

# **Innovation in Governance**

## Good Practices, Lessons, Methods and Tools

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# Innovation in Governance

- Developing new operational methods and governance arrangements that can increase the capacity of a society to deal with both emergent and intransigent problems
- Finding new ways to identify and engage stakeholders in order to better define problems and identify and build support for effective solutions
- 'Emergence, development and expansion of new forms of governance'

# Innovation in Governance [Contd.]

- ‘... innovation is usually not a physical artefact at all, but a change in the relationships between service providers and their users. In such changes judgements have to be made about processes, impacts and outcomes, as well as product.’
- Hartley, J. (2005). *Public Money and Management*

# Why Innovation in Governance?

Government under pressure

- To deliver higher quality services
- To enhance equitable access to all citizens
- To empower citizen through participation, transparency and accountability
- To deal with complex issues like poverty, educational achievement, preventive and promotive health, and environment

# Further Rationale for Innovation in Governance

- Deepening of democracy: more citizen participation
- Transparency
- Performance equates with citizen satisfaction
- Active participation of citizens in service delivery

These require innovations in processes and mechanisms

# Types of Innovation in Governance

- Institutional innovations: alter relationship between citizen and organization or between organizations or their units; create new institutional arrangements
- IT based innovations: introduce new ways of utilizing IT to save resources and bring down costs
- Organizational innovation: change in mechanisms and procedures by which management is carried out
- Process innovation: change in production of public services; sometimes to align services with needs, change in levels of participation
- Conceptual innovation: introduce new forms of governance like participatory budgeting, citizen involvement in monitoring and horizontal cooperation among municipalities

# Strategies Employed

- Integrating services;
  - Decentralizing service delivery;
  - Utilizing partnerships;
  - Engaging citizens; and
  - Taking advantage of Information and Communication Technologies
- 
- From 'Replicating Innovations in Governance' by Adriana Alberti and Guido Bertucci

# Gains from Innovation in Governance

- Maximize the utilization of resources and capacities to create public value
- Create higher citizen participation leading to improved governance and citizen satisfaction, build citizen trust and legitimacy
- Improve morale of civil servants working
- Institute culture of continual improvement
- Even small innovations can create effects that open doors for improvements in other sectors
- Institutionalize changes that can change the citizen state relationship leading to higher democracy



# International Cases

# Reminding Voters in California

- Reminders improve voting
- Text messages used as motivation tools
- “Cold” and “warm” messages sent
- Results show that Noticeable Reminder Theory holds, even if messages are impersonal  
[Malhotra, et al. 2011]
- Another experiment boosts voter participation by personal contact  
[Barton, Castillo and Petrie, 2011]

# AFKEN in Turkey

- Organized disaster relief to mitigate problems of affected individuals
- AFKEN provides to monitor and govern the management of temporary settlements such as container cities or tent cities that will be built for displaced people
- Streamlines the administrative work of running refugee camps and shelters for disaster victims, and enables the monitoring and supervision of activities in the shelters from AFAD headquarters
- A registration system for every individual in the camps, container cities and other shelters.
- Those living outside protection centers were rapidly registered, and did not encounter difficulties in accessing services
- AFAD operates 25 tent camps and container cities in 10 Turkish border cities

# Latvia's EAS: Electronic Application System

- Until 2007, Latvian farmers fishermen and rural entrepreneurs required to complete application forms manually to receive different types of funding from the EU and Latvia's Government
- EAS designed
  - To improve access to services for people who live in rural areas
  - To reduce the administrative burden on farmers in obtaining public services
  - To promote government efficiency and accelerate the decision making process
- Direct payments granted directly to farmers under the Single Area Payment Scheme
- EAS modules also include "Diesel fuel for farmers", "School fruits and vegetables" "School milk", "Agricultural Data Centre e-application", and "Seasonal farmer module".
- The number of EAS users has grown from 1,064 in 2008 to more than 21,500 users in 2014.

