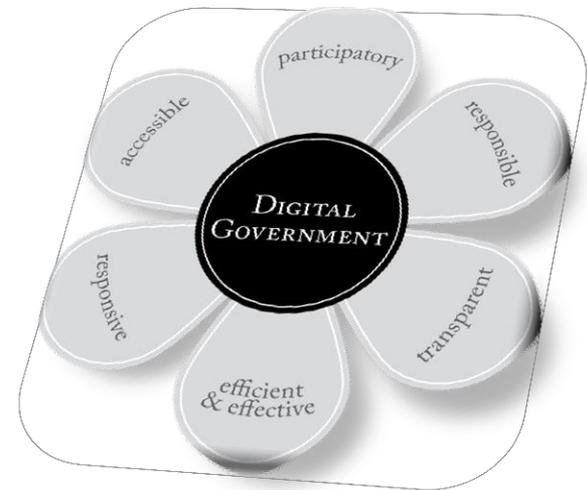


# A Research Agenda for Evaluating Open Government Initiatives

Jan Huntgeburth, Daniel Veit

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## Stuttgart 21

- ▶ Urban development and under construction transport project
- ▶ Has been a controversial issue among politicians and locals
- ▶ Protest was organized by several **grassroot initiatives** who suggest a **renovation** of the current train station respecting the cultural heritage of the station and the natural heritage of the Schlossgarten



VS.

## Effects on politics

- ▶ Governing parties (CDU and FDP) lost most of their political power in the Baden-Württemberg state election
- ▶ Calls for more transparency, participation and collaboration in government (→ Barack Obamas Open Gov Doctrine)



## Practitioner's demand on research

- ▶ Where and how can we “effectively” use Open Government?



## **1. Perspectives on Open Government**

**Kantian Perspective**

**Machiavellian Perspective**

## **2. Limitations of Previous Research**

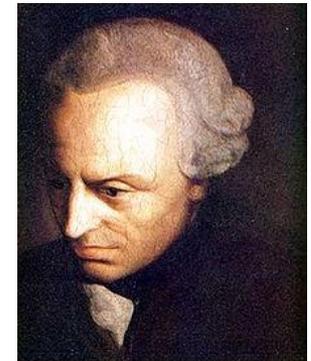
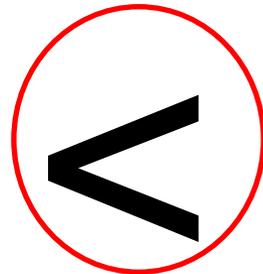
**Literature Review**

