the ladder, Citizen Control, nor the bottom rung, Manipulation, are appropriate categorizations when it comes to this attempt at consulting with Canadians (Arnstein, 1969). As evident in the introductory chapters, the GC complied more with OGP guidelines on citizen consultation for the second NAP than it did for the first, where only online methodologies were employed to interact with citizens. However, the resulting improvement still did not lead to a fully representational model, as observed through the final NAP. The consultations did occur through multiple platforms: teleconference, e-mail, physical meetings, Twitter and writing were all offered as means for participants to submit their opinions on what they wanted to see in the NAP, which fulfilled the multi-platform requirement of offering numerous ways to reach the citizenry. In fact, about 40 percent of respondents' contributions came from online methods, 37.4 percent were from offline discussions, 3.2 percent were from teleconferences and 28.5 percent of comments were submitted in writing (see Appendix E). This showed that a reasonable spread of platforms were used for respondents' submissions providing the opportunity for people across Canada to participate in the way that best suits them.

Applying Arnstein's Ladder of Participation (1969), this round of consultations would fall under the rung group of Tokenism, between the categories of Consultation and Placation.

The rung group Tokenism involves citizens being included in discussion but without their voices being accurately represented (Arnstein, 1969). To reiterate Arnstein's categories within this group of rungs, Consultation involves the action of reaching out to citizens through various means of communications but with the final decisions being made by the government (Arnstein, 1969). Placation involves citizens having an active role in creating opinion and outcome but with the government still making the final decision (Arnstein, 1969). In both of these categories, two-way communication is deemed essential. These two categories were brought together because of the effort made by the GC to increase the number of consultations as well as the platforms for reaching out to respondents; but, the final outcome of how much respondents' contribution was truly reflected is another issue in itself. The point made in earlier chapters, that "physical meetings may offer a false sense of participation" (Arnstein, 1969), is interesting to consider and is relevant to the current consultations under review. Although probably unintentional, the way in which the consultations were performed, analyzed and finally recorded in the second NAP demonstrated a sizable gap in terms of how to appropriately analyze such a large dataset.

Arnstein (1969) identifies climbing the ladder of participation as a gradual process. The consultation improvements made by the GC from the first NAP to the second NAP are identified as the GC evolving through this process. Conducting consultations and being open to respondents' opinion are considerably different from the ways in which the GC currently operates. Evolving to an open and participatory government is a multi-faceted process, and although citizen consultation is only one aspect of it, it is critical for the GC to include respondents' points of view, whether they have access to digital technology, or not. This is precisely one of the issues that was mentioned in the respondents' consultations: consultations are being performed and policies written that are not reflective of the affected populace. This

makes the policy non-responsive, especially when dealing with a country as large as Canada. It is crucial that consultations are expanded across all areas of the country to truly be responsive. For situations like the oil industry and those living in affected areas of Canada, people in urban living areas are unable to make appropriate decisions simply because they are not the population affected. It is very important that consultations are performed with the people that are actually being affected by the draft policy. The commitments are aimed at issues that affect different groups in different provinces and territories in a range of ways. For example, the digital divide may not be as prominent an issue in urban Ontario as it may be in isolated regions of Alberta or Saskatchewan which are either poorly serviced by telecommunications providers, if serviced at all. In order for the current consultation model to ascend Arnstein's ladder past the Tokenism categories of rungs, the depth of discussion needs to be better represented in the final policy.

## **5.5 Recommendations and Discussion**

The reason that the current consultations under review have been categorized under the Tokenism group of rungs (Arnstein, 1969) was because the intention to consult with Canadians was there, but the degree of ensuring representation is still questionable. Respondents can be seen as impacting policy -- to the degree of 47 percent -- but for this to increase, the quality of consultations and data analysis must improve. The issue is not that the respondents' contributions are absent in the NAP, but that the means of analyzing the data was not to the respondents' advantage; it worked to the GC's advantage by merely presenting the main topic of discussions rather than their direction and detail. In the Placation (Arnstein, 1969) rung, there is more citizen influence on setting government priorities and seeing change being made in these directions. Placation would not be a difficult rung for the GC to fully reach if standardized guidelines were

in place for all consultations and more attention was paid to the detail in respondents' comments and to using those comments in the policy.

In order to progress to the top group of rungs within Arnstein's (1969) model, which is titled "Degree of Citizen Power", much change is needed. This group of rungs involves a great degree of partnership between the GC and respondents, which was not present in the consultation framework adopted by the GC. In order for the consultations to ascend the ladder, there must be a high percentage of overlap between what respondents' asked for and what was released in the NAP. This group of rungs consists of Partnership, Delegated Power and Citizen Control (Arnstein, 1969). These three rungs revolve around a shift in power from government to citizen. What is interesting about these three rungs is that they relate quite nicely to some of the respondents' submissions. For example, many respondents' asked that their contributions in consultations be prioritized, which would promote trust. With the Partnership rung, there is a sharing of roles in planning and decision making. This can be fulfilled by giving more responsibility to Civil Society Organizations (CSO) in chairing consultations, as asked for by respondents through the Consultation code, or it can even include citizens in the organization of consultations. Another idea that may be of great use to the GC would be to share the data analysis with the respondents, so that no bias emerges in the data production.

In a representative democracy, such as Canada, citizen participation will probably never quite achieve the higher rungs where citizens have more power than governments. However, the open government model does enable consultations to rise to the Partnership rung, should the effort to change to this degree ever be made within the GC. As Arnstein (1969) cited the gradual process of improving participation, aiming for each NAP to reach another rung would benefit Canada and help improve consultations should these principles be applied to that context.

Further to Arnstein's Ladder of Participation, the IAP2 (2005) created the Spectrum of Public Participation. Applying these spectrum models of participation and using it to guide the GC through the consultation process would advantage the respondents, the GC and the outcomes of the policies that are created to ensure that all voices are heard. The five main activities in this model are informing, consulting, involving, collaborating and empowering (IAP2, 2005). The higher rungs of Arnstein's ladder (1969) align with the spectrum of Public Participation (IAP2, 2005) as the higher rungs relate to the right of the spectrum where more participation occurs and the lower rungs relate to the left side of the spectrum including less participation. By truly involving and consulting respondents in consultations enables better participation to occur. Following these guidelines would allow the GC to better align with a better participation model and therefore, help itself to climb to the next rung of the Ladder of Participation (IAP2, 2005; Arnstein, 1969).

As indicated in earlier chapters, a stronger model of participation can be achieved through deliberative conversation, public reason and communicative action to ensure an informed public, an honest public and the ability of participants to be rational in discussion (Bachtiger et al., 2010). The presence of these factors when planning for consultations ensures co-operative discussions, which offline platforms provide this opportunity, as well as in some cases through online participation as well. Offline discussions allow for two-way flow of communication so that discussions can be made between participants and facilitator (Bachtiger et al., 2010). Online discussions have this ability to a certain extent, but there is less of a chance that participants will be answered immediately when communicating with the government and therefore a meaningful two-way discussion, in real time, is difficult to achieve. As there are both advantages and disadvantages to both types of consultation, using both types will ultimately

increase opportunities for engagement across a broader population accounting for the benefits and flaws of each type.

Ensuring that respondents remain informed is critical to every step of consultations. Respondents need to know what is being discussed, when and where; they also must have enough information to be able to participate in a knowledgeable manner. As can be seen with the consultations for the drafting of the second NAP, many respondents asked specifically for more information to be shared with them and more opportunities for participation. The accumulation of results demonstrate that respondents need more information about the open government initiatives, how to reach governments so that their views will be included and also better representation of their requirements by their governments.

Further to the layout of the consultations and keeping participants informed, legitimacy is an important aspect that must be considered. As Parkinson (2003) stated, consultations may result in an illegitimate representation because people are left out and contributions are missed. This is evident in the analysis performed on respondents' submissions and the second NAP outcomes. When looking specifically at the output from the current analysis and the outcomes by which the policy at hand truly reflects what respondents were asking, only 47 percent of the coded contributions were represented, and it is unknown how true this was to the population. Although a relatively acceptable sample may have been used, as determined purely by the variation of platforms used for consultations, the sample itself was still not representational of all of Canada given that only 1, 202 comments were collected for analysis to inform the NAP. It can also be assumed that one respondent may have contributed more than one comment. Therefore, the output of this model is questionable and must be the focus for future improvement.

Opposite to the output model is the input model. This refers to the participatory actions that led to the policy; in this case, the consultations. Since the two most important factors to address for input are transparency and accountability, governments are expected to seek contributions and demonstrate in the feedback that they have done so. Addressing the current analysis, the input demonstrates a few key points: the GC performed consultations across Canada in various provinces, it used assorted platforms, and it presented the data online for public reference. This resulted in an overlap in the respondents' contributions and the deliverables in the second NAP. In regards to input, the GC did, however, lack in terms of equally spreading the consultations across all four phases of the activity. The first consultative phase, where initial discussions began about the direction for consultations, accounted for only 1.7 percent of respondents' submissions, while the final phase which invited comments on the draft NAP accounted for only 6.2 percent of respondents' feedback (see Appendix G). These two phases were important for participant input because the consultation phase affected the agenda-setting portion of the NAP, where more participants should have been engaged to set the direction. As well, the percentage of inclusion in the reflection on the draft NAP was low; more participant contribution in this phase could have resulted in a more people-focused product.

The GC put the most emphasis on the middle two phases of consultations, the idea dialogue (57.2 percent) and the activity discussions (34.9 percent); these are important but there should have been a wider spread of respondents participating in all four phases, rather than just the middle two. These two middle phases were the only ones that enabled offline as well as online consultations, denoting again to the fact that respondents' inclusion was deemed most important for these two phases and offline opportunities were omitted from the other two phases. As the last phase of the consultations were intended to allow for feedback on the NAP, more

effort and time should have been spent on this phase because it was intended to be reflective of the respondents' contributions. This phase should have provided more time for respondents to reflect on whether their contributions were reflected, and if they were not then they would have had the opportunity to express the importance of their contributions again.