# Mimes to Improve Driving

- In the mid-1990s in Bogota, Colombia, under the leadership of Mayor Antanas Mockus.
- Came into office with a 70% vote share and used his mandate to implement a range of cultural reforms in the city.
- One of the first acts as mayor: stationing mimes on busy street corners
- The mimes did not carry guns, nor could they issue tickets
- They laid down the law as the vocation of the mime but not usually associated with policing (or at least good policing): mimicry and ridicule.
- Further interventions included the distribution of cards with a thumbs-down printed on them.
- Concerned citizens could flash the card, soccer referee style, at jaywalkers or other lawbreakers (and conversely flash a thumbs-up in response to positive acts of citizenship).
- Fisman and Walker, 2011.

# ASAN Service in Azerbaijan

- “ASAN service” is a new generation and advanced model of a one stop shop.
- Brings together representatives of various governmental agencies and private companies in one place
- Activity is based on the rule of law, protection of human rights, transparency, accountability and efficiency
- ASAN service centers are based on the “service mall” concept.
- Unify in a single administrative building 10 state entities and a number of private companies that altogether render over 250 public and private services.
- ASAN service centers operate 7 days a week
- More than 3 million people accessed ASAN services
- In 2014, Mobile ASAN service offered services to another 60,000 citizens residing in 30 districts, in 25 destinations

# Affordable Technology to Save Lives

- Maternal and infant mortality
- Experimental application in 411 villages in Pakistan
- Recorded messages delivered to pregnant women in villages
- Health literacy for pregnancy management and accessing care when needed and where suitable type provided
- Per household cost remains less than \$7 per year
- Uptake of ANC already at all time high
- Results in saving lives to be compiled

# The “Nudge Unit” of US Government

- Social and Behavioral Sciences Team
- A team of psychologists, economists, political scientists, lawyers and doctors, whose task is to design a better government
- One tweak at a time to better government
- Google’s experience: good design doesn’t cost much — it’s no more expensive to send an effective email than an ineffective one



# Experimenting to Better Government

- The researchers tweaked some of the printers (but not others) linked to some Department of Agriculture computers
- Whenever people tried to print a single-sided document, a pop-up message appeared to remind them how to make two-sided printing their default
- On the tweaked printers, 52 percent of all print jobs were double-sided
- On others, compared with 46 percent only
- This increase of 6 percentage points could save half a billion pages a year across the federal government
- About 18 billion pages roll off federal government printers each year

# Methods and tools to develop and implement Innovations in Governance

- Design and development
- Implementation and evaluation
- Replication, scale up and sustainability