**Case of Open Data at a German University**

## **3. A Research Agenda**

## Immanuel Kant (German philosopher, 1724-1804)

- ▶ Relationship between morality and politics



### Political Moralist:

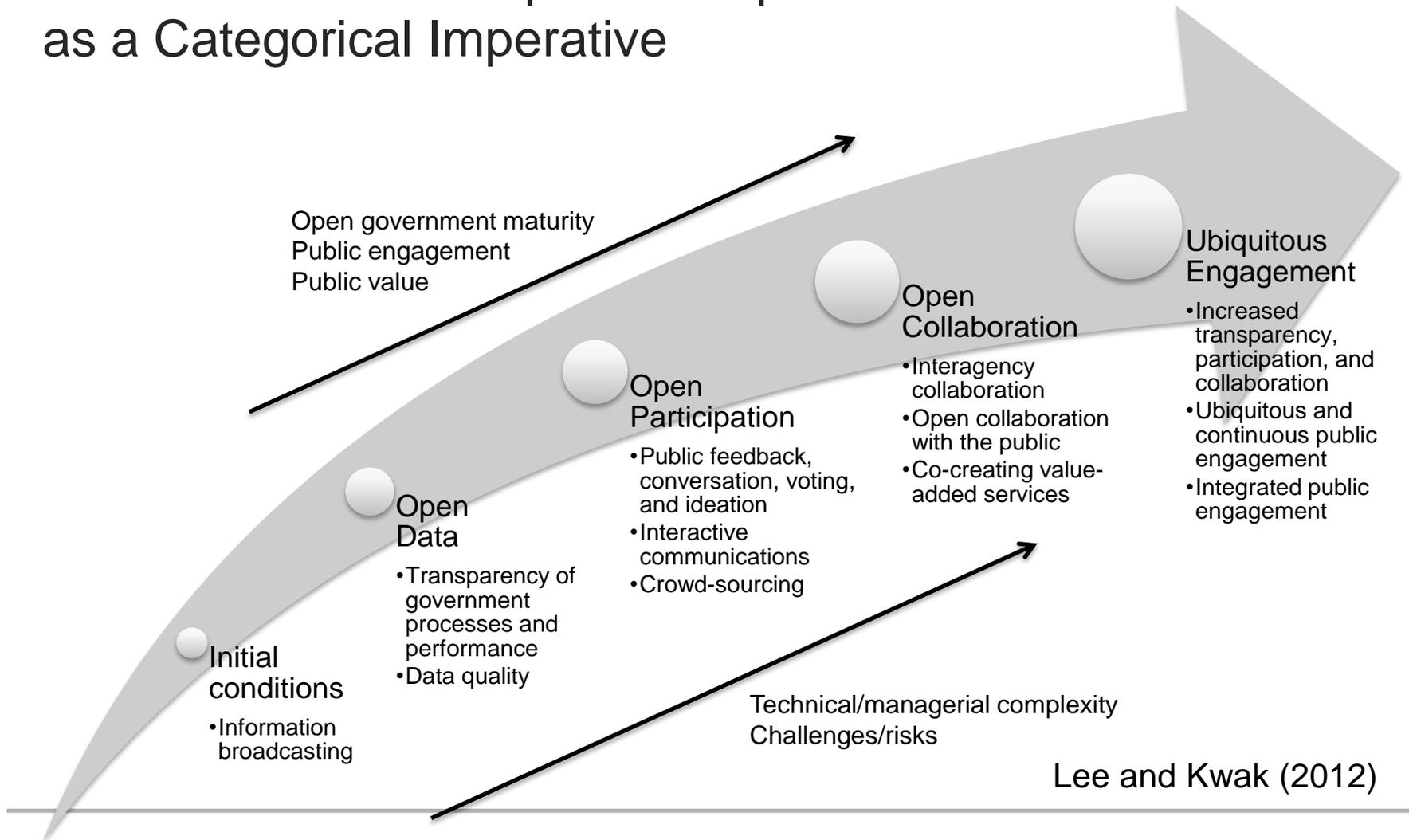
Manipulates people with  
specific ends in view

### Moral Politician:

Moral actions will necessary  
lead to moral ends

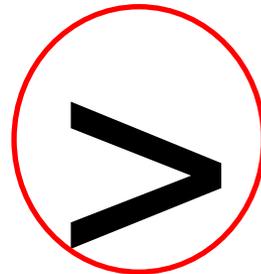
- Because of the unpredictability in achieving beneficial outcomes through immoral means, straying from morality during political activity cannot be justified
- Openness and transparency are categorical imperatives