On the surface, the respondents' input looks reflective from analyzing the dataset by theme. However, in terms of accountability, no GC document indicated that only 47 percent of contributions were included or addressed the ideas that were omitted from the second NAP. It is important to address all the ideas contributed by the respondents and the reasons that they were not included in order to increase trust among the public. It must be noted that a lot of time and resources go into coding respondents' data. It is also very subjective and can be complicated making it difficult to expect every comment to be addressed. This thesis examined the detail of the comments in regards to what was included and what was not included. Should the GC alter their methodologies for coding, it would be easier to see what type of comments were not included in the NAP and present this in their findings compilation online (Government of Canada, 2015).

By ensuring the involvement of respondents through various consultations, the potential for moving towards a more open government is being made more possible. As Hauptmann (2001) argued, the principles of participatory democracy is to be more inclusive and give more information to citizens to allow them to gain a better understanding of the democratic processes that occur. Although it may be an unrealistic goal, participatory practises supplement regular democratic practises through the open government initiative increasing the engagement and information sharing to be more transparent and accountable. Increasing transparency and accountability increases information sharing as a whole and in turn, results in a factor for

participatory practices and open government. As seen through the results in this thesis, many respondents actually do request information on many aspects of governance, including open government. This movement towards changing the way governments typically function is of interest to respondents. The first step taken by the government in actually asking respondents what they want to see changed in the future resulted in their response that more information was important to them. Although the aspect of sharing more information about open government was not included in the second NAP deliverables, it definitely should be considered going forward.

Trial and error are inherent to any change in governing practices (Maier, 2001; Patsias, Latendresse & Bherer, 2013), as reflected in the changing consultation processes during the drafting of the first and second NAPs. The GC improved from the drafting of the first NAP, when it used only online consultations and failed to provide advance notice for participation, to the varied consultation phases used during the drafting of the second NAP. This process involved advancement and upgrading of its consultation platforms as well as increased reflection of respondents' concerns. Lessons can be learned from this process to the effect that the GC must be more open to the comments shared by respondents in a more partnership-focused approach by combining both bottom-up and top-down methodologies. It is critical for more advance notice of consultations to be given, to increase awareness about the consultations and their overall goal as well as to ensure that more people are included in the ways that they wish to be.

Rowe and Frewer's (2005) three concepts for engaging with citizens, public communication, public consultation and public participation, are clearly important and adaptable to the current review as communication refers to the GC sharing information in general, consultations are inclusive of the public and the public is indeed participating. Although the GC attempted to cross Canada to invite participants from all regions to participate, the number of

participants in the consultations may not be representative of the entire population. In order to tackle the incomplete representation, better use of online methodologies improve the capacity to reach more of Canada; however, the digital divide remains a challenge, as noted by the respondents. With this in mind, a potential solution would be to ensure that offline consultations are conducted in areas where internet availability is an issue, and that there is better engagement with those areas through local media outlets such as radio news, television news and newspapers. As engaging different populations is critical to the aspect of acquiring representative input, the output can also be addressed via the approach of acknowledging that not all respondents' contributions can, or will be, reflected in final policy. Respondents' comments could be completely unrelated to the issue at hand or aimed in a direction that the government is not ready to follow. The framing around government policies makes it difficult for participants to understand why their comments may not be reflected, reiterating the importance of governments being transparent in sharing their reasoning with respondents about why their input was not included in final documents.

The output of this project demonstrated that 47 percent of respondents' contributions was reflected in policy. Although there are similarities between the raw data in respondents' contributions and the second NAP, the output demonstrated the need for further progress before appropriately demonstrating a legitimate attempt at involving respondents in the process of creating new policy documents. The concept of legitimacy, the idea that governments function effectively for, and by, their citizens, is important when analyzing the outcome of respondents' consultations (Schmidt, 2013; Ingram, 2001). Government create policy for the public and should ensure that affected populations have the opportunity to participate in this process.

Special populations, such as aboriginal people and those living around natural resources, have an important role to play in consultations affecting the areas in which they live.

The consultations conducted for the drafting of the second NAP had legitimate intent but would be found lacking in adequately representing the population in the final output. As many of the top ten respondents' contributions revolved around increased information from governments, transparency and data being easily accessible, the theme of inclusion comes into question. The coding for this research demonstrated that respondents said they want to be more involved and they want more information so that they can participate in government initiatives more. One of the aspects of this project was to analyze the tone of the comments (See Appendix E for full results) and it was found that the majority of comments proved to be constructive rather than relatively positive or relatively negative. This is an interesting result because it also shows to governments that respondents are trying to help, to be constructive and genuinely ask for assistance when it comes to planning the second NAP.

It appears that the GC's efforts in consulting for the NAP can be considered to be on the Consultation rung in the group of rungs on Tokenism (Arnstein, 1969). This group of rungs is situated along the middle of the ladder which demonstrates that reasonable participation is taking place. In order to move up the ladder, better output is required to ensure that more than 47 percent of respondents' contributions are reflected in policy and that more thorough information is shared with the respondents in a two-way communication flow. To ensure that respondents' comments are reflected in policy and to increase trust and transparency, it is recommended that the GC address the comments that are not included and allow for respondents to participate more closely in the agenda-setting process for the consultation phase of the next OGP discussions.

As the second NAP shows improvement over the first one, progress has been made in a relatively short period of time. It is recommended that the GC continue to expand on the opportunities for more participants to participate in the consultations as well as altering the methods of analyses on the data so that more participant representation can be reflected in the policy. A good start would be to formulate a goal by which to increase this percentage as well as to develop a new tool for analysis of results. Other realistic goals would be to increase the number of participants to start and to conceive an approach that would allow for more than one idea to be captured from each submission. Taking into consideration the above results, one can conclude that gradual improvement has been made towards a more open government model in the GC.

## **6 Chapter: Conclusion**

The intention of this thesis was to investigate the extent to which Canada's second NAP reflected the respondents' contributions that were given during the consultation process. It began by exploring the topic of open government and the main factors involved – namely, transparency, accountability and citizen engagement. In order to fulfill these open government requirements, the Open Government Partnership created global guidelines to help countries progress to an open model of governance. This thesis went on to explore the Open Government Partnership, where Canada signed a declaration to fulfill the OGP guidelines, specifically targeted towards methods of citizen engagement and citizen consultation. In order to remain a member of the OGP, these guidelines must be followed; they are consistently reported, measured and analyzed through different means.

This thesis further described the historical advancement of Canada as a member of the OGP from inception until the publication of the second NAP. As this research aimed to fill the knowledge gap on Canada's performance in consultations, a literature review was conducted to explicitly look at citizen engagement, consultations and policy outcomes from consultations. This review outlined the history behind Canada's initiatives thus far and noted the intentions of, and flaws with, the historical methodologies for consultations. Through the evolution of online tools used for consultation, the combination of both online and offline consultations demonstrates the progress that the GC has made to date. The OGP has enabled the GC to improve its use of online tools by providing guidelines to foster better engagement with citizens. It was noted that progress had been made in the years between the drafting of the first and second NAPs through better compliance to the OGP guidelines with regards to consulting with participants over a variety of platforms.

In order to more closely evaluate the progress that was made in the drafting of the second NAP, this thesis outlined a few theoretical models to supplement the analysis. These included participatory democracy, citizen participation through Arnstein's Ladder of Participation (1969), and notions of deliberation and legitimacy. Each theoretical perspective assisted in aligning the methodologies employed by the GC during the consultations for the second NAP. Specifically, this thesis used Arnstein's Ladder of Participation (1969) to identify the level of participation that was employed in the GC consultations. This model identified that these consultations fell along the "consultation rung" in Arnstein's ladder under "tokenism" (1969), and made it possible to outline how much participation and power were being shared with participants, as well as what needs to be done to ascend to subsequent rungs and facilitate a more participatory model for citizen and GC interaction. As participation is intended to be representational of those affected by government decisions (IAP2, 2014), it becomes that much more important for the GC to ensure that it maximizes participation across the country. The IAP2's (2014) core values for public participation are to be considered when arranging consultations to ensure that respondents' comments influence the final outcome.

## **6.1 Main Findings**

There were three main findings that emerged from this thesis: (1) The GC performed coding on the consultation data that was organized by the broad theme of each comment. When this was replicated for this thesis, results demonstrated an 87 percent overlap which present an incomplete picture of respondents' representation. (2) When taking this research one step further than analyzing than theme, the comparative analysis demonstrated that there was in fact only a 47 percent representation of what respondents wanted to see specifically – this was titled respondents' priorities. Further to this comparative analysis, there were 43 percent of deliverable

priorities that were aimed at factors irrelevant to what the respondents asked for. (3) These consultations were categorized from Arnstein's ladder of participation (1969) in the group of Tokenism and the specific rung titled Consultation. This provided the opportunity to identify the future steps that are required to ascend the ladder offer more participation.

From Arnstein's (1969) model and findings, it can be ascertained that the GC still has progress to make in terms of accounting for what respondents want to see changed in the NAP. The most important finding that was found during the consultation process was that respondents' voices were captured in an incomplete manner. The comparative analysis demonstrated that the broad themes of the respondents submissions were captured, but not the details found within each comment. This suggests the reflection that an alternative method of coding is required.

Even though the GC did reach out to the public for participation through various platforms, the final details of the second NAP actually appear to have been drawn from government agenda-setting rather than the respondents' stated requirements. In order to approach the next rung of Arnstein's ladder (1969), from the consultation rung to the placation rung for participation, two-way communication should be represented. The findings demonstrate that this communication can be better facilitated and achieved through offline consultations should they be coordinated appropriately. The intention of offline consultations is to allow for this conversation to occur – however, the raw data that was submitted to the GC webpage (2015) did not present the transcripts of the two way flow of communication that should have occurred in offline consultations making it difficult to reflect on this notion. Offline consultation also allows for the facilitators to probe participants for further information to ensure that their ideas are understood and that facilitators are able to reflect them accurately in the final policy. In order to

make use of multiple platforms in the future, options include offline consultations for two-way dialogue and online methodologies to reach out to those unable to attend physical consultations. Taking into consideration the digital divide that still exists in Canada, the GC needs to ensure that it reaches out to remote or unrepresented areas through alternative means such as local media and hosting offline consultations in accessible locations.

