RIGHT TO INFORMATION POLICY IMPLEMENTATION IN NEPAL

A Dissertation

Submitted to the Faculty of Humanities and Social Sciences of Tribhuvan University in Fulfillment of the Requirements for the

Degree of

DOCTOR OF PHILOSOPHY

in

JOURNALISM AND MASS COMMUNICATION

 $\mathbf{B}\mathbf{y}$

SHREE RAM PAUDEL

TU Regd. No.: 24536-92

Ph.D. Roll No.: 20/070 (Magh)

TRIBHUVAN UNIVERSITY
KATHMANDU, NEPAL
February 2023

LETTER OF RECOMMENDATION

We certify that this dissertation entitled 'Right to information policy implementation in Nepal' was prepared by Mr. Shree Ram Paudel under our guidance. We hereby recommend this dissertation for final examination by the Research Committee of the Faculty of Humanities and Social Sciences, Tribhuvan University, in fulfillment of the requirements for the degree of DOCTOR OF PHILOSOPHY in JOURNALISM AND MASS COMMUNICATION.

Prof. Parsuram Kharel

Supervisor

Prof. Shree Krishna Shrestha, PhD

Co-supervisor

Date: March 2022

LETTER OF RECOMMENDATION

We certify that this dissertation entitled 'Right to information policy implementation in Nepal' was prepared by Mr. Shree Ram Paudel under our guidance. We hereby recommend this dissertation for final examination by the Research Committee of the Faculty of Humanities and Social Sciences, Tribhuvan University, in fulfillment of the requirements for the degree of DOCTOR OF PHILOSOPHY in JOURNALISM AND MASS COMMUNICATION.

Prof. Parsuram Kharel

Supervisor

Prof. Shree Krishna Shrestha, PhD

Co-supervisor

Date: March 2022



TRIBHUVAN UNIVERSITY FACULTY OF HUMANITIES & SOCIAL SCIENCES

Office of the Dean Kirtipu Kathmandu

> Denn's Office Z.U., Kirilyar

Ref. No.:....

APPROVAL LETTER

This dissertation entitled "Right to Information Policy Implementation in Nepal" was submitted by Mr. Shree Ram Paudel for final examination to the Research Committee of the Faculty of Humanities and Social Sciences, Tribhuvan University, in fulfillment of the requirements for the Degree of Doctor of Philosophy in Journalism and Mass Communication. I hereby, certify that the Research Committee of the Faculty has found this dissertation satisfactory in scope and quality and has therefore been accepted it for the degree.

> Prof. Kushum Shakya, PhD Dean and Chairperson

Research Committee

Date:

DECLARATION

I hereby declare that the present thesis entitled 'Right to information policy implementation in Nepal' is all my work and the sources of information and materials. I have used have been fully identified and properly acknowledged as required. It is a pioneering work for the award of a degree.

Shree Ram Paudel

March 2022

DECLARATION

I hereby declare that the present thesis entitled 'Right to information policy implementation in Nepal' is all my work and the sources of information and materials I have used have been fully identified and properly acknowledged as required. It is a pioneering work for the award of a degree.

Shree Ram Paudel

March 2022

ACKNOWLEDGMENTS

Firstly, I would like to express my sincere gratitude to my supervisor Prof. Parsuram Kharel for the continuous support of my Ph.D. study, his patience, motivation, and immense knowledge. His guidance helped me in all the time of research and writing of this thesis. I could not have imagined having a better mentor for my Ph.D. study.

Likewise, I am grateful to my co-supervisor Prof. Dr. Shree Krishna Shrestha, who even if being in a separate department, easily accepted this role. I still remember his words: 'No problem Mr. Paudel, you have requested for knowledge building initiative.' I was fortunate to have been with him also after my M.Phil. study at his faculty in Public Administration.