## ► Modern Kantian Perspective: Open Government as a Categorical Imperative



## Niccolò Machiavelli (Italian philosopher, 1469 – 1527)

### ► Relationship between morality and politics



### Political Moralist:

Manipulates people with specific ends in view

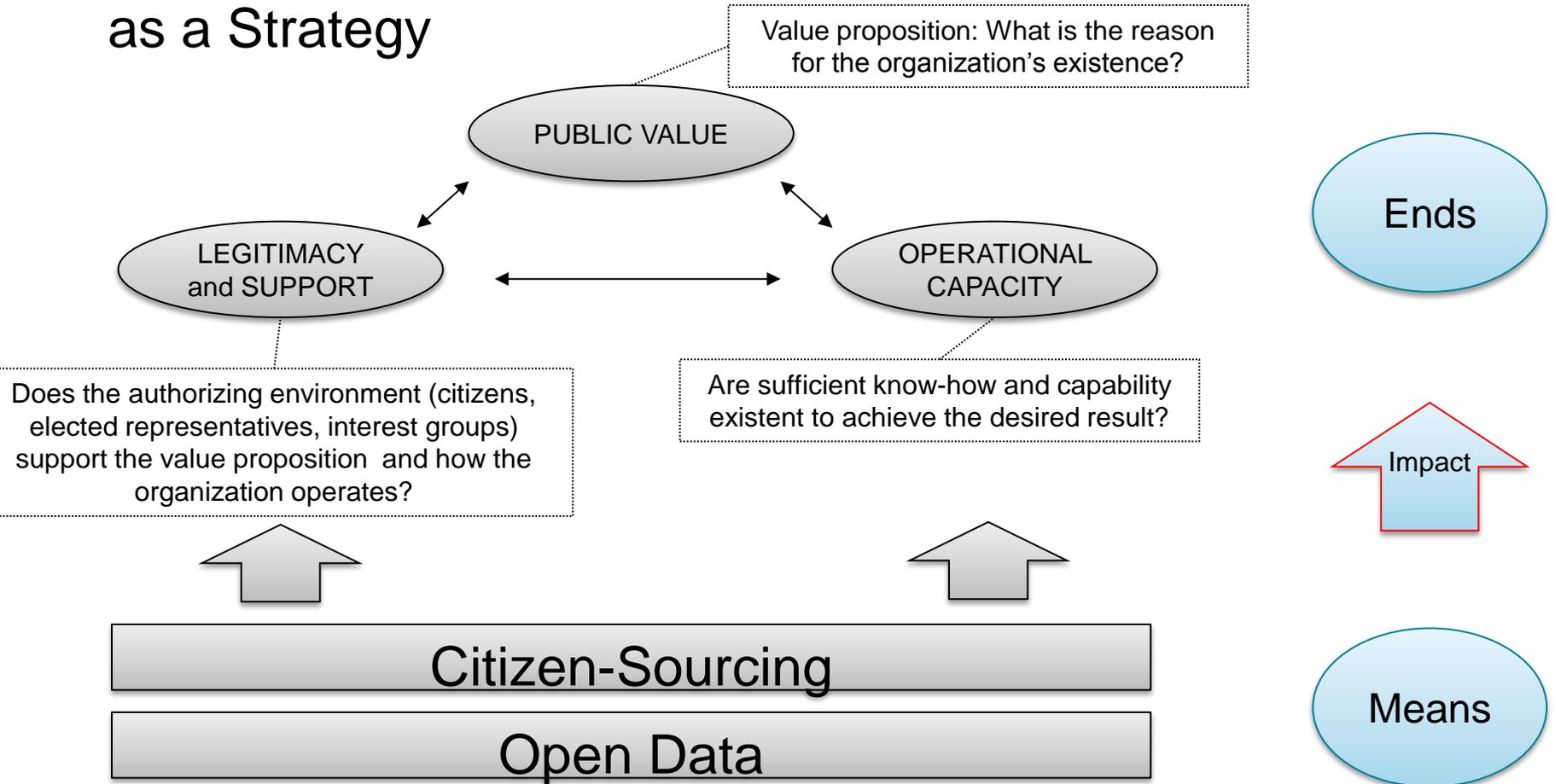
### Moral Politician:

Moral actions will necessary lead to moral ends



- A power holder who is transparent and faithful to his word will be admired by the society but that this transparent authority is not always the most successful
- Means are justified in light of the ends

## ► Modern Machiavellian Perspective: Open Government as a Strategy



## ▶ Search space

- Core outlets of digital government research (Scholl, 2009)
  - *Electronic Government - An International Journal*
  - *Electronic Journal of E-Government*,
  - *Government Information Quarterly*;
  - *Information Policy*;
  - *International Journal of Electronic Government Research*;
  - *Journal of Information Technology and Politics*;
  - *Transforming Government: Process, People, and Policy*;
  - *E-Government track at HICSS*;
  - *DEXA EGOV*; and
  - *DBSNA's dg.o conference*

## ▶ Selection criteria

- Time period: 2009-2012
- Content: dealing with evaluation of Open Government initiatives

## Frameworks for Evaluating Open Government

- ▶ Alanzi and Chatfield (2012) - AMCIS
  - Comparison of the level of maturity in the Middle East
  - Comparison assumes that more functionalities are better
- ▶ Bertot et al. (2012) – HICSS
  - Propose a measurement tool to evaluate initiatives
  - Metrics assume that more is better
- ▶ Kalampokis et al. (2011) – EGOV
  - Maturity model for Open data
- ▶ Lee and Kwak (2012) – Government Information Quarterly
  - Maturity model for Open Government
- ▶ Nam (2012) – Government Information Quarterly
  - Emphasizes that citizen-sourcing should be evaluated with respect to the outcome (only conceptual)