In order for consultations to be successful, governments must adapt to different citizen preferences when choosing the consultation platform. They must market offline consultations online, by mail and through local news outlets to inform those who wish to participate and encourage them to do so. Online consultations should be used for those who are unable to attend offline consultations, thus creating a broader scope of participation among the public. Finally, teleconferences can be used for those wishing to participate in the dialogue but who are unable to attend physical consultations or uncomfortable with internet technology. By keeping in mind citizen preferences and limitations, the amount of participation across the country can be increased. Making use of the resources available across provinces and cities will ensure that outreach becomes broad. Although participation was greater in the second NAP than the first, this still does not constitute a representative sample for Canada with only 1, 202 respondents' contributions, some of which were duplicates and some respondents may have contributed more than one comment each.

When compared to the flaws in the consultation process during the drafting of the first NAP, conducting consultations across multiple platforms for the second NAP indicates the first step towards success. Although this is only one aspect of the larger scope of consultations, it is a step in the right direction for the GC. Nevertheless, the main findings of this thesis, aimed at analyzing how much of the respondents contribution was actually reflected in the second NAP,

show that their contributions were reflected but only to a limited extent. Furthermore, the consultation content analysis pulled out the main themes, similar to the coding that was done by the GC, and the priorities that respondents wanted to see in the final policy. It also extracted what respondents wanted to see with regards to consultations conducted by the GC in general.

The second NAP content analysis isolated the number of deliverables associated to each commitment and the priorities within each deliverable. Through a comparative analysis of both, it was found that the overarching themes of each comment were reflected in the second NAP through the commitments at large, but the detail within each respondent comment was not found within the deliverables. As the deliverables outlined the way in which each commitment was to be achieved, this lack of consistency represents a gap in the methodology employed by the GC to write the second NAP. The approximate 47 percent overlap between respondents and NAP priorities demonstrate an additional disparity in the way that the GC analyzed the respondents' contributions – basically about half of what respondents suggested was taken into consideration. A further gap was found between what respondents wanted to see in GC consultations and what was actually included in the Consulting Canadians Commitment -- again, there was an approximate 47 percent overlap in the commitment deliverables and respondents' requests.

In addition to these disparities, in order to build better transparency and trust between respondents and the GC, supplementary documentation would be needed to attend to the reasons why certain comments or themes were not included in the policy document. Although not all contributions can logically be presented in policy, attending to the comments and explaining why they were not included would demonstrate to the participants that their comments were indeed, heard. Trust and transparency work along with legitimacy in governance and should be well respected in order for Canada to progress into the open government model. In order for

consultations to provide legitimacy, they must provide accurate input and output factors. This includes the methods employed to arrange and conduct consultations as well as the ways that the outcomes are handled -- referring to acknowledging respondents for their participation by representing their contributions.

## **6.2 Thesis Limitations**

As this study aimed to identify the gap that exists when consulting with Canadians, there were limitations within the methodological framework of this study. The biggest limitation to this thesis was that it performed a case study on the consultations for drafting only one policy. As case studies are quite specific, it is difficult to infer generalizability of Canadian consultations. As the literature review provided some examples of alternative methods of consulting citizens, results also vary across the different governments: municipal, provincial and federal. The smaller scale consultations can be assumed to be more specifically directed at a particular audience which may satisfy the requirements of ensuring the topics of discussion are directly relatable to those participating. When performing consultations across the country, the diversity is so large, it may become difficult to ensure you are engaging with the right audience and therefore result in an unrepresentative sample which may have been the case for these consultations.

A further limitation comes with the methodological approach of using content analysis. The use of content analysis was intended to grapple between the qualitative and quantitative approaches to balance subjectivity with objectivity. The qualitative methodology employed allowed for the subjective creation of codes and categories through open coding of the text. This means that another researcher performing a similar study could subjectively use different codes and categories to analyze the data. This is evident through the different methods employed in this research and the research performed by the GC and published on the Government of Canada

webpage (2015), since the latter's results differed from those of the current study. In order to compensate for subjectivity, the coding and categories were initially taken directly from the text but additional codes and categories were subjectively added through an inductive approach to analysis. The quantitative methodology employed the use of frequency and percentages by changing the codes and categories into numbers but still presents the same data in an alternative approach. This project's methodologies were intended to fall in the middle of the continuum between qualitative and quantitative approaches. Although subjectivity was employed, the coding manual lists the details involved in each section to assist any replication of this study. To compensate for this limitation, intercoder reliability tests would have been beneficial had there been time and resources for this and could be used for future studies. As the analysis of this case study was subjective, it cannot be generalized to all consultations performed in Canada. It takes a lot of time and resources to perform the coding for a study this large that it cannot be expected to be a routine procedure with the GC. This case study provides a basic outline of the way respondent representation was reflected in this specific case of consultations.

Another issue of note with this thesis was that two different types of documents were compared for analysis. When researching existing literature on content and document analyses, much of the research on this methodology compared two of the same types of documents. By using a transcript and a published policy document, the differing content made analyzing the data difficult. This means that a subjective choice was made in terms of analyzing the second NAP by the deliverables within the commitments. Although there may have been alternative ways of performing this analysis, this choice was made in order to grasp the most specific aspects of the second NAP to use as a comparison. Document analyses are better streamlined when comparing two of the same types of documents so that the same coding manual can apply to both. As this

was the goal when the thesis began, once the second NAP was analyzed, it became clear that the same coding manual would not have worked or benefitted the layout of the NAP. It was at this point that a new manual was determined to be the best option for moving forward with the analysis, acknowledging that this could present a problem. Keeping in mind the layout of the coding manual for the respondents' submissions, the NAP coding manual was formatted similarly when it came to coding for the key themes in the deliverables, the priorities and exploring consultations. This was done to attempt to align the manuals and, henceforth, the coding schedules for appropriate comparison.

This thesis also had time restraints due to being in fulfillment of a graduate degree, as well as page length restraints. As the appendices show, additional results were found but could not be fully analyzed due to the constraints of space and time. There was a lot of additional data that can be found in Appendix E that was unfit for the specificity of the research question. It would have been beneficial to analyze all of the results and have more time to fully compare them to the first NAP consultations to form a more complete picture of improvements. Nonetheless, there are interesting findings from this research that should be examined further.

### **6.3 Future Directions**

In order to further this research, there are numerous directions that can be taken to better provide a more detailed framework for consultations in Canada. The first future direction to ensure reliability of this thesis would be to test the replicability of this research and to employ inter rater reliability tests on the codes that were used. This would ensure the validity of human coding that was employed. Further research which was hinted at through the literature review of this thesis is the exploration of who participated in the consultations. As research proclaims the importance of ensuring your sample includes those who are affected, it would be interesting to

see who really participated in the Canadian consultations to see how representative it was of the respondents. Although consultations tend to be aimed at stakeholders and those who are knowledgeable about the topic, the citizens are also an important factor because they are the ones who are being affected by the decisions. As the results from this thesis demonstrate that those who were participating asked for more information about open government initiatives, this demonstrates a common interest among the respondents that they care about what the GC is doing. As consultations are performed to gather information from an alternative audience than the GC, it should be critical to ensure a wide scale audience is being included. Further to this, it would be helpful to explore the effects of the consultations to see if the GC is following through with their commitments and attending to those especially interested by the respondents.

Another key element to this research would be to compare the percentages of respondents' contribution reflected in the second NAP to that of the first, to clearly identify where progress had been made. By performing an identical research method on the first NAP, it would be possible to identify the flaws and the improvements between both NAP results to create a pattern and forecast the areas for improvement for the next round of consultations. As the OGP calls for the active NAP to be updated every two years with an ongoing consultation process, this research would track the progress of consultation efforts. Along with identifying progress, this effort would also identify the limitations of the consultations to help Canada move towards improved participatory practices.

A further direction to explore in terms of consultations within Canada would be to compare the initiatives accomplished on the municipal level with those at the federal level, as these consultations are meant to encompass all of Canada. As the respondents' contributions to the consultations for the second NAP called for a standardized method of consultations across

municipal, provincial and federal levels, it would be interesting to measure this in future studies to fully analyze how the open government initiatives, laid out in the NAP, are being fulfilled in Canada. Further, attending various consultations would also assist in understanding how the consultations are performed with first-hand experience to share.

Future research should also aim towards achieving a notion of threshold, as mentioned in the previous chapter. Determining the appropriate threshold for overlap may further assist in the tracking of progress from a theoretical perspective of appropriate respondent representation in policy. This could be performed through interviews with members of the GC to identify how much overlap between consultation suggestion and NAP commitments they are aiming for. As threshold can be associated with output and legitimacy, this is a subject worthy of further analysis.

As there was a recent change in the GC, from a conservative government to a liberal one, analyzing the future consultations would also provide the opportunity to identify a difference in priorities. This thesis provided the opportunity to identify a variety of future directions for similar research on this topic. As consultations are key to the OGP, it is important that they remain a priority for improving the relations between the GC and the respondents.

Overall, this thesis provided a foundation for analyzing future frameworks for open government consultations. By using a model of measuring participation, it is possible to establish how much power and participation were truly represented in the second NAP. Therefore, in the upcoming consultation rounds, it will be possible to measure whether Canada has indeed ascended the next rung in Arnstein's' ladder (1969) to truly adapt to a more participatory and open model of governance and ultimately reflect respondents' voices to demonstrate that they are being heard.

## Appendices

### Appendix A

#### Coding Manual: Respondents Submissions

##### 1. Respondent Comment

**2. Source:** This code and associated categories were generated directly from the government data posted on open.canada.ca.

1. Canada's Draft Action Plan on Open Government
2. Advisory Panel on Open Government
3. Individual comment
4. Online Sum
5. Idea Dialogue online
6. Idea Dialogue Group
7. Idea Dialogue ARMA
8. ID Dialogue GC Open Data
9. Twitter
10. LinkedIn
11. CSO Roundtable
12. Activity Discussion
13. Consultation Plan Discussion

**3. Platform for Interaction:** Generated directly from the Government of Canada (2015) dataset.

1. Online
2. Offline
3. Telephone
4. Not specified
5. In writing

**4. Phase:** This is taken directly from the government data sheet from open.canada.ca. This section identifies at what phase in the drafting of the action plan the comment came from.

