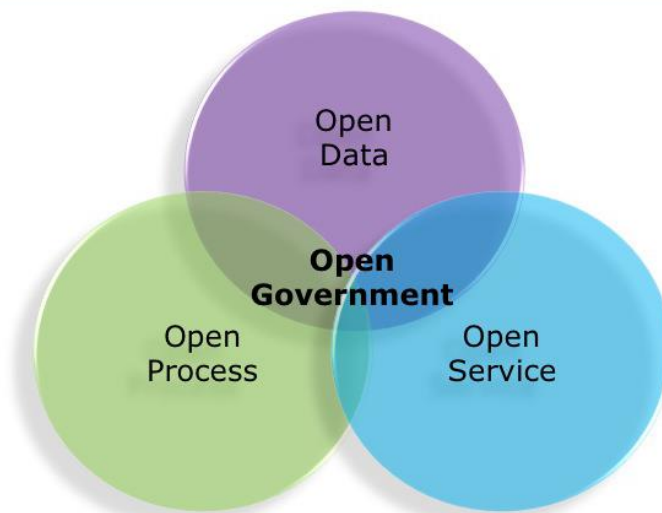




European  
Commission

# Towards faster implementation and uptake of open government



## **FINAL REPORT**

A study prepared for the European Commission

DG Communications Networks, Content & Technology by:



*Digital  
Single  
Market*

**This study was carried out for the European Commission by**



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## **ABSTRACT**

This study was aimed at supporting the European Commission in the development of the new dynamically evolving eGovernment Action Plan 2016-2020 and how to make it more open and involve citizens in its development. The study consists of four major parts:

- A study describing the current landscape of existing open government initiatives. This included defining 'open government', collecting existing open government practices and identifying existing digital enablers, drivers and barriers of open government;
- A report with recommendations on the effective policy mix on how to increase the uptake of open government practices across Europe. We described the recommendations and structured them around several high-level policy objectives;
- A report with a methodology for the Action Plan that will be supported through the stakeholder consultation platform Futurium-eGovernment4EU. The methodology covers the process from submitting needs by citizens to eventually implementing the actions in different Member States and monitoring their progress; and
- A report on designing a stakeholder engagement and communication plan which describes how to inform the different stakeholders and to create awareness in order to attract stakeholders to Futurium. Furthermore, it also describes on who to focus the communication in the different Member States.

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## **ABSTRACT (FRENCH)**

Le but de cette étude était de supporter la Commission européenne dans le développement du nouveau Plan d'Action 2016-2020 concernant les gouvernements digitaux, afin de permettre son évolution de manière dynamique, le rendre plus ouvert et impliquer les citoyens dans son développement. Cette étude est décomposée en quatre parties :

- Une étude décrivant le contexte actuel concernant les initiatives de gouvernements ouverts. Ceci inclut la définition du concept, une collection de pratiques existantes et l'identification des catalyseurs digitaux, actionneurs et limiteurs de gouvernements ouverts;
- Un rapport formulant des recommandations concernant la politique appliquée pour augmenter l'adoption de pratiques de gouvernements ouverts en Europe. Le rapport définit ces recommandations et les structure autour cinq objectifs;
- Un rapport concevant la méthodologie pour le Plan d'Action supportée par la plateforme de consultation publique Futurium-eGovernment4EU. La méthodologie couvre le processus depuis la soumission de « besoins » par les citoyens jusqu'à l'implémentation des actions dans différents Etats Membres et leur suivi; et
- Un rapport définissant un plan de communication et d'engagement à destination des acteurs concernés décrivant comment les informer et les sensibiliser à utiliser Futurium. Le rapport décrit également quels acteurs doivent être ciblés dans les différents Etats Membres.