**The Kantian Perspective:**  
Open Government as categorical imperative

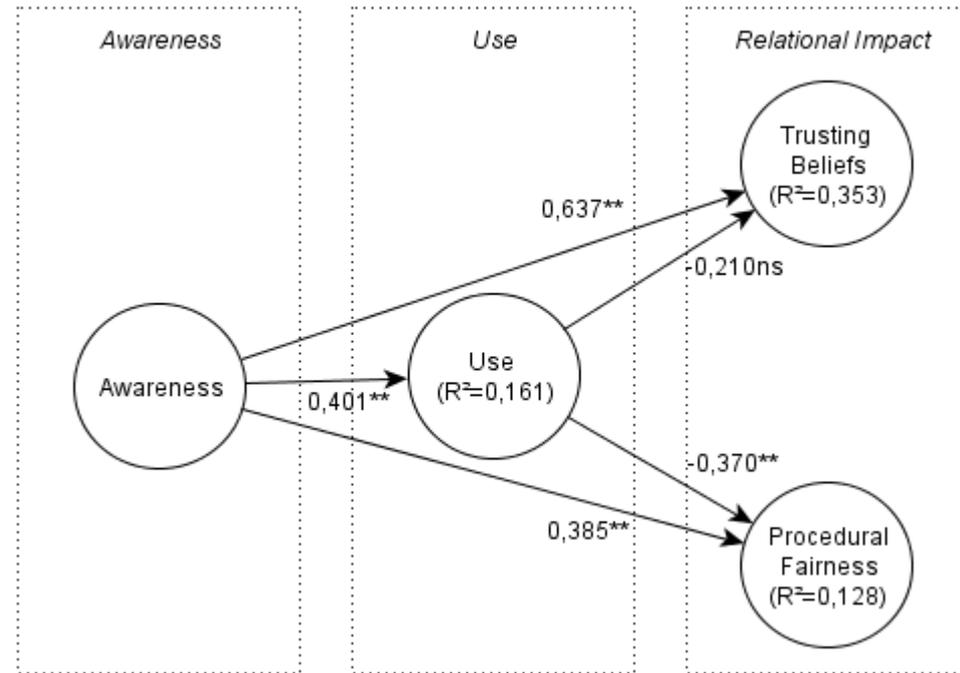
(compare also benchmarking reports in practice)

## What are the Limitations of the Kantian Perspective?

- ▶ Case Background: Open Government at German University
  - Introduction of tuition fees in Germany is **highly controversial** political issue
    - Contra: 500€ per semester might **prevent young people to study**
    - Pro: Funds can **improve conditions for studying** and teaching
  - Information about how the funds from the tuition fees were allocated, were published on an online platform

## ► Methodology and Results

- Survey among 70 students
  - 43% female (57% male)
  - Between 19 and 34 (Ø24.5)
  - BSc, MSc, PhD
- Survey development
  - Awareness and use of oper data portal
  - Evaluation of the tuition fee allocation process
- Measurement validation
  - CR>0,9
  - AVE>0,7
  - Fornel&Larcker

