Workshop on Organisational Interoperability and Public Service Governance

ISA² action

2016.33 EIF Implementation and Governance Models

Date: 14 March 2019

European Commission

ISA²

Disclaimer

The information and views set out in this publication are those of the author(s) and do not necessarily reflect the official opinion of the European Commission. The European Commission does not guarantee the accuracy of the data included in this document. Neither the European Commission nor any person acting on the European Commission's behalf may be held responsible for the use which may be made of the information contained therein.

Agenda

	Subject
09:00 - 09:30	Registration & Coffee
09:30 - 10:00	Introduction Meeting initiation.
10:00 - 10:30	Results on Interoperability Governance A presentation of the findings performed by the previous studies followed by a discussion.
10:30 - 12:00	Organisational Interoperability Presentation + Break-out Session
12:00 - 13:00	Lunch Break
13:00 - 14:30	Integrated Public Service Governance Presentation + Break-out Session
14:30 - 15:00	Coffee Break
15:00 - 15:30	Rapporteurs from Break-out sessions Wrap up of the break-out sessions .
15:30 - 16:00	Conclusion of the workshop General Discussion and follow-up

Welcome and Introduction

Interoperability, something new?

The new EIF based on:

Alignment with policy development

- Digital Single Market (**EIF revision in the Roadmap**)
- Revised Directive on Public Sector Information
- eIDAS Regulation
- e-Government Action Plan 2016-2020

Alignment with emerging technological trends

- Interoperability governance
- Integrated service delivery
- Information Management (big & open data)
- European Interoperability Reference Architecture
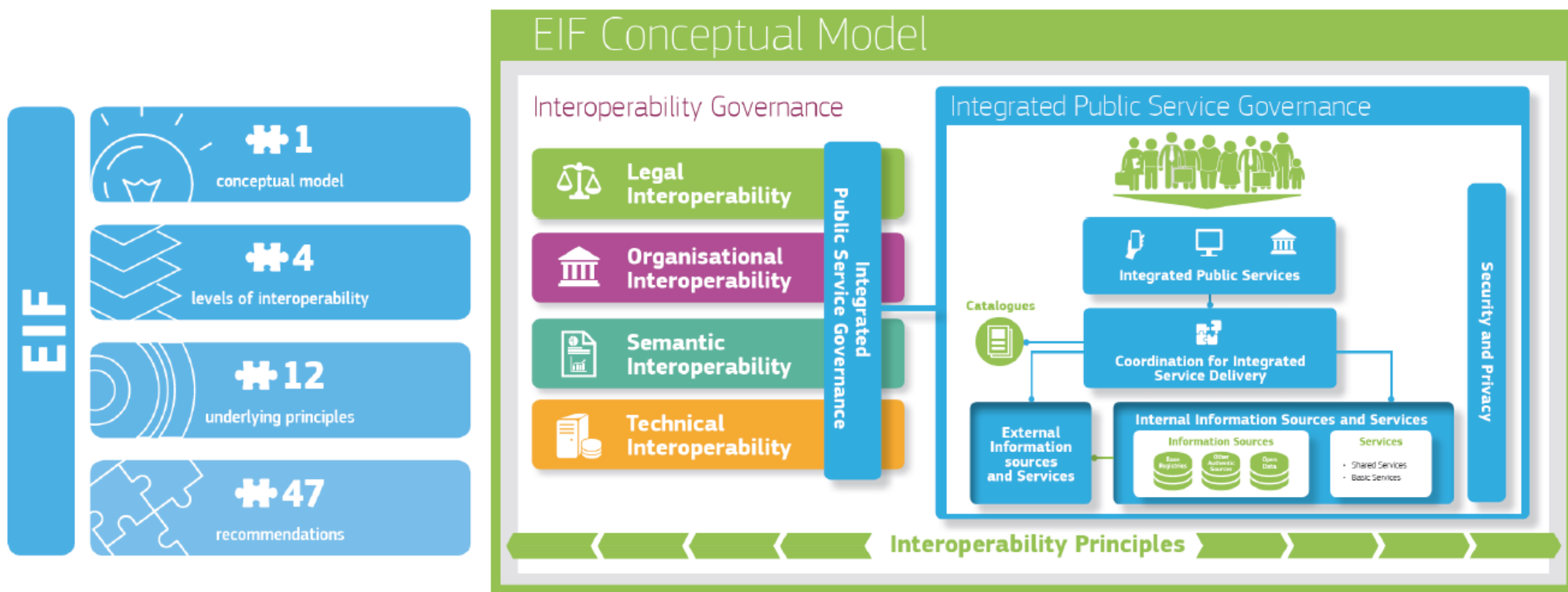- Security & privacy

More focus on EIF implementation

- More concrete recommendations
- Point to specific solutions that can facilitate implementation
- Interoperability Action Plan

Revised ... and more complete

EIF
- **1** conceptual model
- **4** levels of interoperability
- **12** underlying principles
- **47** recommendations

EIF Conceptual Model

Interoperability Governance

- Legal Interoperability
- Organisational Interoperability
- Semantic Interoperability
- Technical Interoperability

Integrated Public Service Governance

Integrated Public Service Governance

Catalogues

Integrated Public Services

Coordination for Integrated Service Delivery

External Information sources and Services

Internal Information Sources and Services
- Information Sources
  - Base Registries
  - Other Authentic Sources
  - Open Data
- Services
  - Shared Services
  - Basic Services

Security and Privacy

Interoperability Principles

European

ISA²

Context of the Study

Under ISA² action **2016.33 EIF Implementation and Governance Models** (ex EIS Governance)

- Action supporting the **Interoperability Action Plan** (2017 – 2020)

- Action that will assess the EIF Implementation in 2020-2021

ISA² programme
You click, we link.

Stay in touch

ec.europa.eu/isa2

@EU_isa2   **ISA² Programme**   **ISA² Programme**

digit-isa2-comm@ec.europa.eu

Run by the Interoperability Unit at DIGIT (European Commission) with 131€M budget, the ISA² programme provides public administrations, businesses and citizens with specifications and standards, software and services to reduce administrative burdens.

Thank you!

ISA²

Introduction to the Study and Workshop

Scope of the study: EIF Implementation and Governance Models

Support IOP Action Plan action 2 and 6 (2017-2020)

- **Action 2**: Identify and describe **governance structures** and **good practices** for interoperability **coordination**

- **Action 6**: Clarify and propose ways to formalise public administrations' **organisational relationships** as part of the establishment of European public services. Identify and develop **common process models** to describe business processes. **Identify best practices**.