Besides my supervisors, I would like to thank the research committee of the Dean's office, faculty of Humanities and Social Sciences, Tribhuvan University: the Dean Prof. Dr. Kushum Shakya; assistant Dean Prof. Dr. Dubinanda Dhakal, Ph.D. coordinator; assistant Dean Dr. Govinda Sharma, administrator; Prof. Chiranjibi Khanal, head of JMC department; and my thesis evaluators—internal and external — Prof. Dr. Krishna Belbase, Prof. Dr. Ananda Sharma, Dr. Ramkrishna Timalsena (Chairperson of the National Inclusion Commission and former registrar of the Supreme Court of Nepal), Dr. Kundan Aryal and Dr. Suresh Acharya for their insightful comments and encouragement, as well as for the probing questions which prompted me to widen my research from various perspectives. Likewise, I wish to thank Prof. Dr. Raj Kumar Pokharel, Prof. Dr. Jiblal Sapkota, Prof. Dr. Khagendra Prasad Luintel, Prof. Dr. Bindu Pokharel, associate Prof. Dr. Bhim Suwal, and associate Prof. Dr. Mrigendra Bahadur Karki for their comments and suggestions during thesis viva.

I would like to thank all the working journalists and civil servants who took the time to complete my online questionnaire and who contributed so thoroughly through their comments and emails. I would also like to thank the key informant interviewees for helping with this study: former and present officials of the National Information Commission, Krishnahari Baskota, Kiran Pokharel, Mahendra Man Gurung; administrative expert Kashiraj Dahal; former secretary of Government of Nepal, Pratap Kumar Pathak and Krishna Gyawali; senior officer at Inland Revenue Department, Dr. Maharaj Koirala, RTI advocators- Taranath Dahal, Dharmendra Jha, and Tanka Aryal; and an author and journalist, Hari Bahadur Thapa. Without their response, my thesis would not be completed.

I thank Rishikesh Dahal and Ramjee Dahal, faculty members in Journalism teaching for the stimulating discussions, they regularly contributed to my study. I thank to Associate Prof. Kul Prasad Lamichhane for correcting references of the study. Also, I thank my friends at the Tribhuvan University, Central Department of Journalism and Mass Communication, and Ratna Rajya Laxmi Campus.

Last but not the least, I would like to thank my family: my parents Ramchandra Sharma and Radha Devi Paudel; my elder brother Narendra Raj Paudel for his continuous encouragement; my younger brother Shree Krishna Paudel; and sister-in-laws Srijana Pahari and Padma Tiwari for supporting me spiritually throughout the writing this thesis and also for assisting for life in general.

I would also like to deeply appreciate my wife Durga Karki and son Shardul Paudel for the immense patience and encouragement gave throughout the study I undertook.

Shree Ram Paudel

ABSTRACT

Although Nepal introduced right to information (RTI) as a fundamental right in the constitution in 1990, it took 17 years for legal arrangements to be made. Right to Information Act (RTIA) enacted in 2007 to ensure citizens' right to obtain information on any issue pertaining to public bodies. It has been one and a half decades since Nepal saw the RTI regime. Implementation of public policies has become an issue of enormous concern in many developing countries including Nepal. Now it attracts the interest of research as to how RTI policy is implemented. The degree of RTI policy implementation is the main research question of this study.

Nepal has emphasized open government through the implementation of RTI since 1990. There is a wider attention of all government and non-government institutions, which are the prime focus for disseminating information for the open government as demanded by citizens.

The study uses the Van Meter and Van Horn model to measure the degree of RTI policy implementation, which includes policy formation, policy standards and objectives, resources, characteristics of implementing agencies, inter-organizational communication and enforcement activities, economic, social and political conditions, disposition of implementers, and performance. Likewise, indicators —confidence, professional image, and performance — for institutional trust are considered to test existing institutional Nepali mechanism for implementing RTI policy.

The study employs a mixed research (Quan-qual) approach. It is based on an explanatory approach, which identifies the cause-and-effect relationship of the policy implementation. For the quantitative analysis, a survey questionnaire filled up by 315 out of 2153 journalists systematically through an online survey. After quantitative analysis, key informant interviews carried out for the analysis of this study.