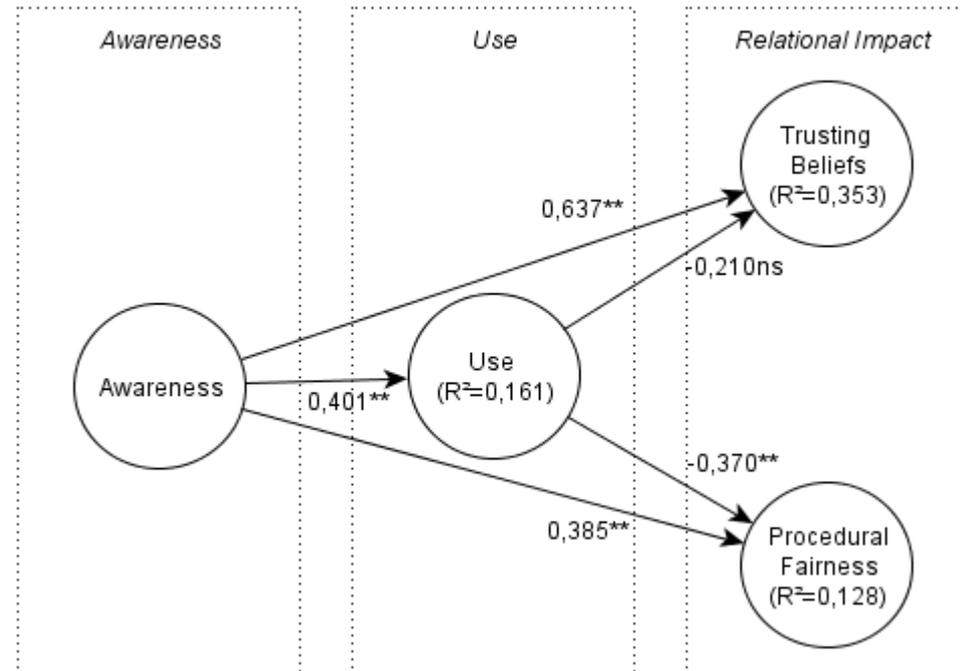


Construct	Mean (STD)	Reliability	1	2	3	4
1. Awareness	4,78 (1,82)	0,9516	<b>0,8932</b>			
2. Use	3,71 (1,40)	0,9562	0,4013	<b>0,9021</b>		
3. Procedural Fairness	4,09 (1,54)	0,9784	0,3011	-0,0550	<b>0,8973</b>	
4. Trusting Belief	3,75 (2,00)	0,9476	0,4882	-0,1144	0,7875	<b>0,8855</b>

**Note: The diagonal elements (in bold) represent the square root of AVE.**

## ► Discussion

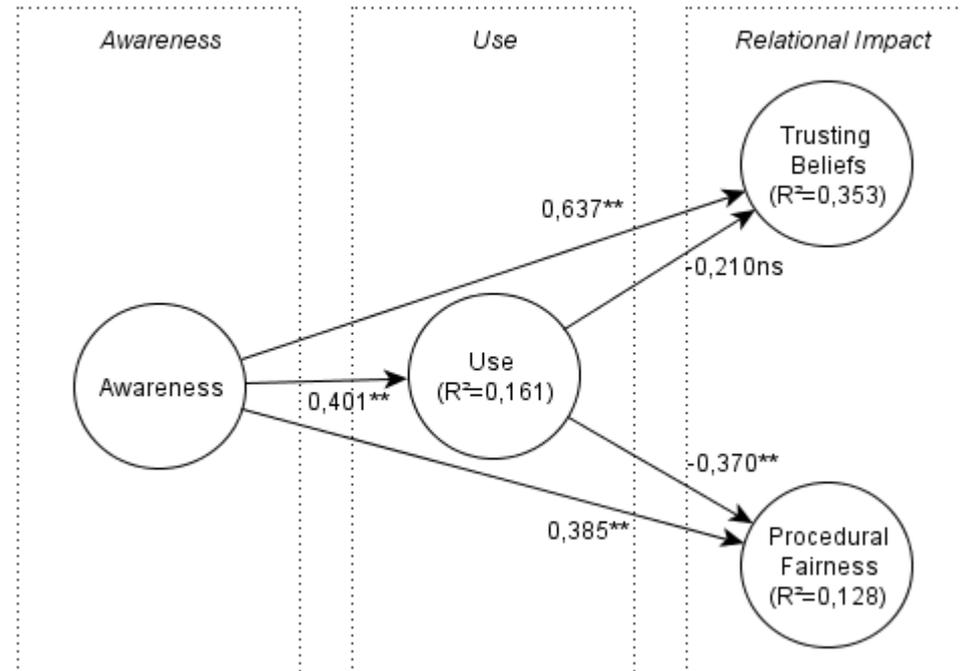
- The Kantian Perspective
  - Allocation of funds from tuition fees would have come out anyway, at least in the long run (e.g., Wikileaks)
  - Public managers use Open Government as a tool for receiving direct feedback from the public
  - We should implement as much as open government as possible for receiving feedback



*Do you believe that public managers are acting like that?*

## ► Discussion

- Machiavellian Perspective
  - Open Government may very well backfire
    - Public engagement (open government) does not always lead to intended results (legitimacy and support, operational capacity)
  - Unpredictability of the outcome is highly problematic
  - Only positive ends may justify Open Government initiatives