ISA²

Objectives of the Study

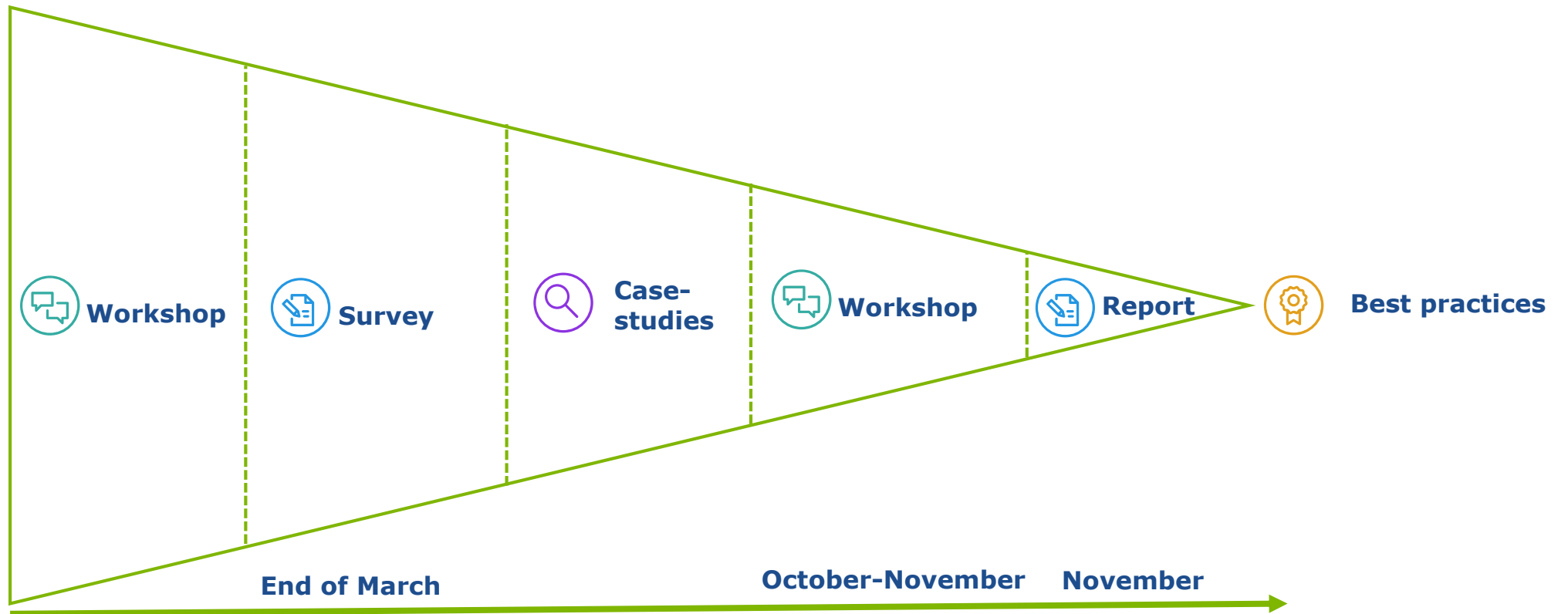|		
⚙	**01**	Identify and describe governance structures and good practices for interoperability coordination. Propose a methodology and guidelines in order to select the best practices in order to propose recommendations. The Interoperability Governance structures should be aligned with the EIF conceptual model.
💡	**02**	Clarify and propose ways to formalise public administrations' organisational relationships as part of the establishment of European public services. Identify and develop common process models to describe business processes. Identify best practices and use relevant enablers (e.g. Interoperability agreements).
👤	**03**	Reuse previous work on Interoperability Governance in order to propose guidelines according to some defined patterns of government structure.
🔬	**04**	User Engagement and Awareness raising of the issues of Organisational Interoperability of the governance structures and models, the best practices and the proposed methodology and guidelines.

Study Approach and timeline

Workshop — Survey — Case-studies — Workshop — Report — Best practices

End of March   October-November   November

Today's Workshop

Aim:

1. Ensure the understanding and approach on the 3 concepts that are central to the study: **interoperability governance**, **organisational interoperability**, and **integrated public service governance**

2. Data collection: on **case-studies** for (European) integrated public services and the way they have set up their **organisational relationships.** Examples of **common process models** identify good practices for **Interoperability Coordination**.

3. Assess what additional information should be collected on these case studies

What this workshop is NOT about:

o Improve European Interoperability Framework (discussion on model pertinence, definitions,…)

ISA²

Today's Workshop

Guidelines for break-out sessions:

1. You will work in sub-groups (based on the color of your sticker) for two times 1h30:
   a) The first 1h30 you will discuss the concept of organisational interoperability
   b) The first 1h30 you will discuss the concept of integrated public service governance;
2. You will discuss the different questions that will be shown on the screen and complete a reporting template on a flipchart (capturing the group's discussion)
3. Each group will designate one rapporteur who will present the main discussion points in plenary;
4. Golden rules:
   a) Everyone has an equal voice;
   b) Listen to others;
   c) Respect the topic which is currently discussed;
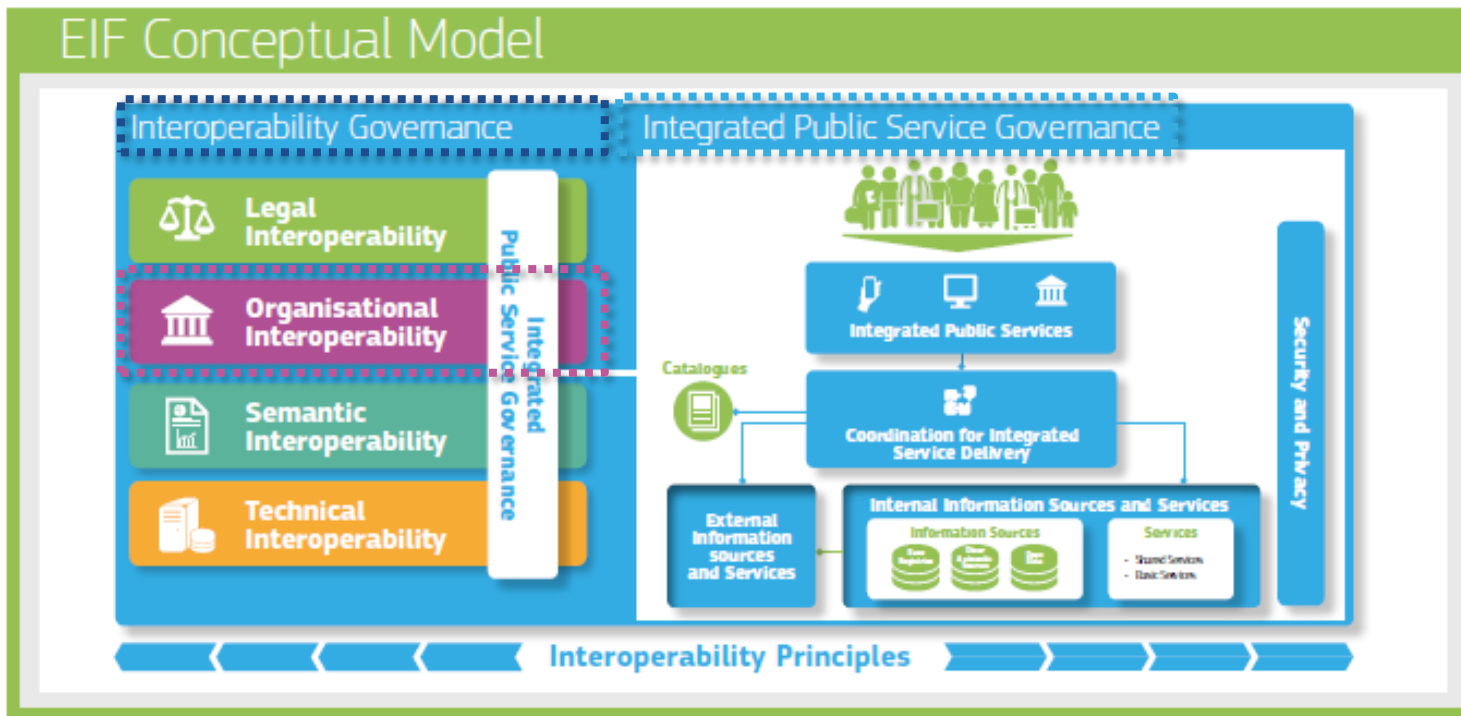   d) No mobile, no e-mail