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## 1 INTRODUCTION

This report provides an overview of the work performed under '*SMART 2015/0041 - Towards faster implementation and uptake of open government*'. This contract included the following work packages, of which each one consisted of one or more deliverables:

- WP 1 – Towards the faster implementation and take-up of open government:
  - D1 – Report on the current landscape of innovative, open and collaborative government in Europe.
  - D2 – Recommendations on the effective policy mix.
- WP 2 - Developing a methodology for the design and implementation of the new dynamically evolving eGovernment Action Plan and its supporting digital platform:
  - D3 - Report on the methodology for the design and implementation of the new dynamically evolving eGovernment Action Plan and its supporting digital platform.
- WP 3 – Support to the stakeholder engagement and effective communication for the dynamically evolving eGovernment Action Plan:
  - D4 - Stakeholder Engagement and Communication Plan.

In this final study report the main conclusions and take-aways are presented.

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## 2 WP 1 - TOWARDS THE FASTER IMPLEMENTATION AND TAKE-UP OF OPEN GOVERNMENT

The first part of the Work Package consists of a study defining the different aspects of open government, identifying innovative, open and collaborative government initiatives to get an insight in the landscape of open government practices. The study concludes with recommendations on policy instruments to increase the uptake of these initiatives.

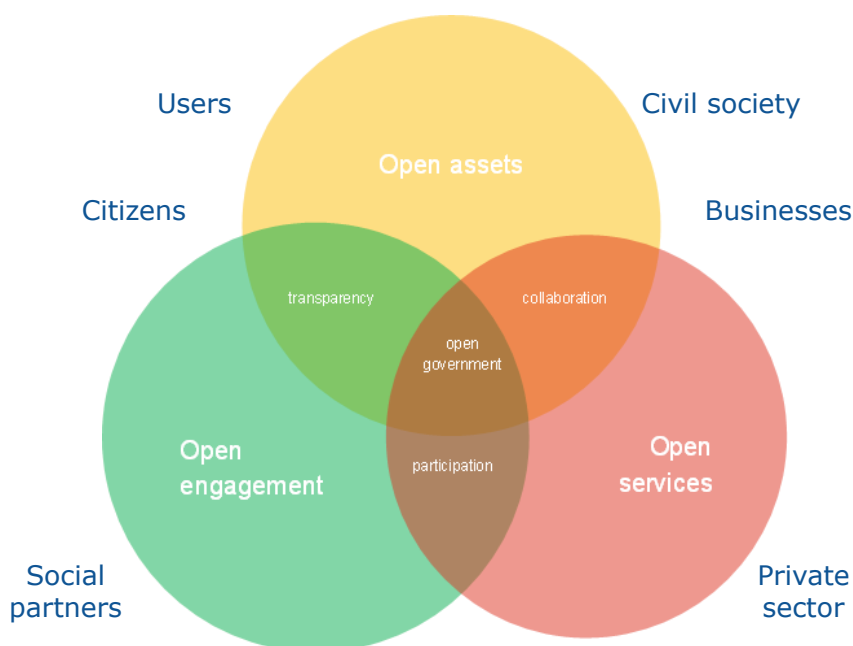
### 2.1 D1 – Report on the current landscape of innovative, open and collaborative government in Europe

#### 2.1.1 Defining open government

First of all, a short summary of definitions will be provided in order to set clear boundaries to the meaning of the different aspects. Open government is a very broad concept which can include many different aspects and can involve many different partners. Based on the analysis in the paper 'A vision for public services' [EC13] the following definition of open government is used in this study:

**Open government** refers to public administrations breaking down existing silos, opening up and sharing assets - making data, services and decisions open – enabling **collaboration** on public service design and delivery and increasing **participative** forms of policy making. It is based on the principles of **transparency, collaboration, and participation**; functioning within an open governance framework.

An open governance framework (Figure 1) is introduced in order to structure the different initiatives.



**Figure 1: Open Governance Framework [EC13, MJ14]**

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The Open Governance Framework, depicted in Figure 1, allows defining specific aspects of open government related to opening up policy making, public services, and government assets:

**Open engagement** refers to *opening up the processes for public policy making to the whole of society, including civil society, businesses, labour unions, or even individual citizens*. Open processes for policy making entail by better *informing* society of ongoing policy initiatives, conducting *public consultations* of policy initiatives, and even allowing the whole of society to *actively participate and propose ideas* for future public policy.