1. Consultation Plan (April 24-Aug 8). This was only done online to share comments on how to improve the consultation plan. CP
2. Idea Dialogue (May 14-Aug 8). Online and offline. To share ideas of what should be included in the action plan. ID
3. Activity Discussion (Aug 8-Sept 19). Online and offline. Discuss the proposed activities and share ideas on improvements. AD
4. Activity Discussion on the draft action plan (Oct. 9-20). Only online and is to comment on the drafted action plan. AD1

**5. Theme of comment:** The main theme of each comment. Categories derived from GC dataset. Category 10 and 11 were subjectively added.

1. Foundation of open government
2. Citizen engagement and civic literacy
3. Digital tools for access to information
4. Data Quality and Availability
5. Governance and resources
6. Innovation and Data Literacy
7. Open and Agile Culture
8. Stewardship: an ethic that embodies the responsible planning and management of resources.
9. Transparency
10. Current working conditions
11. International relations

**6-7. Subthemes 2-3:** This code accounted for additional themes included in each comment. Originally derived from GC dataset. Additional categories were subjectively added when required.

1. Accountability
2. Beneficial Ownership Transparency
3. Business collaboration
4. Civic Literacy
5. Consultation Process
6. CSO Collaboration
7. Culture Change
8. Data Platform
9. Data Quality and Delivery Standards
10. Digital Divide
11. Digital Literacy
12. Direct Participation
13. Directive on Open Government
14. Engagement Platform
15. Extractive Transparency
16. Funding for Data Innovation
17. Funding for Departments
18. Improve Services
19. Libraries
20. Modernize data and IM regime
21. Multilateral collaboration: data standards
22. Multilateral collaboration: solutions
23. Open Information
24. Open source licensing

25. Procurement
26. Privacy
27. Performance Measurement

**8-12. Respondents' priorities:** This code was added to capture the details within each comment about what each contribution was looking for.

1. Increase funding spent on digital tools, continuous improvement, promote innovation; up-to-date information
2. Change current technological frameworks; new format, other mediums; update regularly; release raw data, prioritize data
3. Government culture; improved oversight and communication
4. Mandatory reporting
5. Reprioritize government funding; ensure departments have the funding for open gov initiatives
6. Detailed spending/activity reports in a common format
7. Open source licensing within the GC; policy on opening up data, quality
8. Open by default information; more than just business value; define
9. New data platform; connect interrelated data
10. Accountable with natural resources
11. Address the digital divide that exists in Canada
12. Ensure all data is structurally archived in one database for easy accessibility
13. Improve transparency of government information; improve trust; provide context to decisions
14. Integrate same policies, standardization across all levels of government and publish together, increase inner communications between all levels of government
15. Make data more easily available to use, workable formats, long term access to data and search through, complete data, indicate source
16. Track ATI/FOI requests, reform law, automate
17. Disclose materials that are present in consumer goods
18. Work with grass root and small business initiatives in consultations and create principles and standards to follow
19. Technological developments within governments to share information
20. Improve keyword search for government information
21. Work with non-government organizations and academics to share/ manipulate information/data on private and government affairs; case studies
22. Budget and spending accountability readily accessible to the public
23. Open access to information about extractive industries in Canada and abroad
24. Create report and publication requirements; standards
25. Demonstrate leadership in new initiatives
26. Pre-tagging exempt information in documents for ATI to increase the speed of releasing a document
27. Centralized records database for government information
28. Make governments more accountable

29. Work with existing standards for best practices and adapt them
30. Improve working conditions for extractive industries
31. Engagement: Provide citizens with enough information to make informed decisions to participate
32. Improve relations across governments and communities; two way communication
33. create environmentally friendly solutions
34. improve and support international relations through policy, trade and transparency
35. adopt the open contract data standard
36. develop multilateral standards for consultations with the public, various platforms for consultation to prioritize citizen value and reach a large population
37. provide training to officials and consumers on law regulations and identifying current problems
38. more information, details, person of contact, timelines should be published with open government initiatives,
39. Evaluate the progress of open government initiatives; enforce OG initiatives
40. Use existing data to create the narrative for consultations
41. Recruit technologically competent candidates
42. Data and privacy preservation strategies
43. Online crowdsourcing/ voting/ petitions / commenting on content/ portal for solutions
44. Release raw data/partial data/ metadata
45. More than just government data on open.gc.ca
46. Provide funding for organizations that want to analyze government data
47. Own your data
48. Make voting mandatory/ lower voting age
49. Whistleblower law reform
50. Add open government features to high school/university classes
51. Data quality policy
52. Data visualization and reusability
53. Open science
54. Procurement Reform
55. Governing information should be the role of numerous parties
56. Open policies and practices
57. Remove barriers for access
58. Incentives for participation

<p><b>13. Changing consultations:</b> Subjective code added to address the NAP commitment of Consulting with Canadians.</p>
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1. increase opportunities for engagement; provide information to make decisions
2. include special populations of interest to ensure that affected voices are heard
3. include regular consultations for feedback on process of new developments and evaluate past ones
4. create standards and guidelines to follow
5. better recruitment strategies; inclusive

6. prioritize citizen contributions
7. engage with partners and other departments, not citizens; share data
8. consult online using social media, upvoting
9. platform specifically for citizens to participate in government initiatives, once participate, include regular emails to keep citizens informed
10. increase communication between public servants and citizens
11. each session should have a CSO representative to champion commitments
12. gamification/ competitions with consultations, hackathons
13. invite students to participate in solving open government problems
14. consulting prior to the release of all policies
15. release all dialogue from consultations; success stories

**14. Tone of Language:** This code was created to address whether a comment was positive or negative.

1. Positive
2. Negative
3. Neutral/Constructive

## Appendix B

### Sample of Coding Schedule: Respondents' Submissions

Respondent Submission	Source	Platform	Phase	Theme	Theme2	Theme3	Priorities	Priorities2	Priorities3	Priorities4	Priorities5	Consultations	Tone Of Language
Libraries need open data to compete with Google	6	2	2	4	19	23	2	7	27				3
Provide a budget to civil servants to go out and chat with the public – enable civil servants to engage with the public – shift into the role of listening	12	5	3	2	4	12	5					10	3
This is not only a good idea it is necessary and it is just plain common sense that citizens in democracies have access to information concerning the actions, policies and spending of the governments they elect.	12	1	3	8	23	1	3	6	8	13	56		1
The Canadian Open Data Exchange (CODEX) will be one good way to bring together diverse groups of Open Data experts, particularly if CODEX focuses on key thematic areas	2	3	2	6	3	22	3	18	21	38	41		1
I support Canada in increasing the transparency of Canadian oil/gas/mining companies operating abroad. Providing transparency of payments will help develop political and bureaucratic accountability in the host country that can effectively manage resource revenues on behalf of their rightful owners - the citizens in the host countries. Canada is a country with a disproportionate amount of global capital for extractive industries, and we should be thoughtful and thorough in regulating payment disclosure of companies that list on our stock exchanges. This is particularly true for oil/gas/mining sector because of the associated "resource curse" that traps developed countries in a cycle of poverty, corruption and repression. Canada's leadership can set an example for other developed countries to take similar action.	12	1	3	11	1	15	4	6	10	24	32		1

<p>This is a tremendous opportunity for Canada to take a step forward and show that it's ready to become an international leader in transparency with regards to the economic and humanitarian effects of mineral extraction both abroad and at home. Within a two year span, This project should aim to collect enough informative data regarding: licence fees, rental and entry fees, royalties, and other costs incurred by Canadian Mining companies so that Canadian citizens, investors, and legislators can make pragmatic informed decisions around ethical mining practices and ultimately hold these companies accountable for their actions. Data collected should be presented in a clear and concise format and be distributed using a medium that is easily accessible to ALL Canadian citizens. This will require the drafting and implementation of reporting standards as well as the creation of a simple distribution platform. Creating the tools necessary to report on spending within the mining sector is only the first step among many to ensure success. In order for a project like this to be successful further action must be taken to ensure that companies that are reporting spending information do so in an honest and transparent manner. Education and promotion of this undertaking and its goals within the executive branch of mining companies will be imperative to ensure that they are not only comfortable with but support of the ideas presented in this initiative. This project should be actively promoted among circles of engaged Canadian citizens. Hopefully by engaging such groups and organizations the ideas presented can be further disseminated to the Canadian public without creating an unnecessary burden on people directly involved in this project. It may be useful to involve members or the governments of countries in which Canadian mining companies are active as well as MLAs and Council members of jurisdictions in which mining companies operate. The inclusion of mining, and oil and gas SMEs would also be useful in ensure that all information collected is legitimate and beneficial to Canadian citizens attempting to create informed opinions. The inclusion of industry and civil leaders would also help promote the creation of a fair and effective standard.</p>	12	1	3	9	15	23	25	34	10	56	28		1
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I whole heartedly support comprehensive mandatory reporting standards for extractive companies. Having been involved in international sustainable development for over 40 yrs I have experienced first hand the positive influence such information can have on all the stakeholders in such circumstances. Accountability is a key to establishing a system which will be sustainable and just to all concerned.	12	1	3	9	15	23	4	6	10	24	28		1
I support this idea of mandatory reporting in Canada's next OGP action plan. Given Canada's vast natural resources, it should be a leader in making mining, oil and gas more accountable.	12	1	3	9	1	15	4	25	10	23	28		1
Partnership Africa Canada fully supports the proposed mandatory disclosure measures. However, as one commentator wrote, "Transparency is the key to accountability". This is to say that the payments disclosure has to be easily accessible and easily understood. This is where the Government has an obligation to provide clear parameters for companies regarding the content and presentation of reports. Canada has an opportunity to set the standard for other jurisdictions.	12	1	3	9	1	15	4	6	13	22	28		1
I strongly support mandatory reporting in the extractives industry. Please include this in the next OGP action plan and show that Canada is a leader in creating transparency and accountability to the public and the environment.	12	1	3	9	1	15	4	25	10	13	28		1
My son, an engineer in the mining sector, before his tragic death at age 26 a few years back, was a strong advocate of his industry being responsible to a larger world and future generations, not just to "itself". Riches are in many forms, (not just in money in a few pockets today). His world was bigger than profits - it included profits, but it also included equal weight to all other aspects of life. He believed in industries leading their own change and changing from the inside out. "Do it yourself; don't wait for people to circle your company with placards before you think about what you're doing." I'm proud that young workers think this way. And I support them. Improved accountability, including mandatory reporting for the Canadian Mining, Oil and Gas Companies, is a natural fit, one he would be sitting here writing about, if he were still alive. Mandatory reporting will be a assistance for companies	12	1	3	9	1	15	4	24	13	10	28		1