BONUS: If you have additional input you would like to provide, feel free to fill in the handouts you were provided at the beginning of the workshop.

Introducing the concepts

EIF Conceptual Model and Descriptions

1 **Interoperability Governance**

Refers to decisions on interoperability frameworks, institutional arrangements, organisational structures, roles and responsibilities, policies, agreements and other aspects of ensuring and monitoring interoperability at national and EU levels.

2 **Organisational Interoperability**

Refers to the way in which public administrations align their business processes, responsibilities and expectations to commonly agreed and mutually beneficial goals.

3 **Integrated Public Service Governance**

Integrated public services refer to the result of bringing together government services so that citizens can access them in a single seamless experience based on their wants and needs.

Interoperability Governance

Extending the definition

A description of interoperability governance should include the decisions that must be made to set interoperability objectives, implement and monitor them, and by whom those decisions must be made.

Interoperability governance will be framed by the general IT governance and has to be in line with the governance of the respective policy field or sector in which it is applied.

| Legal Interoperability |
| Organisational Interoperability |
| Semantic Interoperability |
| Technical Interoperability |

For each layer of the EIF, the following questions must be asked:

- **What** decisions are needed?
- **Who** makes them?
- **How** are these decisions coordinated?

ISA²

Integrated Public Service Governance

Extending the definition

Establishing a system of coordinated decisions and activities in order to provide a service that integrates several existing or newly created services. It entails the decisions required to set integrated public service objectives, implement these objectives and monitor them.

Legal Interoperability

Organisational Interoperability

Semantic Interoperability

Technical Interoperability

Integrated Public Service Governance

As it entails bringing together several different organisations and systems, a coordination function must be provided by either:

An existing intergovernmental institution

A new temporary or permanent institution (Committee, board, task force)

ISA²

Organisational Interoperability
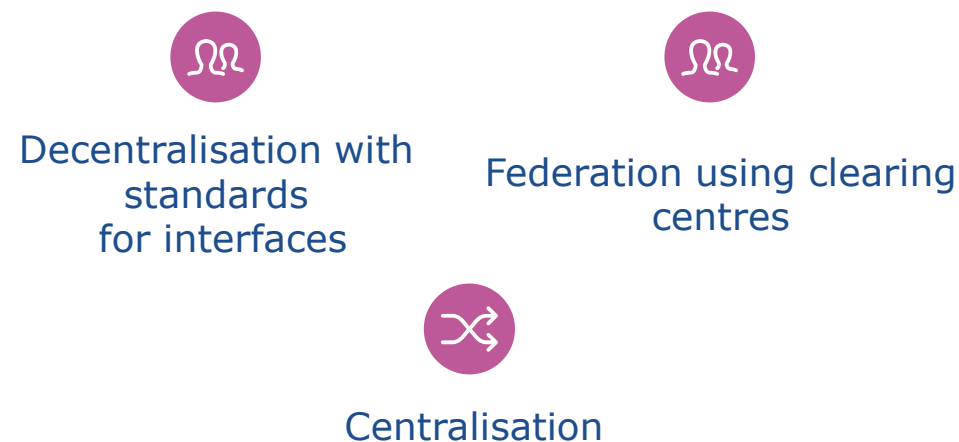
Extending the definition

Organisational interoperability refers to how **different** public administrations across **different levels or sectors of government** align their business processes, responsibilities and expectations to commonly agreed and mutually beneficial goals.

Adapted from the European Interoperability Framework, p. 29

Business Process Alignment

This can be supported through initiatives such as
the Luxembourghish PROMETA

Organisational Relationships

Decentralisation with standards
for interfaces

Federation using clearing centres

Centralisation

ISA²

Examples of EIF Implementation (1/3)

An example of an Integrated Pubic Service: Interoperability for citizens registration , including

- change of address, registration and deregistration

- certificate of residence , required for many other services

- verification of registration (identity and address) for private business and police

So far: Completely decentralized local registers

Austria: 2.400 municipalities with 40 different
SW products

Germany: 5.412 local registers with additional registers
on state level with different software products

Examples of EIF Implementation (2/3) – Austrian case

Interoperabilty Governance

ZMR

Integrated Public Service Governance

Legal Interoperability
- Cooperation agreement
- ZMR and Municipalities

Organisational Interoperabilty
- Specification of business processes
- Definition of need for data exchange between different sources
- Definition of classes of users: local registration authorities, other authorities, businesses, citizens
- Planning of data exchange structure: Central Register, automatically synchronized by local registers with 40 different SW products
- Identification and Integration of other Information resources, e.g. Office of Statistics for data on buildings

Semantic Interoperability

Definition of data fields and codes, partially based on other registers (e.g. buildings /addresses and identity number)