**Open services** refers to *digital public services that can be re-used by other public administrations or eventually by third parties in order to provide value-added services* via a mechanism of service composition. Open services necessitate a proper design of digital public services. The design principles of service oriented architecture (SOA) can prove useful: modular, decomposed services, interoperability through an application programming interface (API), and loose coupling.

**Open assets** can be defined as *government data, software, specifications and frameworks that are open so that anyone can freely access, use, modify, and redistribute its content with no or limited restrictions such as commercial-use or financial charges*.

Opening up policy making, public services, and government assets can lead to more **transparency, participation, and collaboration:**

**Transparency** refers to *disclosing relevant documents and other information on government decision making and government activity to the general public in a way that is relevant, accessible, timely, and accurate*. Relevant and accessible implies that information should be comprehensible, in an appropriate format (for reuse) and tailored to the specific need of different audiences. Timely and accurately indicates that information should allow relevant stakeholders the necessary time to analyse, evaluate and engage into collaboration. The information should be up-to-date, accurate, and complete.

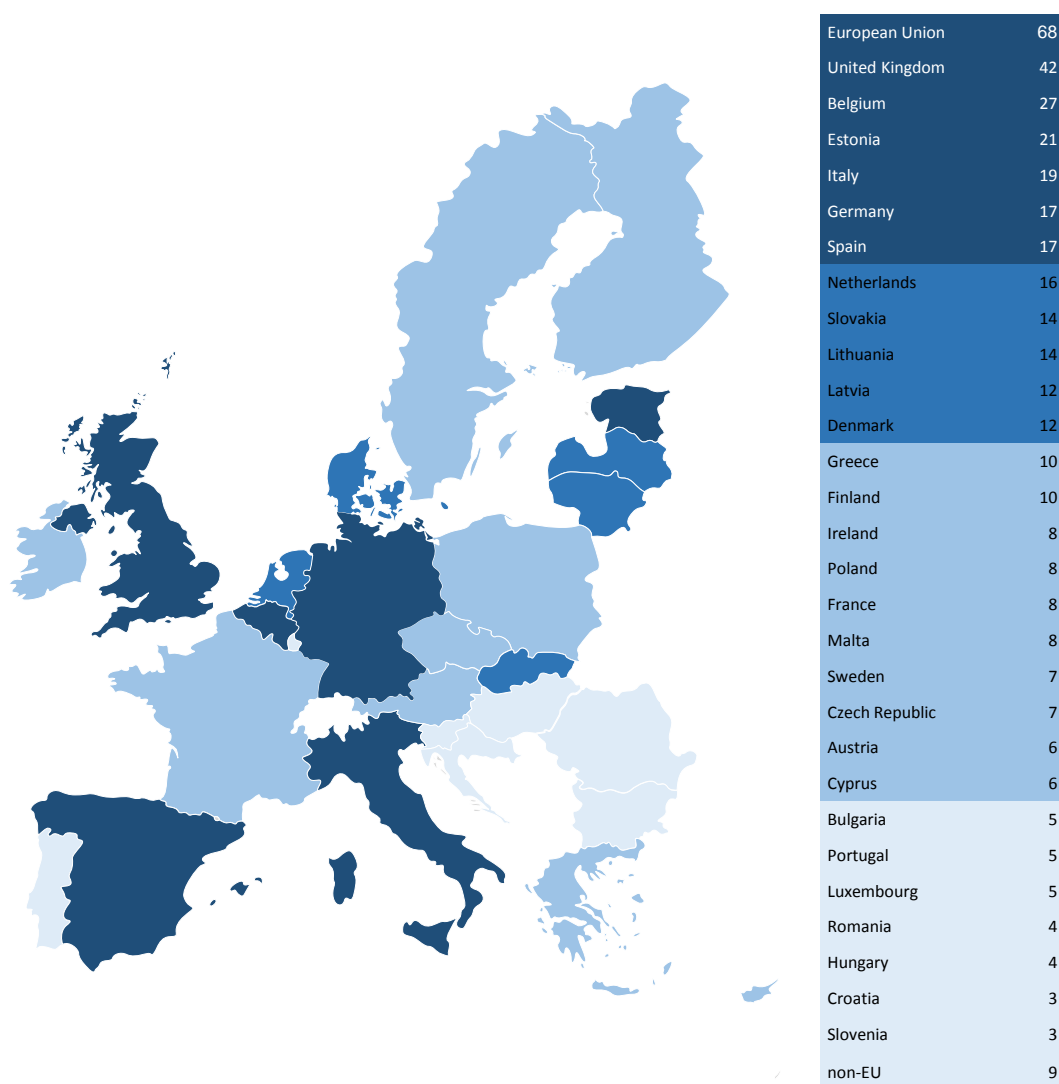
**Participation** in policy making happens when governments open up governmental decision making towards citizens, businesses, and public administrations to ensure an open process for participation with the aim at enhancing public value.