# Framing the right questions

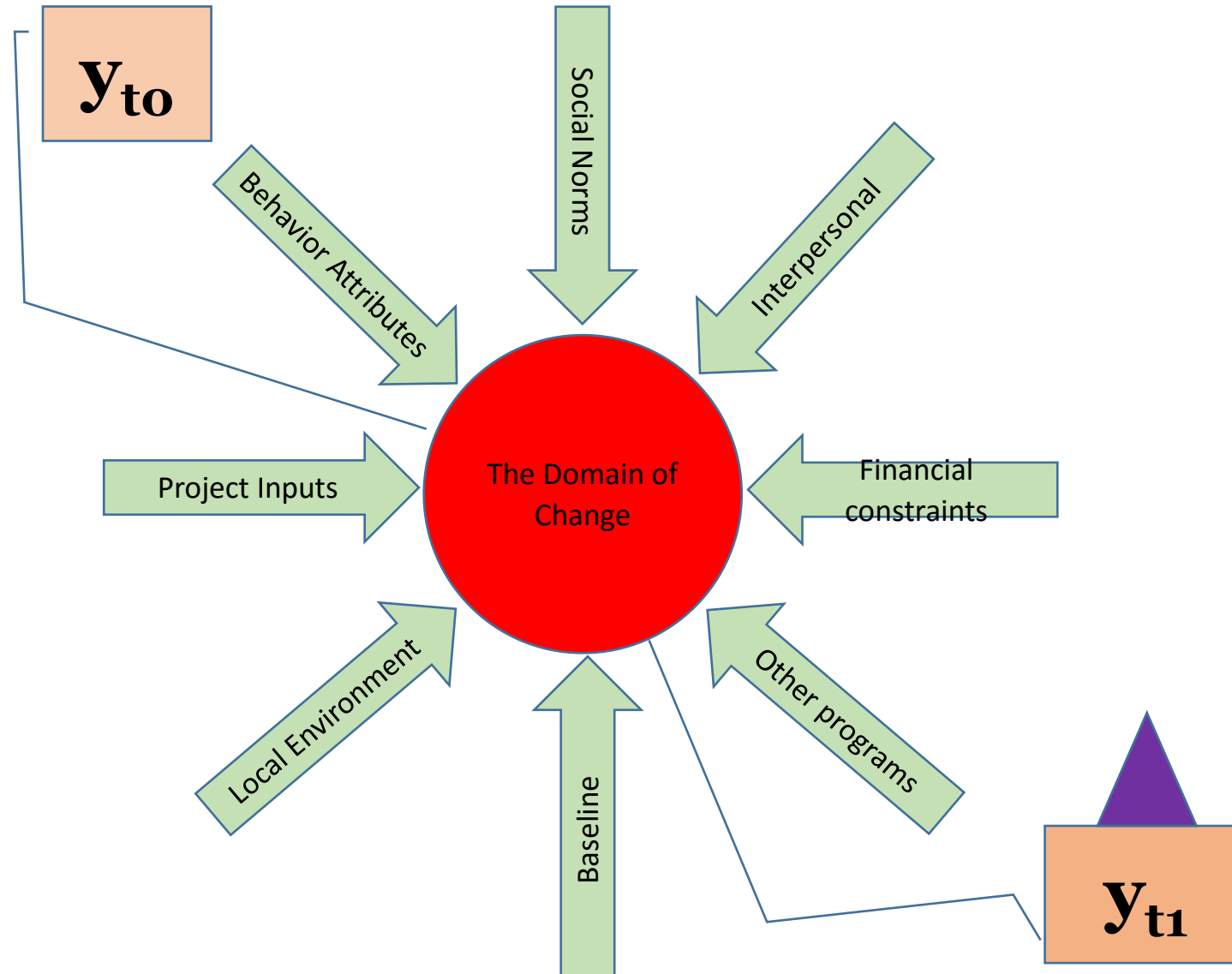
- Corruption?
- Bureaucracy?
- Politicians?
- System?
- Culture?
- People?

There is weak accountability; weak public initiative to participate in governance  
Incentives are misaligned for public sector workers  
Public sector career path does not motivate investment in skills  
Public sector performance rewards are weak  
Identity politics versus performance politics  
Political issues not informed by data, analyses  
Low dependence on evidence for decision making  
Tradition is considered safe; innovation is dreaded (low dependence on evidence)  
Smooth transition from social norms not programmed  
Individual and household constraints are unknown  
How people behave and make choices is not completely known

# Data for analysis

- Education reports from schools
- Health data from health facilities
- Reported data from the field
- Periodic surveys
- Service utilization data from the municipalities
- Fiscal data from municipalities
- Fiscal data from central ministries
- Audit reports
- Citizen perceptions?