Technical Interoperability
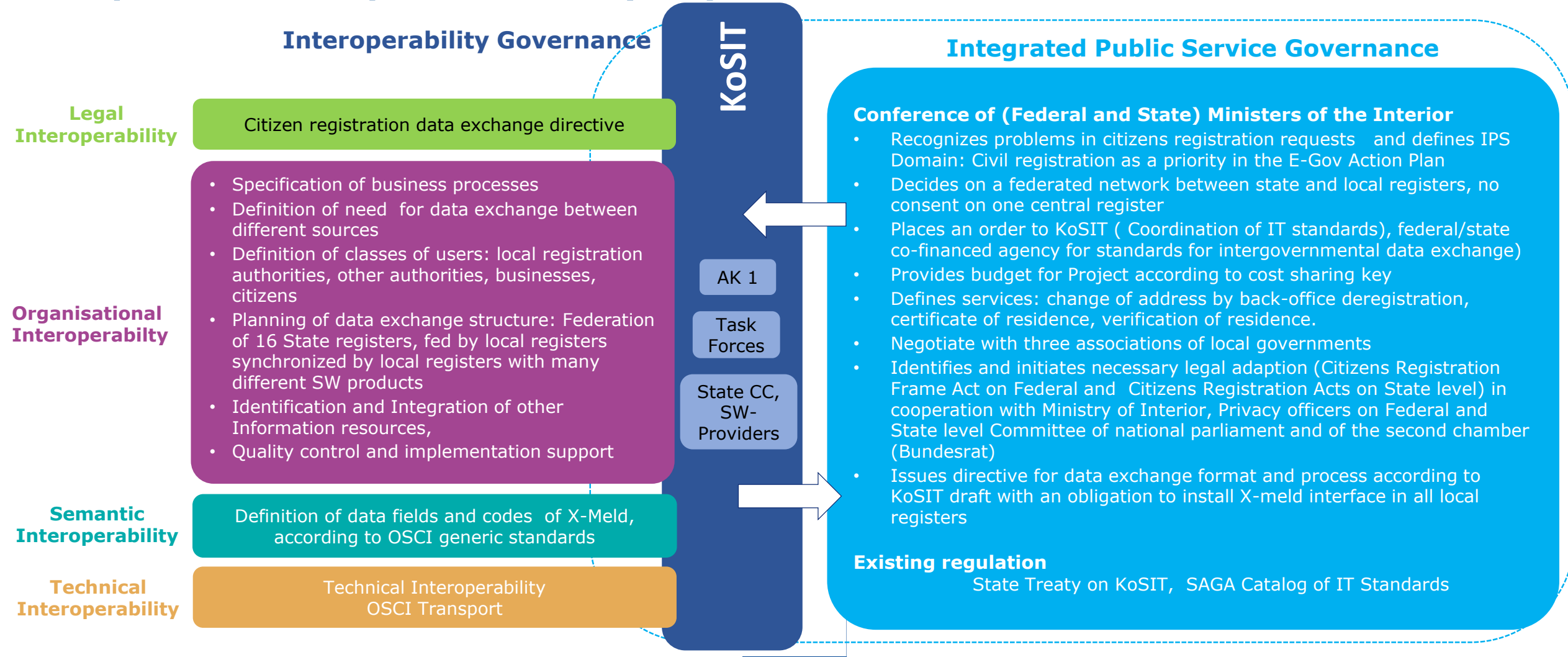
XML Interface for local registers, https and SOAP

National Gov.
- recognizes problems in citizens registration requests and defines IPS Domain: Civil registration as a priority in the E-Gov Action Plan
- looks for responsibility for Project Management and establishes a new government unit: ZMR (Central Registration Register)
- provides budget for Project in national budget bill, parliament agrees

ZMR (governing unit)
- defines services: change of address, certificate of residence, verification of residence
- stakeholder analysis: federal states, 2.400 municipalities, Fed. Office of Statistics and more
- identifies and initiates necessary legal adaption (Citizens Registration Act, E-Gov Act) in cooperation with Ministry of Interior, Privacy Commission and parliamentary committee
- establishes Cooperation structure and procedures with federal states and organizations of local governments
- develops business model for running the new IPS
- defines interoperability needs and governance

Examples of EIF Implementation (3/3) – German case

KoSIT

Interoperability Governance

Integrated Public Service Governance

Legal Interoperability

Citizen registration data exchange directive

Organisational Interoperabilty

- Specification of business processes
- Definition of need for data exchange between different sources
- Definition of classes of users: local registration authorities, other authorities, businesses, citizens
- Planning of data exchange structure: Federation of 16 State registers, fed by local registers synchronized by local registers with many different SW products
- Identification and Integration of other Information resources,
- Quality control and implementation support

AK 1

Task Forces

State CC, SW-Providers

Semantic Interoperability

Definition of data fields and codes of X-Meld, according to OSCI generic standards

Technical Interoperability

Technical Interoperability
OSCI Transport

Conference of (Federal and State) Ministers of the Interior

- Recognizes problems in citizens registration requests and defines IPS Domain: Civil registration as a priority in the E-Gov Action Plan
- Decides on a federated network between state and local registers, no consent on one central register
- Places an order to KoSIT (Coordination of IT standards), federal/state co-financed agency for standards for intergovernmental data exchange)
- Provides budget for Project according to cost sharing key
- Defines services: change of address by back-office deregistration, certificate of residence, verification of residence.
- Negotiate with three associations of local governments
- Identifies and initiates necessary legal adaption (Citizens Registration Frame Act on Federal and Citizens Registration Acts on State level) in cooperation with Ministry of Interior, Privacy officers on Federal and State level Committee of national parliament and of the second chamber (Bundesrat)
- Issues directive for data exchange format and process according to KoSIT draft with an obligation to install X-meld interface in all local registers

Existing regulation

State Treaty on KoSIT, SAGA Catalog of IT Standards

Questions?

Results on Interoperability Governance

# Previous research on Interoperability Governance Models ([Link to study](#))

Pursued under Action 2016.33 EIS Governance Support' of the ISA² Programme

Objective: To understand how European institutions and Member States are actually allocating responsilities for interoperabiliy governance between different organisations.

Research design: Case study analysis of governance of European-level programs public services and 13 Member States:

- **European case studies**: eProcurement, eHealth network

- **EU Member States**: Austria, Belgium, Bulgaria, Denmark, France, Germany, Italy, Lithuania, Netherlands, Norway, Poland, Portugal and Spain