**Collaboration** on public services indicates that government pursues collaboration with third parties in order to deliver added value in public service design and/or public service delivery. Collaboration with everyone uses shared resources, taps into the power of mass collaboration on societal issues, and proposes innovative, distributed and collective intelligent solutions. Collaboration is also related to the concept of service-oriented principles of reuse, composition, and modularity of a service. With the addition of new services, new (public) value is proposed to users. This value does not only relate to creating private value for new businesses, but also to creating public value, i.e. value added for society.

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## 2.1.2 Describing the open government landscape in Europe

The starting point for describing the open government landscape in Europe consisted of actively searching good examples of open government initiatives. Based on desk research and several interviews that were conducted with experts in the landscape of open government, we were able to identify nearly 400 practices across the different Member States. Each one of those was classified within the open governance framework which was presented in Figure 1, while taking into account the definitions which were listed in section 2.1.1. The practices can be found via a web application<sup>1</sup> which was developed in the context of this study. In Figure 2 an overview is given of the amount of practices found in each Member State.



**Figure 2: Identified practices per country**

Based on an analysis of the identified practices, we were able to draw some conclusions on the landscape of open government in Europe. However, it is important to mention, that we cannot ensure that all practices in Europe have been discovered

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<sup>1</sup> <http://opengov.testproject.eu/>

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and listed. Therefore, the results presented below can only be seen as indicative, since our dataset is not necessarily representative for Europe as a whole.

- **There are practices of open government in all 28 EU Member States and in the EU institutions.** Open government practices, in a one or the other form (open asset, open engagement, and open services) are present in all EU Member States and on a European level.
- **The majority of practices are about opening up government assets and public services.** There are less practices about opening up policy making. Open government is still very much focused on opening assets. Participation and open engagement, which require high degree of citizen involvement and more transparency, are less available.
- **All phases of the delivery lifecycle (design, implement, monitor and evaluate) are represented.** But the majority focuses on implementation of public services. The other practices allow citizens to co-design, monitor, or evaluate public services delivered by the government.
- **Most practices cover the executive branch of the government.** The greatest number of practices are within the executive branch of the government. The largest part of these practices are classified as government and public sector, this includes many initiatives like open data portals, citizen participation and collaboration initiatives and several initiatives that aim at improving interoperability between public administrations. Secondly, several initiatives could also be classified in the economy and finance domain, initiatives in this domain where mostly related to creating transparency in the domain of public spending and procurement contracts, but also some participatory budgeting initiatives where identified. Only a smaller amount of practices engage citizens and businesses in legislative public consultation or judicial matters.
- **The majority of practices are delivered by national public administrations.** Open government does not necessarily imply that public administrations are always the leader or driving force of the initiatives, governments can also act as an enabler of open government or even play a passive role. However, most often public administrations and more specifically national authorities are still delivering most practices to citizens and businesses. Not only by taking the lead, but also by taking the important role of enabler by allowing third-parties to tap into public assets. However, some interviewees mentioned they believe more practices are delivered on a regional and local level and that the results presented here can be biased since these initiatives are often hard to find. From our dataset, we see that in countries with high digitisation levels and larger amounts of users, eGovernment and open government initiatives are more often pushed by the government, while countries with lower digitisation levels and lesser users are characterised by initiatives that are more often pushed by third parties like NGOs.
- **Practices can be found in all sectors of government.** Based on the Metadata Registry [EC16b], all practices were classified according to their government sector. The vast majority of practices cover the sector of government and public sector, which covers the internal functioning of