- ▶ It is a lot of work:
  - Creating and sustaining public engagement
  - Monitoring and responding to public feedback
  - Facilitating and coordinating a productive collaboration
  - Putting effective collaborative processes and tools in place
  - Integrating with internal business processes
- ▶ It can get out of control...
  - Keeping a balance between control and public autonomy
  - Lack of accountability and responsibility
  - Increased complexity
  - Linking public input to rule making and stay consistent
- ▶ However, research does not offer any insights on
  - **”Where and why should public managers start open government initiatives?”**

- ▶ Research on the evaluation of Open Government initiatives is still at an emerging state
  - Most Frameworks assume that more open government is better
  - Only of limited practical relevance
  - Practitioners strive for understanding the individual short- and long-term consequences of openness and transparency
    - Bud Spencer Tunnel
    - New but different one-stop government maturity model story
- ▶ Our call for future research
  - We should not solely focus on proposing new IT artifacts or solutions how to open up government but should be very explicit about the consequences of using them
  - Supported by Agarwal and Lucas (2005): IS researchers should “focus on the impact of the IT artifact rather than the artifact itself”

- ▶ Research Agenda is twofold: 1. Who is affected?
  - Access to Open Government is a "process with many social, mental and technological causes and not [...] a single event [...]" of using a particular Open Government service (Van Dijk, 2006, p. 224).



- Ways to characterize advantaged and disadvantaged groups
  - Which socio-demographic groups are left out?
  - What types of technological capital (Selwyn, 2004) determine engagement?
- Ways to overcome inequalities
  - What are effective awareness campaigns?
  - How to design portals that they can be used by everyone?

- ▶ Research Agenda is twofold: 2. How is the impact?
  - Quest for Dependent Variable
    - What are relevant outcomes (e.g. legitimacy, trust, operational capacity) of Open Government initiatives and what are the underlying assumptions?
    - Are there major differences between open data and citizen-sourcing with respect to the intended relational impact? (cf. next presentation)
  - Context for “successful” Open Government initiatives
    - In what kind of scenarios can Open Government positively influence relevant outcomes?
    - Have decisions that fully incorporate the outcome of Open Government initiatives more legitimacy and support in society?
    - Can Open Government increase the operational efficiency of government? (cf. Nam, 2012)

# Thank you for your attention!

## Any Questions?

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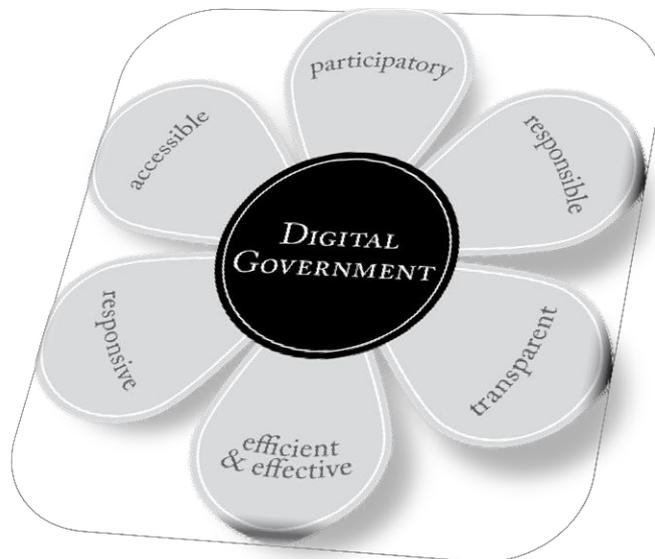
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## New Digital Government Textbook

### Foundations of Digital Government:

#### *Leading and Managing in the Digital Era*

- Covers all important aspects of digital government management
- Provides theories and frameworks from academic literature to understand digital government
- Integrates examples and cases from administrative practice
- Further Details
  - English language
  - 3rd year bachelor students
  - European Audience
  - Available in August 2013
  - **Lecture slides available**

- Open Government is manifested under three integrating themes (Heller, 2012)
    - *Information transparency*
      - The public may better understand the workings of their government
    - *Accountability*
      - Empowers the public to hold government accountable for its policy and service delivery performance
    - *Public engagement*
      - Engage the public in governmental policy processes and service delivery programs
  - Means to implement Open Government
    - *Open data*
    - *Citizen-sourcing strategies*
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