ISA²

Template for studying interoperability governance structures
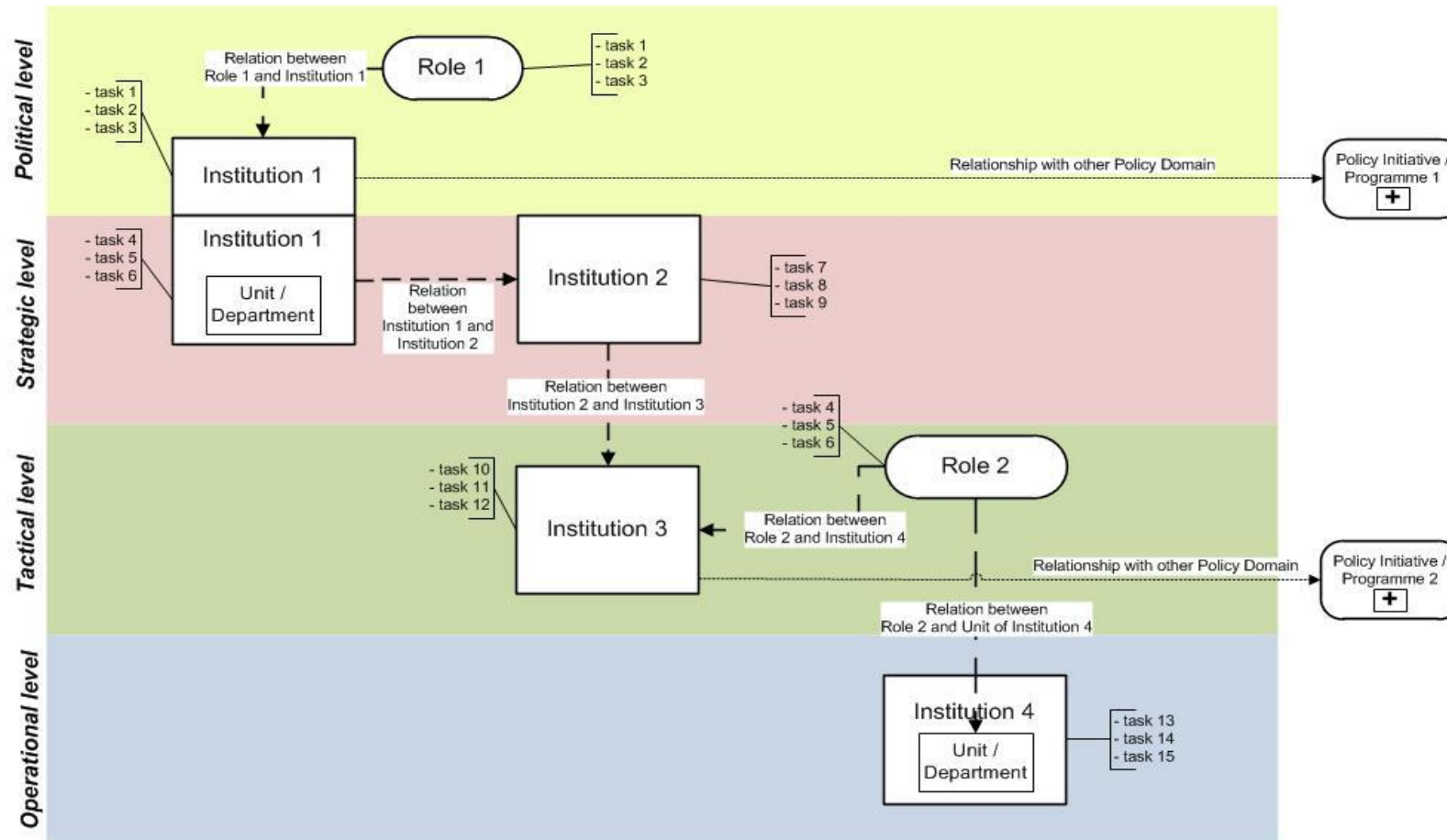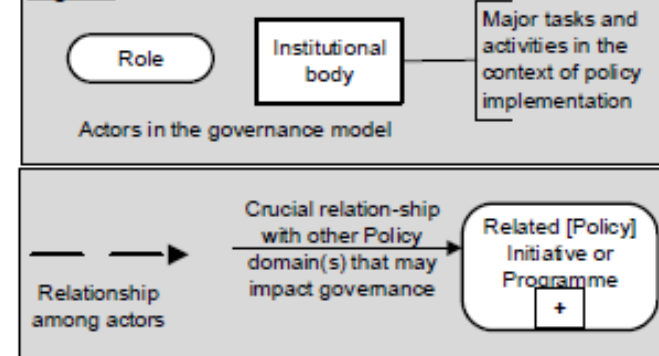
Example: Interoperability governance model for Denmark
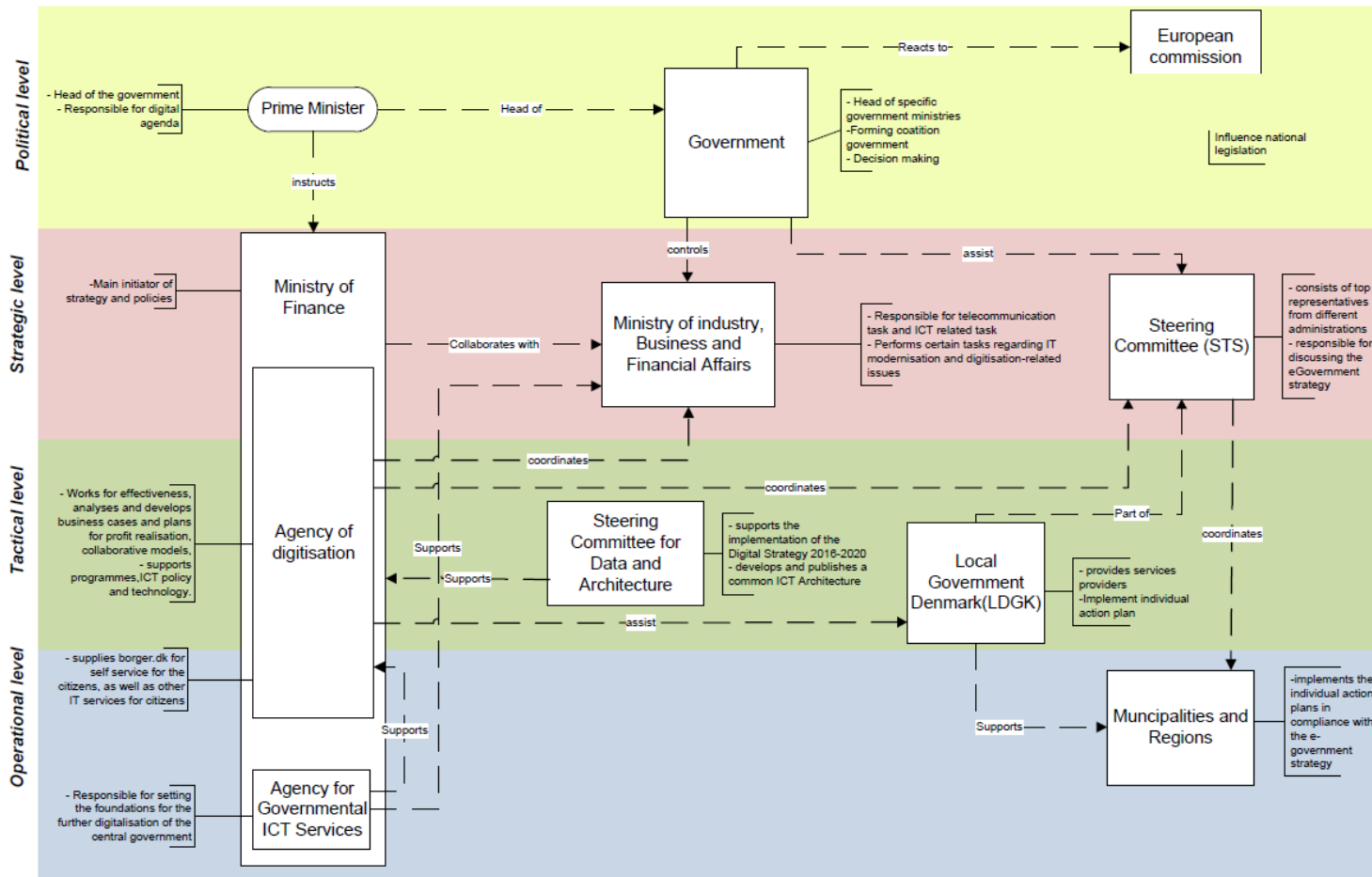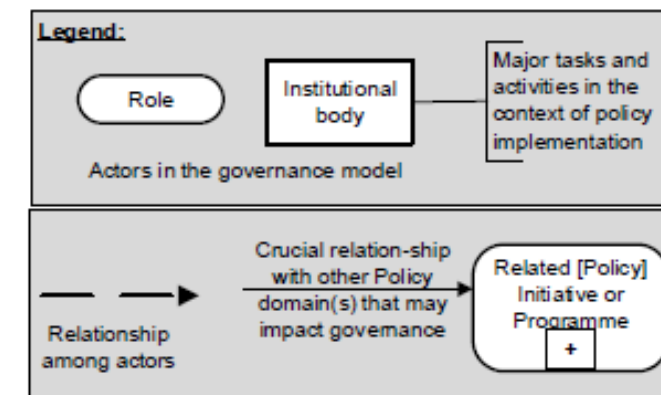
Lessons learnt