# Factors Impinging upon Implementation

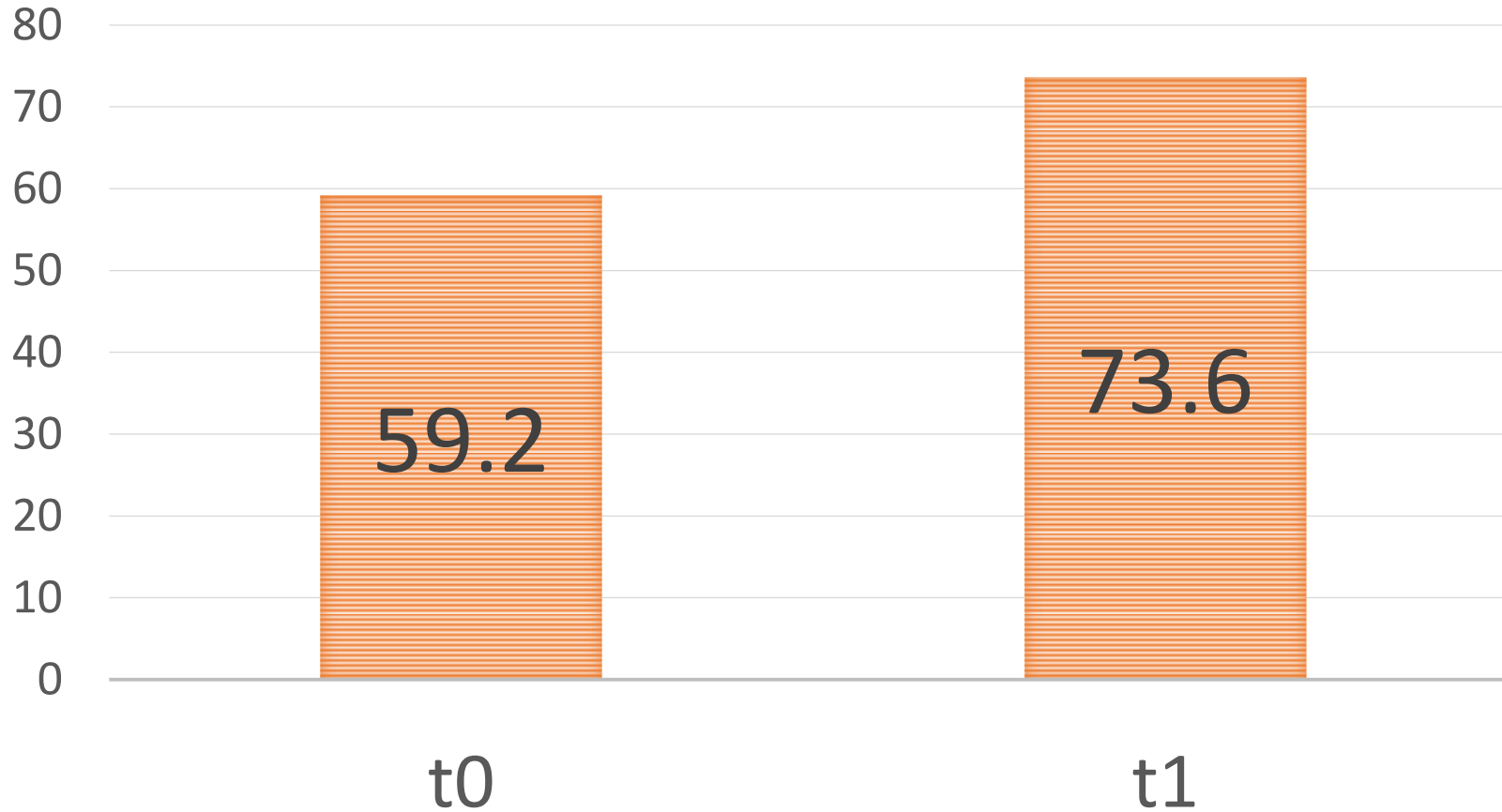