<p>in the mining, oil and gas sectors, who are forward thinking and who are interested in our world having a future. It will help clarify what is relevant to report on a regular basis. And forward thinking companies will embrace this reporting and will have constructive input for the essence of mandatory reporting. Those companies in the mining, oil and gas sectors who are not on the "forward looking wave", mandatory reporting is even more vital - it will help them become more transparent in the way they deal with the impact on the future of the decisions they make today. Win-win. MY CANADA has no fear about mandatory reporting. My Canada is PROUD to be a leader in mandatory reporting in such vital industries as mining, oil and gas.</p>													
<p>I support this idea - please include mandatory reporting in Canada's next OGP action plan. Transparency of resource revenue payments is crucial for informing decisions made by all stakeholders: investors who need a fuller picture of companies' non-technical risk management; citizens who seek to hold their governments accountable for revenue related to publicly-owned resources; and Canadians who wish to maximize our positive impact on the world. While Canada contributes \$5 billion per year in foreign aid, our private sector contributes over \$140 billion in foreign direct investment to African and Latin American countries alone. A significant portion of that spending takes the form of license fees, taxes, and royalties to governments. Greater transparency on these payments at a minimum will help all stakeholders make more informed decisions, and can enhance our government's international development efforts through better coordination. Within a two-year span, I would like to see a mandatory reporting framework enforced and the development of an easily accessible and understood public database for compiling this data. Where applicable, public disclosure of data should be coordinated with the International Aid Transparency Initiative, to help provide a fuller picture of Canada's footprint on international development and allow for better coordination of all our financial flows to developing countries.</p>	12	1	3	9	1	15	4	6	9	22	24		1
<p>I support mandatory reporting for extractives because it provides a crucial lever of accountability for citizens in developing countries</p>	12	1	3	9	1	15	4	10	13	21	24		1

to keep their governments accountable. Extractive companies pay a hefty dollar for access to resources and have a vested interest in stable, progressive and inclusive development of the communities in which they work; however the onus is on governments regulating these companies to over-ride this problem of collective action and require mandatory reporting so that all companies are on a level playing field. As a proponent for transparency, accountability, and increasing the standards of living for people in developing countries, Canada should move determinedly to implement mandatory reporting requirements for extractive industries. Industries, civil society organizations and implementing bodies of government (eg securities regulators) should be involved in the process.													
I support mandatory reporting by Canadian extractive companies to the jurisdiction in which they are operating and all extractive companies operating in Canada. This information should be reported in such a way as to make it readily accessible to those who are interested.	12	1	3	9	14	1	4	13	10	15	23		1
I support comprehensive mandatory reporting on payments made to host governments by Canadian extractive companies operating overseas and payments made to all levels of government in Canada by all extractive companies operating in Canada. These payments should be reported on project by project. They should be readily accessible in a centralized database, and the data should be in a format that can be easily copied and exported out of the database.	12	1	3	9	15	1	4	6	9	10	15		1
I strongly support the Implementation for mandatory payment reporting standards for Canada's mining, oil and gas companies, and this is a tremendous opportunity for Canadian leadership in this sector. In a two year span, this legislation must be in force and show reports on one fiscal year's worth of information regarding payments Canadian companies have made to governments. They must be disaggregated by project, and made easily publicly available and accessible. *Importantly - remember that transparency does not in and of itself ensure accessibility. A key precondition to transparent information being accessible and useful is that it be housed in a central, searchable and stable archive, in a centralized,	12	1	3	9	1	15	25	28	12	4	15		1

open and machine-readable format. The government must involve both industry and civil society throughout implementation, and insure the reporting process is efficient and effective, with resulting information useful and accessible to all citizens, governments, investors and civil society. I support this plan to action and our Canadian Government must include mandatory reporting in Canada's next OGP action. plan.													
I support this idea of mandatory reporting in Canada's next OGP action plan. Given Canada's vast natural resources, it should be a leader in making mining, oil and gas more accountable.	12	1	3	9	1	15	4	25	28	10	13		1
I support this idea - please include mandatory reporting in Canada's next OGP action plan! Canada needs to show leadership in making mining, oil and gas more accountable, here and everywhere Canadian companies operate.	12	1	3	9	1	15	4	25	28	10	13		1
I support mandatory transparency in the extractive industries. The need for accountability at home and in the countries these corporations operate in was the subject of round table discussions several years ago. Voluntary recommendations are not enough. We need a truly independent ombudsman with power to enforce transparency and accountability from the mining companies, especially in countries with little or unenforced regulation to protect the local people, their livelihood and the environment. Canada should lead the way with high standards.	12	1	3	9	1	15	4	13	25	28	10		1

## Appendix C

### Coding Manual: Second National Action Plan

#### 1. Deliverable

##### 2. Commitment from the NAP: Derived from NAP

1. Open Data Canada
2. Canadian Open Data Exchange (ODX)
3. Open Data for Development
4. Open Data Core Commitment
5. Consulting Canadians
6. Open Science
7. Mandatory Reporting on Extractives
8. Open Contracting
9. Open Information on Budgets and Expenditures
10. Digital Literacy
11. Open Information Core Commitment
12. Directive on Open Government

##### 3. Key Streams: as indicated in Canada's Action Plan on Open Government 2014-2016.

1. Open Data
2. Open Dialogue
3. Open Information
4. Foundation of Open Government

##### 4. Sub Theme: as indicated in Canada's Action Plan on Open Government 2014-2016.

1. Availability of Information
2. New Technologies
3. Citizen Participation
4. Professional Integrity

##### 5-8. Grand Challenges 1-4

*"The OGP requires that member countries consult with citizens and civil society organizations on the development of a national Action Plan with commitments to be implemented over a two-year period aimed at addressing one or more of the grand challenges" (Canada's Action Plan on Open Government 2014-16).*

1. Improving Public Services
2. Increasing Public Integrity
3. Effectively Managing Public Resources
4. Creating Safer Communities
5. Increasing Corporate Accountability

**9-12. Priorities 1-5: Subjective code created to address the priorities within each deliverable**

1. Open eligible data and information by default
2. Respecting restrictions on data related to privacy, security and confidentiality
3. Broader accountability and transparency
4. Maximizing the release of information: Departments and agencies required to develop inventories of their data and information and publish
5. Prioritize publication of data based on public demand
6. Publish data in accessible formats and ensure reusability
7. Establish tools and guidance for releasing government information
8. Common principles/tools/standards across the Government of Canada
9. Identify existing international open data standard that can be adopted within Canada and with other nations
10. Federated search tool across all levels of government
11. Run public events for citizens to participate in the reusability of government data: nationally and/or internationally, promotion of
12. Develop an online community/portal for those engaged in open data that offers training and information: governments, civil society organizations and private industry.
13. Consult with companies on the development of their projects: lessons learned, what worked
14. Build partnerships in other countries on the open data initiative: support developing countries to plan and execute open data initiatives
15. Evaluate the relationship between open data initiative development to inform the quality and future of open data in Canada
16. One Open Government Licence across federal departments and agencies
17. Launch new government wide open government portal that is interactive, has a directory, reusability of federal data, enhanced data discovery
18. Consolidate geospatial data across the Government of Canada
19. Broaden adoption of the International Aid Transparency Initiative (IATI) standard
20. Improve the existing Consulting with Canadians Website for easier access to information on consultation activities
21. Use Social Media across government to connect with citizens in new ways
22. Develop principles and standards of the process for consulting with Canadians that involve citizens and civil society
23. Target all populations in consultations. Especially targeted populations
24. Develop a government wide Open Science Implementation Plan that includes consultation, launch of open access, policies and guidelines and the promotion of open science standards in Canada
25. Publish and maintain an online list of peer-reviewed articles by Government of Canada scientists
26. Mandatory reporting of extractive companies to report annually to all levels of government with stakeholder engagement

27. Publish data on payments made from extractive companies to governments
28. Release all contracts over \$10 000 to the public and increase the level of detail
29. Sponsor projects to establish the relationship between digital skills and the labour market and social outcomes
30. Fund the private sector and civil society for open government initiatives
31. Modernize the Access to Information and Privacy services; expand online ATI requests to all federal departments, searchable database of all completed ATI requests, publicize statistics, develop standardized solutions across government and enable tracking of your request, establish training within governments
32. GCDOCS
33. Removing barriers for access to government information help by Library and Archives Canada
34. Information on regulatory activities from federal departments and agencies
35. User centric platform that has fast access to frequently used services and information

## Appendix D

### Coding Schedule: Second NAP

Deliverable	Commitment	Key Theme	Subtheme	Grand Challenge	Grand Challenge2	Grand Challenge3	Grand Challenge4	Priority	Priority2	Priority3	Priority4	Priority5
Issue a new Directive on Open Government to require federal departments and agencies to maximize the release of eligible government data and information of business value subject to applicable restrictions related to privacy, confidentiality, and security	12	4	1	3				1	2			
Require federal departments and agencies to publish open government implementation plans that describe planned activities to meet the requirements of the directive, including the following: -Establishing and maintaining inventories of data and information holdings; -Prioritizing the publication of data and information based on public demand; -Publishing data and information in accessible and open formats on federal open government websites under an open and unrestrictive licence; and -Reporting annually on progress made.	12	4	1	1	2	3		1	3	4	5	6
Establish tools and guidance for the publication of departmental data inventories, subject to privacy, security and confidentiality requirements.	12	4	1	1	3			2	4	7		