- There is no leading governance model for digitalization and interoperability

- There is no unique natural 'home' for e-government development. Responsibilities are allocated across different actors and according to different countries' political structures, with main responsibility either:

    o To one single ministry

    o Dispersed across several ministries

- Often, a dedicated Agency assists the responsible Ministry

Future Research and Open Questions

1. The previous study did not find a common model followed across Member States. However, a common model might be possible for a subset of Member States, divided by type:
   a) Unitary vs Federal;
   b) Large vs Small;
   c) Administrative tiers;
   d) Other?

2. How could observations and findings on governance structures be linked to "good" interoperability governance
   a) What measures/indicators could be used? ➔ NIFO implementation scores, quality of Public Administration Study, DESI, …?

3. The previous study did not match different governance structures performed against the 4 EIF layers. Future work will explicitly make this link.

ISA²

Questions?

Organisational Interoperability

Previous research on Organisational Interoperability

Objective: To assess organisational structures for digital public services in the European Union.

Research design: Case study in 13 Member States to map out, in accordance with the 4 governance layers structure, the different enablers in Member States which serve to formalise the relationships between different organisations and how they work together, and records the artefact provided by each layer and enabler.

▪ EU Member States: Belgium, Denmark, Estonia, Germany, Italy, Lithuania, the Netherlands, Norway, Portugal, Poland, Slovakia, Spain, United Kingdom.

Lessons learnt

Overview of Enablers of Organisational Interoperability in the 13 MS ([Joinup link](#))

Type of enabler	BE	DK	EE	DE	IT	LT	NL	NO	PL	PT	SK	ES	UK
Service catalogue	✓	✓	✓	✓	✓	✓	✓	✓	?	✓	✓	X	X
Business capability	✓	X	X	✓	X	✓	✓	✓	✓	X	X	✓	✓
Guideline	X	✓	✓	✓	✓	X	✓	✓	X	X	X	✓	✓
Business process specification	X	X	X	✓	X	X	?	✓	X	X	X	X	X
Business information exchange/interaction pattern	✓	X	✓	✓	✓	X	X	✓	X	✓	X	X	X

Legend:

✓	Yes, there is artefact(s) in the Member state
?	Maybe, there is another artefact, which fulfils the role of the enabler, while not exactly corresponding.
X	No artefacts found in the Member state

ISA²

Organisational Interoperability

Extending the definition

Organisational interoperability refers to how **different** public administrations across **different levels or sectors of government** align their business processes, responsibilities and expectations to commonly agreed and mutually beneficial goals.

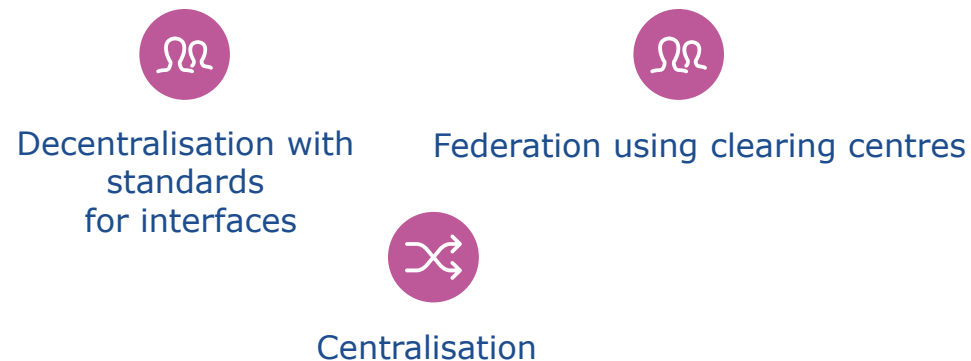*Adapted from the European Interoperability Framework, p. 29*

Business Process Alignment
What?

Identification and definition of different classes of primary and secondary processes, according to what has to be made interoperable

- o Multi-service exchange
- o Multi-stage exchange
- o Multi-area exchange
- o Multi-file exchange

Business Process Alignment
How?
(Organisational relationships)

Decentralisation with standards for interfaces

Federation using clearing centres

Centralisation

ISA²

Multi-area integration: same service across different areas

Different systems for service delivery developed under different government structures , both in federated states

Citizen Registration in Austria
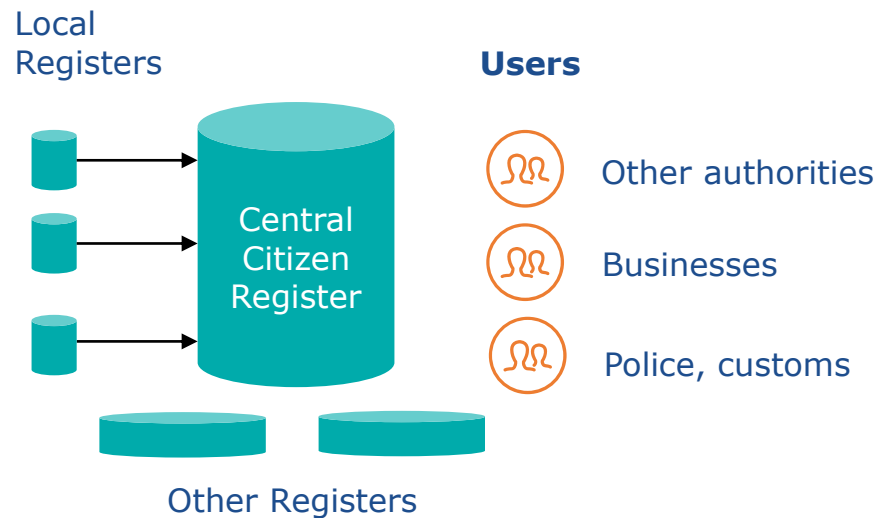
Citizen Registration in Germany