# Why Before and After May Not be Enough

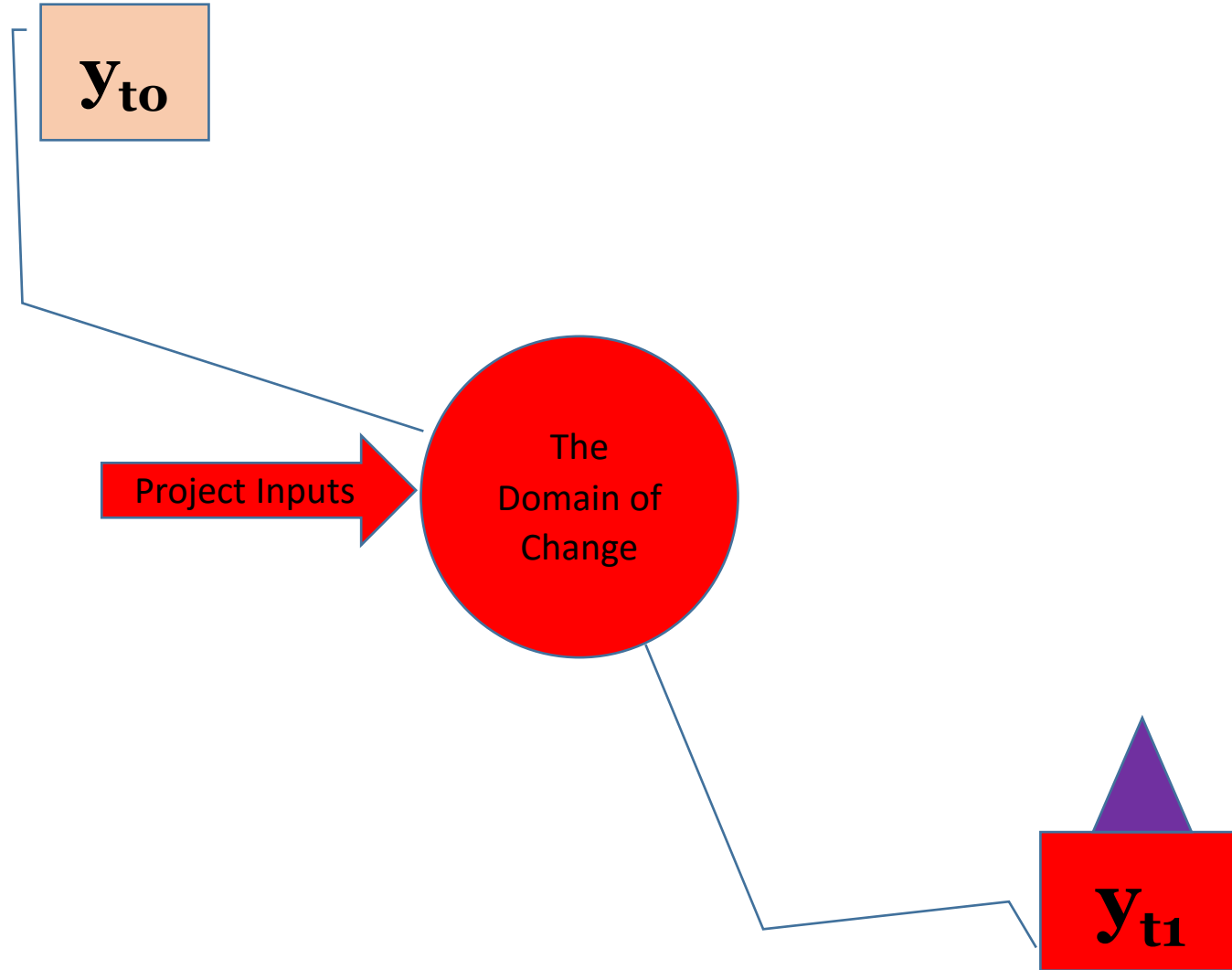
Compare outcomes over time?