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government, however a considerable amount covers the economic and financial sector of government. Less practices can be found with a specific focus on for example health, agriculture, etc. These practices are mostly implementing public services. In second place the practices are related to economic domains.

- **Open engagement is mostly delivered by national authorities and non-governmental organisations.** Literature study and the identified dataset indicate that most open engagement initiatives are led by national government and non-governmental organisations. However, the interviews point out that engagement works better on small communities because local public administrations are 'closer' to citizens and the level of engagement is more important. This discrepancy may be caused by difficulties to identify local initiatives while national initiatives are often easier to find.
- **Openness towards public administrations versus openness towards third parties.** Openness towards public administrations is mostly geared towards creating more efficiency and reducing costs within the government functioning. This could be done by increasingly automating different services and prefilling forms for citizens, i.e. applying the once-only principle. Openness towards third parties aims at unlocking economic potential of government assets and increasing transparency in the functioning of government. Businesses can increasingly combine public services through APIs and link it to personal data in order to create a more user-friendly and personalised experience.

### 2.1.3 Identifying digital enablers, drivers and barriers

In the context of the study we also performed several interviews with experts in the domain of open government and eGovernment to identify digital enablers, drivers and barriers.

Digital enablers are reusable building blocks that can be used by public administrations or third-parties to compose new digital public services or support open policy making. We identified the following digital enablers for open government:

- **Enabler 1: Authentic sources and open data** - Authentic sources contain the master data of the public sector on entities such as persons, companies, vehicles, licences, buildings, locations and roads. Public administrations should make their authentic sources available to other administrations that can use them in the context of their public task. Authentic sources are a digital enabler for the collaboration between public administrations, making sure that citizens and businesses do not have to provide the same information more than once to the government (once-only principle) when using public services. Similarly, open government data is an enabler for transparency and reuse of government data by citizens and businesses.
- **Enabler 2: Reusable or shared solution building blocks** - Several practices have been identified where governments are opening up public services in the form of *basic solution building blocks* – like a transparency portal, a federated eID solution, an eSignature solution, an eInvoicing solution – that could be reused by other administrations, non-governmental

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organisations, or businesses. Such building blocks are digital enablers for open government.

- **Enabler 3: Standards and technical specifications** - Standards and technical specifications are also identified as an enabler of open government, because they specify stable interfaces for digital public services. For example, the eID interoperability framework under eIDAS provides a federated architecture which enables Member States to be interoperable for the purpose of the cross border use and the authentication through eID between different Member States. Technical specifications to provide the interoperable connections have been developed and are being implemented by the Member States. This will enable large-scale reuse by administrations in the public sector as well as by businesses and citizens in the private sector.