Local Registers

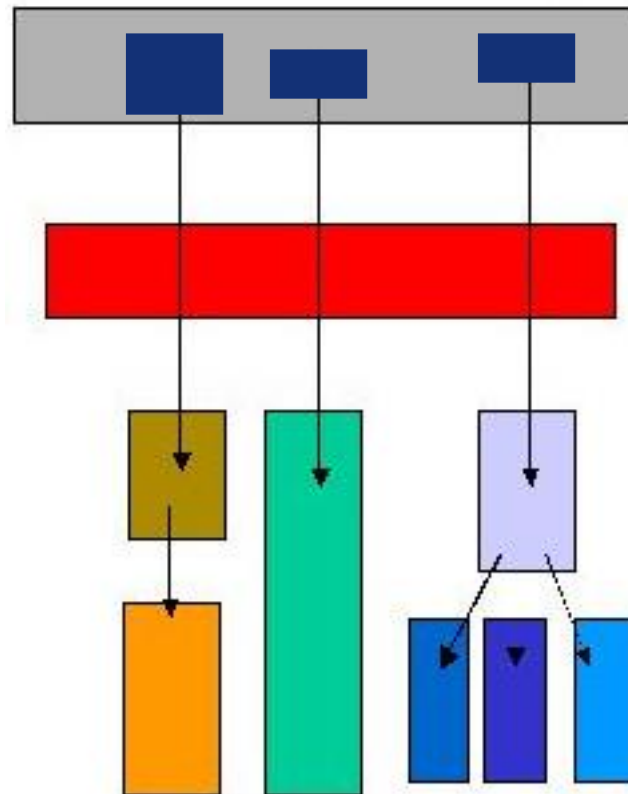**Users**

Central Citizen Register

Other authorities

Businesses

Police, customs

Other Registers

Local Registers

State Register

16 x

State Register

State Register

Including automatic de-registration

Users

Other authorities

Businesses

Police, customs

Other Registers

ISA²
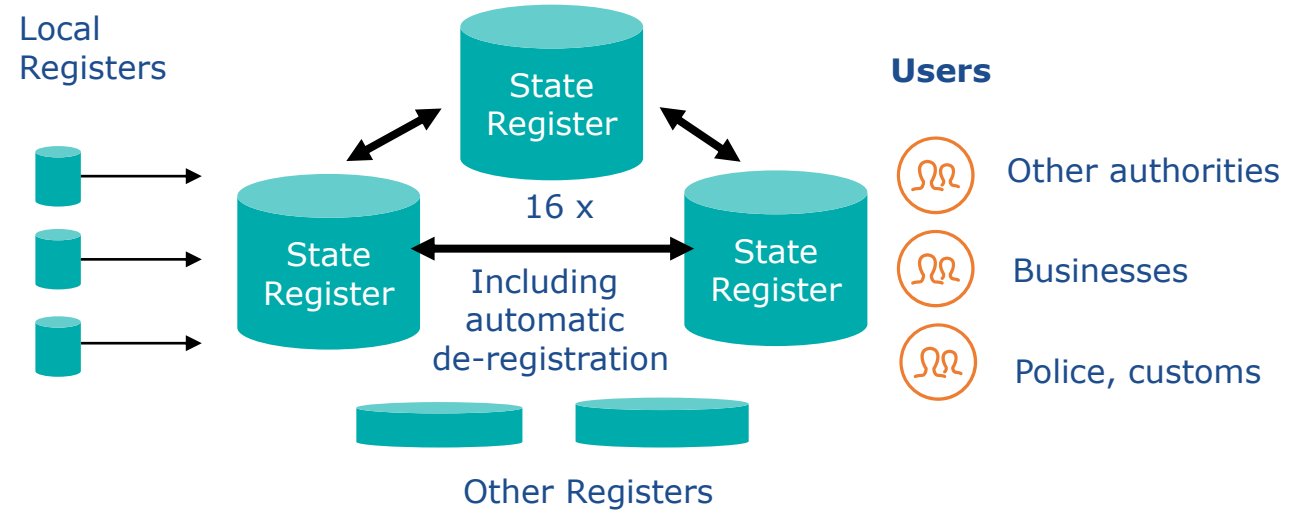
Horizontal integration:

Multiple services bundled according to life events

e.g. different services according to a life situation

Integration of secondary services

e.g. electronic payment, digital signature, etc

e.g. integration of different stages, provided by different agencies: application for child benefit started in the hospital, forwarded to the registration office and then to social benefit and tax office

Vertical integration

Front-office and back-office at all stages of the value chain

Break-out sessions questions

1. **What decisions need to be taken in order to achieve organisational interoperability**?

2. How do implementations of organisational interoperability **differ across different service domains**? What factors need to be taken into account?

3. **What do you struggle with most in relation to the concept of organisational interoperability**? Where do you need more guidance?

4. **For a particular integrated public service project – please fill out the provided table**:

    a) Level at which interoperability was provided

    b) Basic organisational structure pursued (and why)

    c) Instruments used to formalize organisational relationships

    d) Assessment of project success (and reasons)

5. **What instruments did you use to formalise your organisational relationships** (Business Process models,, Service level agreements, other…). Please describe what was included in these agreements

Remember

Guidelines for break-out sessions:

1. You will work in sub-groups (based on the color of your sticker) for 1h30
2. You will discuss the different questions that will be shown on the screen and complete a reporting template on a flipchart (capturing the group's discussion)
3. Each group will designate one rapporteur who will present the main discussion points in plenary;
4. Golden rules:
   a) Everyone has an equal voice;
   b) Listen to others;
   c) Respect the topic which is currently discussed;
   d) No mobile, no e-mail

BONUS: If you have additional input you would like to provide, feel free to fill in the handouts you were provided at the beginning of the workshop.

Integrated Public Service Governance

EIF Conceptual Model and Descriptions

1 **Interoperability Governance**

Refers to decisions on interoperability frameworks, institutional arrangements, organisational structures, roles and responsibilities, policies, agreements and other aspects of ensuring and monitoring interoperability at national and EU levels.

2 **Organisational Interoperability**

Refers to the way in which public administrations align their business processes, responsibilities and expectations to commonly agreed and mutually beneficial goals.

3 **Integrated Public Service Governance**

Integrated public services refer to the result of bringing together government services so that citizens can access them in a single seamless experience based on their wants and needs.

Different constellations and kinds of governance

The effectiveness of a concrete governance model depends on what has to be governed, i.e. the decisions and the decision makers

Three aspects are most relevant to classify different governance constellations according to Kubicek, Cimander and Scholl

- The kind of Interoperability (layers in EIF 3.0)

- What has to be made interoperable

  o Multi-service exchange
  o Multi-stage exchange
  o Multi-area exchange
  o Multi-file exchange

Who has to governed, in particular levels of government and private parties

Exchange of data between	European	National	Regional/ State	Local	Private
European	EURES, Single Digital Gateway…				
National					
Regional/State		Citizens registration / Health services			
Local					
Private					

Previous research on Integrated Public Service Governance

Objective: to develop guidelines and models to help administrations implement the integrated public service governance concept that appears in the EIF.

Research design: Case study in 8 Member States to map organisations according to the 4 governance layers structure, and scope the governance structure for the provisioning of eProcurement services.

- ▪ EU Member States: Belgium, Denmark, Italy, Lithuania, Portugal, Poland, Norway and Spain.