The study identifies 15 indicators for the analysis of RTI implementation which is the dependent variable. These indicators include proactive disclosure of information, classification of information, access to information, training and orientation, appointment of Information Officer, and other provisions of RTIA. For the policy implementation mechanism, this study analyses policy standards, resources, inter-organizational coordination and communication, characteristics of implementing agencies, and disposition of implementers for RTI policy implementation as independent variables. Likewise, institutional trust is the second independent

variable responsible for RTI implementation, in this study, the relationship between institutional trust and RTI policy implementation is examined. Public institutions' trust, their professionalism, and the behavioral pattern of civil servants are sub-variables of the institutional trust.

The study finds that the RTIA is not implemented properly in public organizations, and the range of indicators has a wide range, with a standard deviation of 1.2 on the Likert scale of 1 to 4. The fluctuation of these indicators is caused by hidden factors such as legal controversies, an apathetic culture of bureaucrats, frequent transfer of civil servants, and lack of punishment to the defaulter.

Among variables for the mechanism, policy standards of the public institution influence RTI policy implementation at significant level. The availability of resources is found as crucial factor for RTI. Although policy clarity, resource availability, and organizational communication are found at a significant level whereas the characteristics of implementing agencies and the cognition of implementers are creating a hurdle to RTIA implementation effectively.

Similarly, institutional trust is correlated to RTI implementation. Among the variables for institutional trust, confidence in the public institution has a significant role in RTIA implementation whereas confidence in media-related institution stands positive but not significant. Likewise, the performance-based trust in civil service has also positive but not to a significant level for RTI. On the flip side, the professional trust of public servants as well as journalists has negative influence. RTIA implementation is not found effective as expected due to lack of professional trust among the public servants.

In the accumulation of both mechanism and institutional related variables, RTIA implementation is not effective due to cognition of implementers- civil servants, and the professional image of both civil servants and journalists cause negative influence. In this study professional trust and civil service trust find below the expected level, which is creating hurdles for RTIA implementation even though people have trust in the public institutions. The study concludes that the whole phenomenon of RTIA policy implementation is circumscribed by the authoritarianism of office bearers.

TABLE OF CONTENTS

	Page No.
LETTER OF RECOMMENDATION	ii
APPROVAL LETTER	iii
DECLARATION	iv
ACKNOWLEDGMENTS	v
ABSTRACT	vii
TABLE OF CONTENTS	ix
LIST OF TABLES	xiii
LIST OF FIGURES	XV
LIST OF ABBREVIATIONS /ACRONYMS	xvi
CHAPTER 1	1
INTRODUCTION	1
1.1 Background	1
1.2 Statement of the Problem	2
1.3 Objectives of the Study	7
1.4 Significance of the Study	8
1.5 Limitations of the Study	8
1.6 Chapter Plan	9
CHAPTER 2	11
PUBLIC POLICY IMPLEMENTATION: A THEORETICAL AND	ND CONCEPTUAL
DISCUSSION	11
2.1 Introduction	11
2.2 The Concept and Perspective of Implementation	11
2.2.1 Successful Implementation	16
2.3 Implementation Approaches	18
2.3.1 Top-down Approach	18

2.3.1.1 Criticism of Top-down Approach	19
2.3.2 The Bottom-up Approach	20
2.3.2.1 Criticism of Bottom-up Approach	22
2.3.3 Synthesis (Top-down and Bottom-up Approach)	23
2.3.4 Agents/Agencies	27
2.3.4.1 Agents	27
2.3.4.2 Agencies	30
2.4 Institutional Trust and RTI Policy Implementation	31
2.4.1 Institutional Trust	32
2.5 Implementation in Developing Countries	34
2.6 Problems/Constraints of Policy Implementation	36
2.7 Summary	37
CHAPTER 3	38
REVIEW OF RIGHT TO INFORMATION POLICY	38
3.1 History of Freedom of Information Laws: Global Context	38
3.1.1 Initiatives Taken by Different Organizations	39
3.1.2 Freedom of Information Trend	42
3.1.3 Different Principles of Information Dissemination	43
3.2 Nepali Context	45
3.2.1 The Constitution of Nepal, 2015	48
3.2.2 Constitutional Provision of RTI	50
3.3 Feature of RTI Act of Nepal	51
3.3.1 Principle of Maximum Disclosure	52
3.3.2 Classification of Information and Protection of Information	53
3.3.3 Protection of Whistleblower	54
3.3.4 Provincial RTI Act	55
3.4 Provision of Other Laws	56
3.5 Conceptual Framework of the Study	64
3.5.1 Dependent Variable of the Study	64
3.5.2 Independent Variables of the Study	65