Establish common open data principles for adoption by governments across Canada	1	1	4	1				8				
Facilitate the adoption of a common or compatible open government licence by all Canadian governments to enable the release and reuse of open data and information	1	1	1	1				8	7	6		
Establish or identify common open data standards (e.g., metadata, data formats) that align with existing international standards for adoption by governments across Canada	1	1	1	1				9	8			
Develop a federated open data search service with provinces and municipalities to provide users with a “no wrong door” approach to accessing open data, so that data can be easily found and downloaded regardless of which government open data portal is used	1	1	2	1				8	10			
Expand and deliver a national appathon event, the Canadian Open Data Experience (CODE), to promote access to, and reuse of, multi-jurisdictional data to develop new and innovative tools and services for Canadian	1	1	2	1				11	8			
Establish an open data institute in Canada (the Canadian Open Data Exchange, or ODX), as a national marketplace that includes an online community for those engaged in the commercialization of open data. ODX will undertake the following in collaboration with governments, civil society organizations, and private industry: -Developing new tools and applications that access and manipulate government data; -Establishing a framework for open data standards, including the articulation of industry standards for presenting, and providing access to open data for key sectors; -Consulting with industry champions on the development of demonstration projects for the commercialization of open data in priority sectors; -Launching a national outreach program, including events,	2	1	2	1	3			12	6	8	13	11

workshops, hackathons, and student contest opportunities nationwide; and -Incubating new data-driven companies.												
Build the capacity of the open data initiatives in Latin America, the Caribbean, Africa and Asia, and establish important partnerships with the open data movement in Canada: -Support developing countries to plan and execute national open data initiatives; -Develop international data standards and solution-driven networks that can help to bring about social and economic innovation; and -Measure and evaluate the relationship between open data initiatives and socioeconomic development, informing the quality and reach of future open data initiatives.	3	1	2	2	3			14	9	15		
Host an International Open Data Conference in 2015 to bring together experts from around the world to share knowledge and experience to strengthen international collaboration on open government issues.	3	1	3	1	2	3		11				
Continue to prioritize and expand the release of open data from federal departments and agencies under a single Open Government Licence.	4	1	1	1				5	16			
Complete public consultations with Canadians and civil society organizations in support of the prioritization of open data releases	4	1	3	1	2			5				
Launch a new government-wide open government portal (open.canada.ca) with expanded open data services: -Interactive, thematic open data communities (e.g., health and safety) and enhanced consultation functionality and online forums; -Directory of open data services across Canada; -Expanded developers' tools to support reuse of federal data; -Enhanced data discovery; and -Standardized release procedures, formats, and metadata.	4	1	2	1	3			17	8	10	6	

Expand and deliver the Canadian Open Data Experience (CODE) as the premier national open data competition to drive creative and ambitious innovation in Canada: -Increase promotion of CODE activities and events; -Expand the use of regional hubs to increase participation in all areas of Canada; and -Create sub-themes to focus application development on everyday challenges facing Canadians.	4	1	3	1	3			11				
Consolidate the management of federal geospatial data across the Government of Canada to make this information more accessible and reusable via federal open government websites	4	1	1	1	3			18	6			
Broaden adoption of the International Aid Transparency Initiative (IATI) standard in the Government of Canada, and encourage other Canadian actors to publish their own data, in particular, civil society organizations.	4	1	1	3				19	4	14		
Improve the existing Consulting With Canadians website to facilitate easier access to information on federal consultation activities for citizens.	5	2	3	1				20				
Develop and launch a new government-wide consultation portal to promote opportunities for public participation, host online consultations, and share findings from completed consultations.	5	2	3	1				12				
Expand the use of social media across government to enable departments and programs to connect to Canadians in innovative ways and enhance engagement in support of citizen centric services	5	2	3	1				21				
Develop a set of principles and standards for public consultations in discussion with citizens	5	2	3	1				22				

and civil society (e.g., advance notice and promotion of consultations, best practices for in person and online engagement, effective use of social media, reporting on results), including setting out minimum benchmarks for consultations.												
Conduct targeted consultations on open government themes with key groups in Canada (e.g. youth, Aboriginal populations).	5	2	3	1				23				
Develop and publish a government-wide Open Science Implementation Plan with specific activities and milestones, including the following: -Public consultations on the implementation of open science; -Launch of open access to publications and data resulting from federally funded scientific activities; -Development and adoption of policies, guidelines and tools to support effective stewardship of scientific data; and -Promotion of the adoption of open science standards in Canada.	6	3	2	1	3			24	7	8		
Establish an online service to enable a one-stop search for publications and data resulting from federal scientific activities.	6	3	1	3				17	24			
Develop inventories of federal scientific data and initiate the public release of data.	6	3	1	3				4	1	5	6	
Publish and maintain a consolidated online list of peer-reviewed articles by Government of Canada scientists dating back to 2012.	6	3	1	3				25				
Introduce new legislation that will require extractive entities to implement mandatory reporting standards and report annually on payments to all levels of government, domestically and internationally.	7	3	4	2	3	5		26				
Ensure stakeholder engagement on the establishment and implementation of these mandatory reporting standards.	7	3	4	2	3	5		26				
Require extractive entities to publish data on the payments they make to governments in Canada and around the world.	7	3	4	1	2	3	5	26	27			
Release data on all contracts over \$10,000 via a centralized, machine-readable database available to the public.	8	3	1	1	2	5	3	1	4	6	28	

Increase the level of detail disclosed on government contracts over \$10,000.	8	3	4	1	2	5		28				
Provide guidance to federal departments and agencies to increase consistency in open contracting.	8	3	1	1	2			4	7			
Pilot the Open Contracting Data Standard – 0.3.3 on the BuyandSell.gc.ca website for federal contracts awarded by Public Works and Government Services Canada.	8	3	2	1				13				
Launch a new interactive online service that enables Canadians to review and visualize federal spending broken down by department, and to compare expenditures across departments. Consultations with Canadians will be completed to test and ensure the effectiveness of this new online service.	9	3	2	1	2	3		17	15	22		
Provide single-window, searchable access to information that is proactively disclosed by departments and agencies (e.g., travel and hospitality, contracts, grants and contributions). Standardize procedures for publishing mandatory proactive disclosure information by federal departments and agencies	9	3	1	1	2			1	8	10	17	26
Make all data from charts and tables in Budget 2015 available in machine-readable formats to facilitate analysis by citizens and parliamentarians.	9	3	1	1	2	3		1	6	8		
Sponsor projects to increase understanding of the relationship between digital skills and relevant labour market and social outcomes, including building a profile of Canadians' digital skills competencies by region and by demographic group	10	3	4	1	2	3		29				
Develop online tools, training materials, and other resources to enable individual Canadians to assess and improve their digital skills.	10	3	2	1	3			12				
Fund private sector and civil society initiatives aimed at improving the digital skills of Canadians (e.g., digital skills in rural small business, essential skills for Northern youth, business technology management accreditation).	10	3	4	3	2			30	12			
Modernize the administration of Access to Information and Privacy (ATIP) services across	11	3	1	1	2			31	8			

<p>the federal government, including the following:</p> <ul style="list-style-type: none"> <li>-Expansion of online ATI request-and-pay services to additional federal departments and agencies across government;</li> <li>-Access to a searchable database of all completed ATI requests, and the ability to request the released documents;</li> <li>-Publication of statistical information on extensions and consultations related to access requests;</li> <li>-Development of standardized, whole-of-government services and solutions to expedite ATIP requests and enable Canadians to track the status of their ATIP requests; and</li> <li>-Establishment of an expanded whole-of-government training strategy to help government officials understand and manage their responsibilities under ATIP legislation</li> </ul>												
<p>Develop and launch a virtual library on the new government-wide open government portal (<a href="http://open.canada.ca">open.canada.ca</a>). This new service will provide access to federal publications through an online, searchable repository of published federal documents of all kinds.</p> <ul style="list-style-type: none"> <li>-Complete public consultations with citizens and civil society to support development of the virtual library service.</li> <li>-Establish a government-wide system and web architecture for the release of government information assets.</li> <li>-Standardize release procedures, formats, and metadata.</li> </ul>	11	3	2	1	2	3		10	17	8		
<p>Improve the management and accessibility of government records, and facilitate faster responses to requests for information through the roll-out of GCDOCS, a government-wide records management solution for the federal government</p>	11	3	1	1	2	3		17	32			

Increase Canadians' access to federal records by removing access restrictions on archived federal documents held by Library and Archives Canada.	11	3	1	1				33				
Develop and pilot a single online discovery and access platform for federal science library services and collections.	11	3	2	3				24	17			
Provide consolidated, searchable access to regulatory information from federal departments and agencies involved in regulatory activities	11	3	1	1	2	3		17	34			
Improve access to all online Government of Canada information through the new whole-of government Canada.ca website: Intuitive user-centric design based on government-wide web standards; Whole-of-government search functionality; and Faster access to frequently used services and information	11	3	1	1	2	3		17	10	8	35	

## Appendix E

### Content Analysis Results: Respondents' Submissions

#### Code 2: Source

	Frequency	Percent
Canada's Draft Action Plan on Open Government	62	5.2
Advisory Panel on Open Government	34	2.8
Individual Comment	336	28.0
Online Submission	1	.1
Idea Dialogue Online	75	6.2
Idea Dialogue Group	278	23.1
Idea Dialogue ARMA	38	3.2
ID Dialogue GoC Open Data	9	.7
Twitter	12	1.0
LinkedIn	2	.2
CSO Roundtable	26	2.2
Activity Discussion	308	25.6
Consultation Plan Discussion	21	1.7
<b>Total</b>	<b>1202</b>	<b>100</b>

#### Code 3: Platform

	Frequency	Percent
Online	372	30.9
Offline	450	37.4
Telephone Conference	38	3.2
In Writing	342	28.5
<b>Total</b>	<b>1202</b>	<b>100</b>

#### Code 4: Phase

	Frequency	Percent
Consultation Plan	21	1.7
Idea Dialogue	688	57.2
Activity Discussion	419	34.9
Activity Discussion on the Draft Action Plan	74	6.2
<b>Total</b>	<b>1202</b>	<b>100</b>