Examples in Public procurement: Governance Functions for public procurement

- Legislation on e-procurement
- Governance bodies responsibilities
- Monitoring interoperable e-procurement service provisioning
- EU bodies representation
- Develop and maintain standards
- Standards development and maintenance participation and representation: Act as national PEPPOL authority
- Ensure dialogue with users
- Perform e-procurement procedures / negotiate contracts
- Provide transparency database on public contracts
- Strategy for e-procurement and interoperability in public service provisioning
- Monitoring and supervising public tenders and procurement contracts
- Engage and coordinate with stakeholders
- Provide interoperability and/or e-procurement frameworks
- Develop and maintain standards for interoperable e-procurement services
- Develop and maintain the e-procurement platforms services
- Support e-procurement users and disseminate knowledge
- Accreditation and security checks of procurement platforms

ISA²

Example: Access to Base Registries in Ireland

Base Public Administration **Registries** are one of the fundamental pillars of modern eGovernment and public administration, i.e. of the process of digitising public administration.

Base Registries provide public servants, institutions of public and municipal administrations, and commercial and other entities with controlled access to information about citizens and relations between citizens and the various entities.

The Irish e-Government Strategy 2012-2015: Supporting Public Service Reform, emphasised the continuation of improving e-services, as well as ensuring the possibility of the re-use of Public Sector Information (PSI) through a number of actions. In terms of base registries' interoperability, the most relevant actions are
- **Action 40:** tackles the 'Once-Only' Principle (OOP), stating that public bodies will promote practices and procedures that enable single point of data capture for the use across systems, both within and across organisations.
- **Action 41:** ensures that when new e-Government services are being developed, these will, where appropriate, be designed to support cross organisational data sharing opportunities and facilitate interoperability.
- **Action 42:** states that public bodies must make data which is of high demand from other public bodies available across Government Networks for re-use, as appropriate and where legally permissible, to minimise data duplication and promote data-sharing.

The Irish Public Service ICT Strategy identified 5 key strategic objectives which have been built into a roadmap; in the context of base registries, the primary applicable strategic objectives is Data as an Enabler, consisting of five key focus areas:
- common data model,
- data management,
- data infrastructure,
- data insight and
- data protection.

1. Build to Share

2. Digital First

3. Data as an Enabler

4. Improve Governance

5. Increase Capability

Example: Access to Base Registries in Austria

Base Public Administration **Registries** are one of the fundamental pillars of modern eGovernment and public administration, i.e. of the process of digitising public administration.

Base Registries provide public servants, institutions of public and municipal administrations, and commercial and other entities with controlled access to information about citizens and relations between citizens and the various entities.
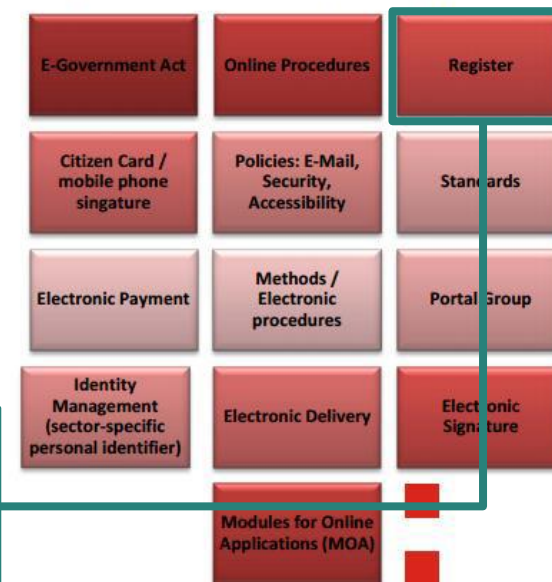
The Austrian Interoperability Framework (AIF) states that "the most important components of the conceptual model are base registries that provide reliable sources of basic information on items such as persons, companies, vehicles, licences, buildings, locations and roads. Such registries are under the legal control and maintained by public administrations, but the information should be made available for wider re-use with the appropriate security and privacy measures."

Administration of the main base registries in Austria takes place at the national level through their respective Ministries/Authorities.

Together with the AIF, the Austrian e-Government ABC is an important interoperability enabler offering a detailed summary of the Austrian e-Government strategy, including the tools and components it relies on and the challenges it faces. It analyses the legal, organisational and technical framework for e-Government, and states the factors for establishing e-Government services.

Figure 1 Areas in the eGovernment strategy

E-Government Act | Online Procedures | Register
Citizen Card / mobile phone singature | Policies: E-Mail, Security, Accessibility | Standards
Electronic Payment | Methods / Electronic procedures | Portal Group
Identity Management (sector-specific personal identifier) | Electronic Delivery | Electronic Signature
Modules for Online Applications (MOA)

Source: Digital Austria, Federal Chancellery

The strategy dedicates an entire section to base registries, positioning them as a top priority for many e-Governmental applications

Personal information plays a central role in many procedures, the Central Registry for Civil Status (including births, marriages and deaths) was implemented in 2004 and was considered as the key to achieving an optimal flow of procedures with a focus on the one-stop-shop approach.

ISA²

Break-out sessions questions

1. Do you agree with the **relationship between interoperability governance and integrated public service governance** put forward here (as overlapping areas)? How do you understand this relationship between interoperability governance and integrated public service governance?

2. How do **issues and decisions related to integrated public service governance differ across service domain**? 3.

3. Please share a particular **example of an integrated public service project** (please also consider projects which were not successful). For this project, can you provide details of the decisions that had to be made, and who made them for each layer of the EIF (legal, organisational, semantic, technical) in order to ensure interoperability:

   a) How would you assess the success of this project (in particular in relation to the governance and decisions that were made). What were the reasons for this success?

   b) Were there any particular barriers related to governance (e.g. coordinating the actions taken by different decisions makers across the four layers).

   c) What instruments did you use to map out this governance structure?

4. **What do you struggle most with**? What more would you like to learn to implement this concept in your organisation?

ISA²

Remember

Guidelines for break-out sessions:

1. You will work in sub-groups (based on the color of your sticker) for 1h30
2. You will discuss the different questions that will be shown on the screen and complete a reporting template on a flipchart (capturing the group's discussion)
3. Each group will designate one rapporteur who will present the main discussion points in plenary;
4. Golden rules:
   a) Everyone has an equal voice;
   b) Listen to others;
   c) Respect the topic which is currently discussed;
   d) No mobile, no e-mail

BONUS: If you have additional input you would like to provide, feel free to fill in the handouts you were provided at the beginning of the workshop.

ISA² programme
You click, we link.
Stay in touch

ec.europa.eu/isa2

🐦 **@EU_isa2**   💼 **ISA² Programme**   ▶️ **ISA² Programme**

✉️ **digit-isa2-comm@ec.europa.eu**

Run by the Interoperability Unit at DIGIT (European Commission) with 131€M budget, the ISA² programme provides public administrations, businesses and citizens with specifications and standards, software and services to reduce administrative burdens.

Thank you!