# The Before & After 'Evaluation'

## CITIZEN SATISFACTION WITH MUNICIPAL SERVICE

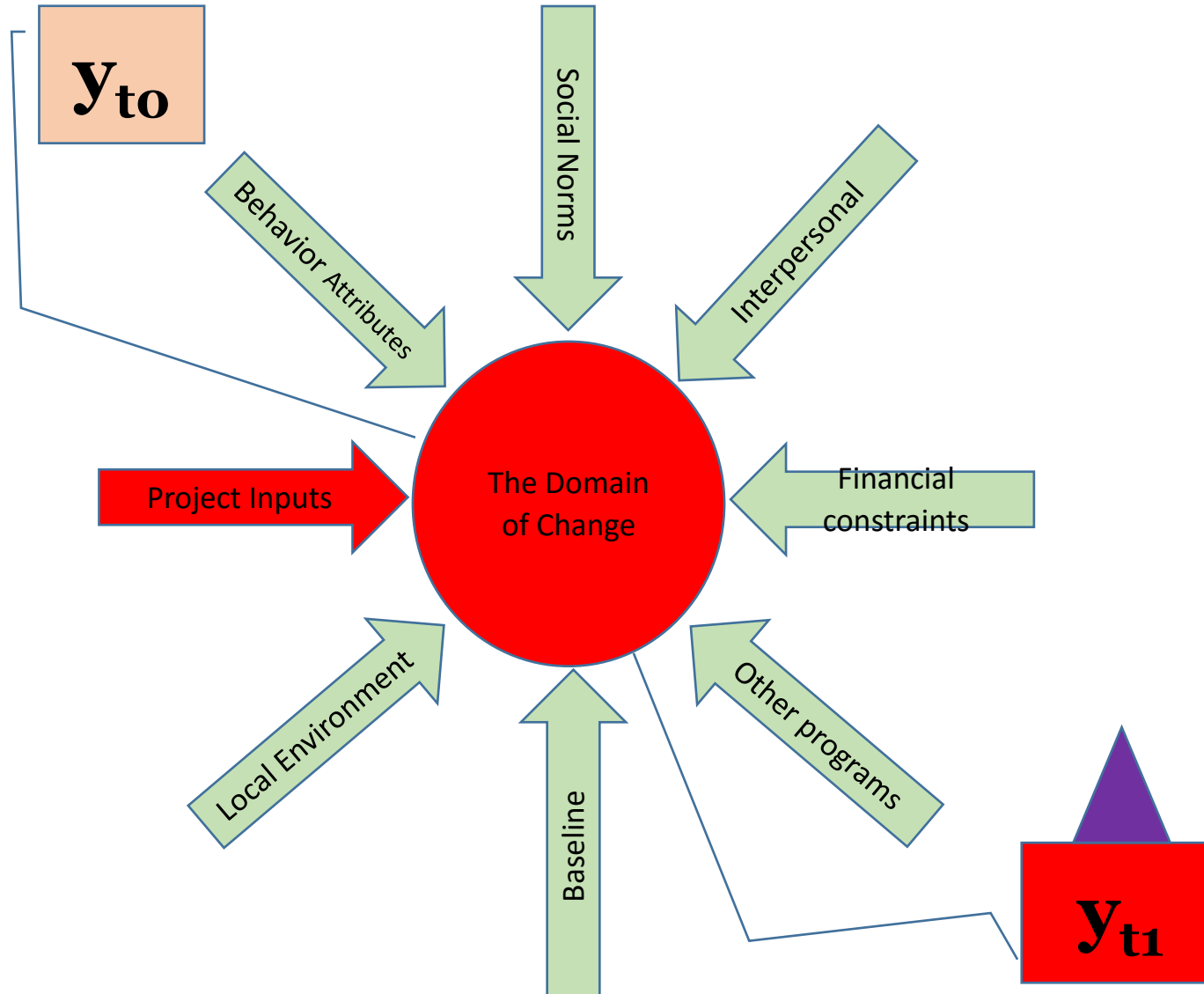


# When Only Project Inputs and Outputs are Observed





# The Unobserved Factors



# Importance of Establishing the Causal Link

- Therefore causal link is the key
- Importance of causality
  - Where to invest the scarce public resources of the municipalities
  - If something is to be changed, what should be changed
  - What synergies to build upon
  - How to change project design in the following iterations
  - What not to do
- A development hypothesis or theory of change lays out the basis for the causal chain from inputs to outputs

# Theory of Change OR Developmental Hypothesis

- A combination of building blocks of a chain of events
  - Starting with recognition of baseline variables
  - Deployment of inputs to specific issues
  - A map of chain of events documenting the expected causal chain
  - Explanation of how final results are reached
- Implicitly or Explicitly, its always there
- Advantages of Explicit Statement
  - Allows a rational analysis
  - Weeds out unnecessary inputs
  - Identifies necessary inputs
  - Lays out a testable hypothesis for evidence collection and analysis

# Replication, scale up and sustainability

- Evaluation evidence to be used for decisions
- Contextual factors: capacities, political priorities, resources
- Change management to be designed as part of work plan
- Periodic assessment and modification

Thank you!