3.6 Summary	67
CHAPTER 4	68
RESEARCH DESIGN AND METHODOLOGY	68
4.1 Introduction	68
4.2 Research Methodology	68
4.2.1 Variables	69
4.3 Population and Sample of the Study	70
4.4 Data Collection	74
4.4.1 Primary Data	74
4.4.2 Secondary Data	75
4.5 Characteristics of the Respondents	76
4.6 Data Analysis	78
4.7 Reliability and Validity of the Data	78
4.8 Ethical Consideration	80
4.9 Summary	80
CHAPTER 5	81
DATA ANALYSIS AND INTERPRETATION	81
5.1 Proactive Disclosure	81
5.2 Classification of Information	85
5.3 Citing Private Cause	89
5.4 Language Used	92
5.5 Access to Information	95
5.6 Appointment of Spokesperson and Information Officer	97
5.7 Open and Transparent Public Organization	99
5.8 Training and Orientation	102
5.9 Complaint before NIC	104
5.10 Levying Fee	108
5.11 Format for Information Seekers	110
5.12 Meeting Deadline after Application	113
5.13 Meeting Main Objectives of RTIA	117

5.14 Summary	120	
CHAPTER 6	123	
RTI POLICY IMPLEMENTATION MECHANISM	123	
6.1 Policy Standards	123	
6.2 Resources	134	
6.3 Inter-Organizational Communication	143	
6.4 Characteristics of Implementing Agencies	149	
6.5 Disposition of Implementer	157	
6.6 Summary	165	
CHAPTER 7	168	
INSTITUTIONAL TRUST AND RTI IMPLEMENTATION	168	
7.1 Confidence in Public Institutions	168	
7.2 Confidence in Public Institutions Working on RTI	174	
7.3 Professional Trust in RTI Implementation	181	
7.4 Civil Service Trust on RTI Implementation	192	
7.5 Summary	196	
CHAPTER 8	198	
CONCLUSIONS AND SUGGESTIONS: RTI GOALS YET TO BE	FULFILLED	198
8.1 Theoretical Framework and Research Issues	198	
8.2 Overview of Research Methodology	200	
8.3 Major Findings	201	
8.3.1 RTI Policy Design	201	
8.3.2 RTI Policy Implementation	201	
8.3.3 RTI Policy Implementation Mechanism	204	
8.3.4 Institutional Trust and RTI Policy Implementation	205	
8.4 Suggestions and Recommendations	207	
8.5 Summary	209	
8.6 Policy Implication	209	
8.7 Limitations	210	
8.8 Further Research Issues	210	

ANNEXES	212
REFERENCES	264

LIST OF TABLES

		Page No.
Table 4.1	Variables of the study	69
Table 4.2	Population and Sample Design	70
Table 4.3	Population and Sample Design for Thematic Interview	71
Table 4.4	List of Key Informant Interviewees	72
Table 4.5	Socio-Demography of Respondents	77
Table 4.6	Reliability of Data	79
Table 5.1	Proactive Disclosure of Information	82
Table 5.2	Classification of Information	86
Table 5.3	Citing Private Cause	90
Table 5.4	Language Used	93
Table 5.5	Access to Information	96
Table 5.6	Appointment of Spokesperson/IO	98
Table 5.7	Open and Transparent Public Organization	101
Table 5.8	Training and Orientation	103
Table 5.9	Complaint and Application Number	105
Table 5.9.1	Complaint Before NIC	106
Table 5.10	Levying Fee	109
Table 5.11	Format for Information Seekers	111
Table 5.12	Time Period for Information Supply	114
Table 5.12.1	Meeting Deadline After Application	115
Table 5.13	Meeting Main Objectives of RTIA	118
Table 5.14	Summary of Indicators of RTI Policy Implementation	121
Table 6.1	Policy Standards	126