### Code 5: Theme

	Frequency	Percent
Foundation of Open Government	11	.9
Citizen Engagement and Civic Literacy	238	19.8
Digital Tools for Access to Information	31	2.6
Data Quality and Availability	160	13.3
Governance and Resources	205	17.1
Innovation and Data Literacy	113	9.4
Open and Agile Culture	113	9.4
Stewardship	86	7.2
Transparency	241	20.0
International Relations	4	.3
No theme associated	1	0.1
<b>Total</b>	<b>1202</b>	<b>100</b>

### Code 6 and 7: Merged subthemes

	Frequency	Percent
Open Information	411	20.3
Consultation Process	158	7.8
Extractive Transparency	156	7.7
Accountability	154	7.6
Data Quality and Delivery Standards	149	7.4
Multilateral Collaboration: Solutions	125	6.2
Digital Literacy	84	4.2
Culture Change	80	4.0
Improve Services	79	3.9
Civic Literacy	71	3.5
Modernize Data and IM Regime	70	3.5
Multilateral Collaboration: Data Standards	69	3.4
Engagement Platform	69	3.4

Data Platform	54	2.7
Direct Participation	52	2.6
Business Collaboration	32	1.6
CSO Collaboration	29	1.4
Funding for Data Innovation	29	1.4
Funding for Departments	29	1.4
Libraries	25	1.2
Performance Measurement	22	1.1
Digital Divide	19	.9
Beneficial Ownership	16	.8
Open Source Licensing	17	.8
Procurement	13	.6
Directive on Open Government	9	.4
Privacy	3	.1
<b>Total</b>	<b>2024</b>	<b>100</b>

## Code 8-12: Respondents' Priorities

### Top ten respondents' priorities

	Frequency	Percent
More information, details on open government initiatives	275	7.9
Improved transparency of government information; improved trust; provision of context for decisions	241	7.0
Government culture: improved oversight and communication	207	6.0
More easily available data, workable formats, long term access	172	5.0
Standardization across all levels of government and joint publishing, increased internal communications	170	4.9
Collaboration with nongovernmental organizations and academics to manipulate information	163	4.7
Changed current technological framework, prioritized data	157	4.5
Improved relations across governments and communities; two-way communication	134	3.9

Engagement: Provide citizens with enough information to make informed decisions	115	3.3
Accountable on Natural Resources	109	3.1
<b>Total of top 10 contributions</b>	<b>1743</b>	<b>50.3</b>
<b>Total sample</b>	<b>3465</b>	<b>100</b>

### Complete table of respondents' priorities

	Frequency	Percent
Increase funds on digital tools, continuously improve tools with up to date information	20	.6
Change current technological framework, prioritize data	157	4.5
Government Culture: improved oversight and communication	207	6.0
Mandatory Reporting	98	2.8
Reprioritize government funding: ensure departments have the funding for open gov initiatives	64	1.8
Detailed spending/activity reports in a common format	44	1.3
Open Source Licensing	47	1.4
Open by Default information, more than business value and define	67	1.9
New Data Platform; connect interrelated data	87	2.5
Accountable with Natural Resources	109	3.1
Address the digital divide that exists in Canada	26	.8
Ensure all data is structurally archived in one database for easy accessibility	98	2.8
Improve Transparency of government information; improve trust; provide context for decisions	241	7.0
Standardization across all levels of government and publish together, increase inner communications	170	4.9
Make data more easily available, workable formats, long term access	172	5.0
Track ATI/FOI requests, reform law, automate process	47	1.4
Disclose materials that are present in consumer goods	6	.2

Work with grassroots and sm. Business initiatives in consultations and create standards to follow	61	1.8
Technological developments within governments to share information	65	1.9
Improve keyword search for government information	20	.6
Work with nongov org and academics to manipulate info	163	4.7
Budget and spending accountability readily accessible to the public	38	1.1
Open access to information about extractive industries in Canada and abroad	25	.7
Create report and publication requirements; standards	46	1.3
Demonstrate leadership in new initiatives	68	2.0
Pre-tagging exempt information in docs for ATI to increase speed of release	14	.4
Centralized database for gov information	19	.5
Make governments more accountable	97	2.8
Work with existing standards for best practices and adapt them	73	2.1
Improve working conditions for extractive industries	9	.3
Engagement: Provide citizens with enough information to make informed decisions to participate	115	3.3
Improve relations across governments and communities; two way communication	134	3.9
Create environmentally friendly solutions	2	.1
Improve training to officials and consumers on law regulations and identifying current problems	16	.5
Adopt the open contract data standard	17	.5
Develop multilateral standards for consultation, various platforms for consultation to prioritize citizen value	101	2.9
Provide training to officials and consumers on law regulations and identifying current problems	39	1.1
More information, details on open gov initiatives	275	7.9

Evaluate the progress of open government initiatives; enforce OG initiatives	96	2.8
Use existing data to create the narrative for consultations	7	.2
Recruit technologically competent candidates	10	.3
Data and privacy preservation strategies	35	1.0
Online crowdsourcing/voting/epetitions/comments on content/ portal for solutions	45	1.3
Release raw data/ partial data/ metadata	29	.8
More than just government data on open.gc.ca	11	.3
Provide funding for organizations that want to analyze government data	29	.8
Own your data	3	.1
Make voting mandatory/ lower voting age	3	.1
Whistleblower law reform	1	.0
Add open government features to high school/ university classes	7	.2
Data quality policy	10	.3
Data visualization and reusability	6	.2
Open science	12	.3
Procurement Reform	15	.4
Governing Information should be the role of numerous Parties	13	.4
Open Policies and Practices	36	1.0
Remove Barriers for Access	27	.8
Incentives for Participation	13	.4
<b>Total</b>	<b>3465</b>	<b>100</b>

### Code 13: Consultations

Top ten respondents' contributions about consultations

	Frequency	Percent
Increase opportunities for engagement; provide enough information for citizens to make decisions	67	32.7
Include special interest populations to ensure that affected voices are heard	18	8.8
Increase communication between public servants and citizens	17	8.3

Create standards and guidelines	16	7.8
Consult online using social media, up-voting	15	7.3
Platform specifically for citizens to participate in governmental initiatives, include regular emails	15	7.3
Gamification/competitions with consultations, hackathons	13	6.3
Prioritize citizen contributions	11	5.4
Release all dialogue from consultations; success stories	7	3.4
Include regular consultations for feedback on process of new developments and evaluate past ones	7	3.4
<b>Total of Top 10 Ideas</b>	<b>186</b>	<b>90.7</b>
<b>Total sample</b>	<b>205</b>	<b>100</b>

### Complete results: respondents' contributions on consultations

	Frequency	Percent
Increase opportunities for engagement; provide enough information for citizens to make decisions	67	32.7
Include special populations for interest to ensure that affected voices are heard	18	8.8
Include regular consultations for feedback on process of new developments and evaluate past ones	7	3.4
Create standards and guidelines to follow	16	7.8
Better recruitment strategies to be inclusive	5	2.4
Prioritize citizen contributions	11	5.4

Engage with partners and other departments, not citizens. Share the data	6	2.9
Consult online using social media, up voting	15	7.3
Platform specifically for citizens to participate in gov initiatives, include regular emails	15	7.3
Increase communication between public servants and citizens	17	8.3
Each session should have a CSO representative to champion commitments	2	1.0
Gamification/competitions with consultations, hackathons	13	6.3
Invite students to participate in solving open gov problems	3	1.5
Consulting prior to the release of policies	3	1.5
Release all dialogue from consultations; success stories	7	3.4
<b>Total</b>	<b>205</b>	<b>100</b>

#### Code 14: Tone of Language

	Frequency	Percent
Positive	82	6.8
Negative	18	1.5
Neutral/Constructive	1102	91.7
<b>Total</b>	<b>1202</b>	<b>100</b>

## Appendix F

### Content Analysis Results: second National Action Plan

#### Code 2: Commitment

	Frequency	Percent
Open Data Canada	5	10.9
Canadian Open Data Exchange (ODX)	1	2.2
Open Data for Development	2	4.3
Open Data Core Commitment	6	13
Consulting Canadians	5	10.9
Open Science	4	8.7
Mandatory Reporting on Extractives	3	6.5
Open Contracting	4	8.7
Open Information on Budgets and Expenditures	3	6.5
Digital Literacy	3	6.5
Open Information Core Commitment	7	15.2
Directive on Open Government	3	6.5
<b>Total</b>	<b>46</b>	<b>100</b>

#### Code 3: Streams as defined by the second NAP

	Frequency	Percent
Open Data	14	30.4
Open Dialogue	5	10.9
Open Information	24	52.2
Foundation of Open Government	3	6.5
<b>Total</b>	<b>46</b>	<b>100</b>

#### Code 4: Subtheme

	Frequency	Percent
Availability of Information	20	43.5
New Technologies	11	23.9
Citizen Participation	8	17.4
Professional Integrity	7	15.2
<b>Total</b>	<b>46</b>	<b>100</b>

### Code 5-8: Grand Challenges

	Frequency	Percent
Improving Public Services	36	40.4
Increasing public integrity	20	22.5
Effectively Managing Public Resources	28	31.5
Increasing Corporate Accountability	5	5.6
<b>Total</b>	<b>89</b>	<b>100</b>

### Code 9-12: Main priorities found within the deliverables

#### Top 12 main priorities from the deliverables

	Frequency	Percent
Common principles/tools/standards across the Government of Canada	13	13.5
Launch new government-wide open government portal	9	9.4
Publish data in accessible formats	8	8.3
Open eligible data and information by default	6	6.3
Maximizing the release of information	6	6.3
Federated search tool across all levels of government	5	5.2
Establish tools and guidance for releasing government information	4	4.2
Develop an online community/portal for those engaged in open data that offers training and information	4	4.2
Run public events for citizens to participate in the reusability of government data	3	3.1
Prioritize publication of data based on public demand	3	3.1
Develop a government-wide Open Science Implementation Plan	3	3.1
Mandatory reporting of extractive companies	3	3.1
<b>Total of top 12</b>	<b>67</b>	<b>69.8</b>
<b>Total sample</b>	<b>96</b>	<b>100</b>

## Full results: Priorities from the deliverables

	Frequency	Percent
Open eligible data and information by default	6	6.3
Respecting restrictions on data related to privacy, security and confidentiality	1	1.0
Broader accountability and transparency	1	1.0
Maximizing the release of information	6	6.3
Prioritize publication of data based on public demand	3	3.1
Publish data in accessible formats	8	8.3
Establish tools and guidance for releasing government information	4	4.2
Common principles/tools/standards across the Government of Canada	13	13.5
Identify existing international open data standard that can be adopted within Canada and with other nations	2	2.1
Federated search tool across all levels of government	5	5.2
Run public events for citizens to participate in the reusability of government data	3	3.1
Develop an online community/portal for those engaged in open data that offers training and information	4	4.2
Consult with companies on the development of their projects: lessons learned, what worked	2	2.1
Build partnerships in other countries on the open data initiative	2	2.1
Evaluate the relationship between open data initiative development	2	2.1
One Open Government Licence across federal departments and agencies	1	1.0
Launch new government wide open government portal	9	9.4
Consolidate geospatial data across the Government of Canada	1	1.0

Broaden adoption of the International Aid Transparency Initiative (IATI) standard	1	1.0
Improve the existing Consulting with Canadians	1	1.0
Use Social Media across government to connect with citizens in new ways	1	1.0
Develop principles and standards of the process for consulting	2	2.1
Target all populations in consultations. Especially targeted populations	1	1.0
Develop a government wide Open Science Implementation Plan	3	3.1
Publish and maintain an online list of peer-reviewed articles by Government of Canada scientists	1	1.0
Mandatory reporting of extractive companies	3	3.1
Publish data on payments made from extractive companies to governments	1	1.0
Release all contracts over \$10 000 to the public and increase the level of detail	2	2.1
Sponsor projects to establish the relationship between digital skills and the labour market and social outcomes	1	1.0
Fund the private sector and civil society for open government initiatives	1	1.0
Modernize the Access to Information and Privacy services	1	1.0
GCDOCS	1	1.0
Removing barriers for access to government information help by Library and Archives Canada	1	1.0
Information on regulatory activities from federal departments and agencies	1	1.0
User centric platform that has fast access to frequently used services and information	1	1.0
<b>Total</b>	<b>96</b>	<b>100</b>

## Appendix G

### Comparative Analysis Results: Respondents' Submissions compared to the second NAP

#### 1. Action Plan Commitments and respondents' submission themes

Action Plan Commitments	Respondents' submissions: main theme	Respondents' submissions: sub themes
Open information core commitment (7)	Transparency (241)	Open information (411)
	Digital tools for access to information (31)	Libraries (25)
Open data core commitment (6)	Data Quality and availability (160)	Data quality and availability standards (149)
	Innovation and data literacy (113)	Modernize data and IM regime (70) Data platform (54)
Consulting Canadians (5)	Citizen Engagement and Civic Literacy (238)	Consultation Process (158)
		Engagement platform (69)
Open data Canada (5)		Multilateral collaboration: data standards (69)
Open science (4)		
Open contracting (4)		Procurement (13)
Mandatory reporting on extractives (3)	Stewardship (86)	Extractive transparency (156)
Open information on budget and expenditures (3)	Governance and resources (205)	Accountability (154)
		Beneficial ownership transparency (16)
Digital literacy (3)		Digital literacy (84)
		Funding for data innovation (29)
		Digital divide (19)
Directive on open government (3)	Open and Agile Culture (113)	Culture change (80)
	Foundation of open government (10)	Directive on open government (9)
		Privacy (3)
Open data for development (2)	International Relations (4)	
Canadian open data exchange (1)		Multilateral collaboration: Solutions (125)
		Direct participation (52)
		Business collaboration (32)
		CSO collaboration (29)
Does not fit in a commitment		Improve services (79)
		Civic literacy (71)
		Funding for departments (29)

		Performance measurement (22)
		Open source licensing (17)

## 2. Main themes from the second NAP deliverables compared to the priorities set from the consultations

Priorities from deliverables (frequency)	Respondents' Priorities from consultations (frequency)
Common principles/tools/standards across the GC (13)	Standardization across all levels of government and publish together, increase inner communications (170)
	Develop multilateral standards for consultations, various platforms for consultation to prioritize citizen value (101)
Launch new government wide open government portal (9)	Ensure all data is structurally archived in one database for easy accessibility (98)
	New data platform (87)
Publish data in accessible formats (8)	Make data more easily available to use and in workable formats, long term access (172)
Open eligible data and information by default (6)	Open by default information (67)
Maximizing the release of information (6)	
Federated search tool across all levels of government (5)	Improve keyword searches for government information (20)
Establish tools and guidance for releasing government information (4)	Create report and publication requirements, standards (46)
Develop an online community/portal for those engaged in open data that offers training and information(4)	Work with non-government organizations and academics to manipulate data (163)
	Release raw data/ meta data (29)
Prioritize the publication of data based on public demand (3)	
Run public events for citizens to participate in the reusability of government data (3)	Data visualization and reusability (6)

Develop a government wide open science implementation plan (3)	Open science (12)
Mandatory reporting of extractive companies (3)	Mandatory reporting (98)
	Make governments accountable with natural resources (109)
Identify existing international open data standards that can be adopted within Canada and with other nations (2)	Work with existing standards for best practises and adapt them (73)
Consult with companies on the development of their projects: lessons learned, what worked (2)	
Build partnerships in other countries on the open data initiative (2)	
Evaluate the relationship between open data initiative developments (2)	
Release all contracts over \$10 000 to the public and increase the level of detail (2)	Adopt the open contract data standard (17)
Develop principles and standards for the process of consulting (2)	Work with grass root and small businesses to create standards for consultations (61)
Respecting restrictions on data related to privacy, security and confidentiality (1)	
Broader accountability and transparency (1)	Improve transparency of government information; improve trust and provide context to decisions (241)
	Make governments more accountable (97)
One open government license across federal departments and agencies (1)	
Consolidate geospatial data across the government of Canada (1)	
Broaden the adoption of the international aid transparency initiative standard (1)	
Improve existing consulting with Canadians (1)	

Use social media across the government to connect with citizens in new ways (1)	Online crowdsourcing/voting/comments (45)
Target all populations in consultations. Especially targeted populations (1)	
Publish and maintain an online list of peer-reviewed articles by Government of Canada scientists (1)	
Publish data on payments made from extractive companies to governments (1)	Open access to information about extractive industries in Canada and abroad (25)
Sponsor projects to establish the relationship between digital skills and the labour market and social outcomes (1)	
Fund the private sector and civil society for open government initiatives (1)	Provide funding for organizations that want to analyze government data (29)
Modernize access to information and privacy services (1)	Track ATI/FOI requests and reform law (47)
	Data privacy preservation strategies (35)
	Pre-tagging exempt information in docs for ATI to increase the speed of release (14)
GCDOCS (1)	Centralized database for government information (19)
Removing barriers for access to information held by LAS (1)	Remove barriers for accessing government information (27)
Information on regulatory activities from federal departments and agencies (1)	
User centric platform that has fast access to frequently used services and information (1)	
<b>Comments that do not overlap</b>	More information on open government in general and details (275)
	Change the current government culture; improve oversight and communication (207)

	Change the current technological framework; new format, different mediums, update regularly (157)
	Improve relations across governments and communities: two way communication (134)
	Engagement: provide citizens with enough information to make informed decisions (115)
	Evaluate the progress of open government initiatives: enforce OG initiatives (96)
	Demonstrate leadership in new initiatives (68)
	Technological advancements within government to share information (65)
	Reprioritize government funding: ensure departments have the funding for open government initiatives (64)
	Open source licensing within the GC: Policy on opening up data (47)
	Detailed spending/activity reports in a common format (44)
	Provide training to professionals and citizens on identifying current problems (39)
	Budget and spending accountability readily accessible to the public (38)
	Open policies and practices (36)
	Address the digital divide that exists in Canada (26)
	Increase funding on digital tools and their improvement (20)
	Improve training to officials on law regulation and identifying current problems (16)

	Procurement reform (15)
	Provide incentives for participation (13)
	Governing information should be the role of numerous parties (13)
	Provide more than just government data on open.gc.ca (11)
	Recruit technologically competent candidates (10)
	Create a data quality policy (10)
	Improve working conditions for extractive industries (9)
	Add open government features to high school/ university classes (7)
	Use existing data to create the narrative for consultations (7)
	Disclose materials in consumer goods (6)
	Own your own data (3)
	Make voting mandatory/lower voting age (3)
	Create environmentally friendly solutions (2)
	Whistleblower law reform (1)

### 3. Comparing consultations

Action Plan Deliverables: Consulting Canadians (Canada's Action Plan on Open Government, 2014)	What respondents asked for: consultations
Improve the existing Consulting with Canadians website to facilitate easier access to information on federal consultation activities for citizens.	Better recruitment strategies; inclusive
Develop and launch a new government-wide consultation portal to promote opportunities for public participation, host online consultations, and share findings from completed consultations.	Platform specifically for citizens to participate in government initiatives, including regular emails
	Release all dialogue from consultations; success stories
	Increase Opportunities for engagement; provide information to make decisions
Expand the use of social media across government to enable departments and programs to connect to Canadians in innovative ways and enhance engagement in support of citizen-centric services.	Consult online using social media, including up voting.
Develop a set of principles and standards for public consultations in discussion with citizens and civil society, including setting out minimum benchmarks for consultations.	Create standards and guidelines to follow
Conduct targeted consultations on open government themes with key groups in Canada (ie aboriginal populations)	Include special populations for interest to ensure that affected voices are heard
<b>No category associated</b>	Include regular consultations for feedback on process of new developments and evaluate past one
	Prioritize citizen contributions
	Engage with partners and other departments, not citizens; share data
	Increase communication between public servants and citizens
	Each session should have a CSO representative to champion commitments
	Gamification/ competitions with consultations, hackathons
	Invite students to participate in solving open gov problems
	Consulting prior to the release of all policies

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