Table 6.2	Resources	138
Table 6.3	Inter-organizational Communication and Enforcement Activities	144
Table 6.4	Characteristics of Implementing Agencies	151
Table 6.5	Disposition of Implementers	159
Table 6.6	Mechanism of RTI Implementation	166
Table 7.1	Confidence in Public Institutions	170
Table 7.2	Confidence in Public Organizations Working on RTI	176
Table 7.3	Professional Trust in RTI Implementation	183
Table 7.4	Civil Service Trust on RTI Implementation	193
Table 7.5	Institutional Trust and RTI Implementation	197

LIST OF FIGURES

		Page No.
Figure 2.1	The Generation of Policy Implementation	15
Figure 2.2	Two-step Flow of Communication	30
Figure 3.3	Variables for the Study	66

LIST OF ABBREVIATIONS /ACRONYMS

APF - Armed Police Force

ARTI - Association for Right to Information, Nepal

CCRI - Nepal- Citizens' Campaign for RTI, Nepal

CIAA - Commission for Investigation of Abuse of Authority

CDJMC - Central Department of Journalism and Mass Communication

CDO - Chief District Officer

CSO - Civil Society Organization

DAO - District Administration Office

DG - Director General

DFID - Department for International Development [the UK agency

which closed on 2 September 2020 and merged with Foreign

and Commonwealth Office (FCO)]

DNF - Digital Nepal Framework

DoC - Department of Customs

DRI - Department of Revenue Investigation

EU - European Union

FF - Freedom Forum

FHI 360 - Family Health International

FCGO - Financial Comptroller General Office

FNCCI - Federation of Nepalese Chambers of Commerce and Industry

FNJ - Federation of Nepali Journalists

FOE - Freedom of Expression

FOI - Freedom of Information

GGA - Good Governance Act

GIZ - The Deutsche Gesellschaft für Internationale Zusammenarbeit

GoN - Government of Nepal

HR - Human Resource

ICAN - Institute of Chartered Accountants of Nepal

ICCPR - International Covenant on Civil and Political Rights

IEC - Information, Education, and Communication

IO - Information Officer

IRD - Inland Revenue Department

KII - Key Informants Interview

MDG - Millennium Development Goal

MOCIT - Ministry of Communication and Information Technology

NASC - Nepal Administrative Staff College

NIC - National Information Commission

NID - National Investigation Department

NHRC - National Human Rights Commission

NGO - Non-governmental Organization

NPI - Nepal Press Institute

NTC - Nepal Telecom

NRB - Nepal Rastra Bank

OCR - Office of Company Registrar

OECD - Organization for Economic Cooperation and Development

OPM - Office of the Prime Minister

OPMCM - Office of the Prime Minister and Council of Ministers

OSA - Official Secrets Act

OnM - Organization and Management

PCN - Press Council Nepal

PhD - Doctor of Philosophy

PPMO - Public Procurement Monitoring Office

PDMS - Proactive Disclosure Management System

RTI - Right to Information

RTIA - Right to Information Act, 2007

SC - Supreme Court

SDG - Sustainable Development Goal

SMM - Senior Management Meeting

SoP - Standard of Operation

TAF - The Asia Foundation

TOR - Terms of reference

TU - Tribhuvan University

UDHR - Universal Declaration of Human Rights

UNDP - United Nations Development Programme

UNESCO - United Nations Educational, Scientific and Cultural

Organization

USA - United States of America

USAID - United States Agency for International Development