The following drivers have been identified for open government:

- **Driver 1: Democratic aspects: better control of government and better policy making** - A driver for open government is the need to create more open, transparent and accountable services that ensure good governance and trust. Public administrations leaving the tradition of working behind 'closed doors', increasing the control of the public and creating transparency in how they function can ensure accountability and increases trust from citizens and civil society, which enables the government to make improvements in the policy making. Vouliwatch for example is a Greek initiative that allows Greek citizens to engage in legislative politics by sharing ideas, making propositions and sharing experiences and in this regard allow citizens to have a direct influence on the policy making.
- **Driver 2: Better quality of service and enhanced user experience** - Open government approaches such as collaboration on public services are also expected enhance the quality of service and the user experience. An example is the ESD-toolkit, an online portal that offers techniques to public administrations and volunteer organisations to better understand and incorporate citizen insight in the service design phase, but also during the actual delivery of the service in order to align with the user needs and keep the service relevant for the user.
- **Driver 3: Social benefits and public value** - Citizens, businesses and NGOs expect public administrations not only to deliver economic benefits, but also to deliver more social benefits and public value to society. This need also arises as a reaction to the appearance of a crisis, like the current refugee crisis that Europe is confronted with. Several NGOs, public administrations and citizens therefore collaborate in order to create solutions and innovations in order to find an appropriate response to these crises.
- **Driver 4: Cost efficiency** - Like the private sector, public administrations are confronted with an economic climate that forces them to become more efficient and further reduce their administrative burden and as a result make important sustainable budget cuts. This is a pressing issue since governments are increasingly held accountable on how they spend the taxpayer's money. Especially between public administrations there seem to be opportunities to create additional cost efficiencies. For example, the NHS Jobs Portal in the UK,

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shared by more than 500 NHS employers, is a simple example of how collaboration between public administrations on a *shared capability* can create important savings.

- **Driver 5: Economic growth and jobs** - The choice for open, modular and collaborative government approaches is additionally driven by the fact that non-governmental actors (businesses, NGOs and citizens) can reuse and supplement data and services in order to create new businesses and economic growth. Several examples exist of businesses creating services based on government assets or even building value-added services on top of government services in order to make a profit. TransportAPI is one example of a business that offers data aggregation and analytics services on open transportation data in the UK.
- **Driver 6: International mobility** - The increased mobility of citizens and businesses between countries, especially between EU Member States, allows them to move, work and travel everywhere they want. This growing mobility, however, also increases the need for more cross-border public services. The Digital Service Infrastructure (DSI) by Connecting Europe Facility (CEF) provides several building blocks that allows public administrations and private service providers to expand their own online services to citizens from other Member States.
- **Driver 7: Demand from civil society and/or business associations** - Governments are also often driven by requests from non-governmental organisations to become more open and change the way they are managed by demanding for example more accountability and transparency. Additionally industry consortia like Digital Europe or EADS urge governments to cut red tape and demand to be actively involved in the design of public services. Societal pressure can therefore be an important driver for public administrations.

The following barriers have been identified for open government:

- **Barrier 1: Lack of leadership and political commitment** - A major barrier for the transition to open government is the lack of political commitment and leadership, as referred to in most interviews. An open government approach requires a considerable change of mind set. Public sector organisations, but also business associations, and even civil society organisations need to spend considerable additional efforts on opening assets, transparency, collaboration on public services, and participatory policy making. Making this transition requires a strong leadership and political commitment.
- **Barrier 2: Inertia of the status quo** - Due to lack of incentives, cultural differences, or risk-aversion, organisations and individuals portray a certain resistance to bringing about the necessary transition that an open government approach entails. This applies to the public sector, as much as to the private and non-profit sectors.
- **Barrier 3: Lack of financial resources** - Implementing an open government approach and practices often entails investment costs – setting up new organisation structures, people, services, processes, and deploying new technologies – and equally high operational costs – staffing and administrative



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costs. This barrier makes that it is critical for public administrations to prioritise their investments in open government initiatives. For example, countries with large legacy IT system are confronted with a fragmented landscape of government services which hinder the uptake of open government. In order to enable this uptake, large investment costs are required to overcome this, which cannot always be covered in the public sector due to tight budgets.

- **Barrier 4: Lack of institutional and individual capabilities and skills -** The implementation of open government requires different skills (legislative skills and knowledge, communication skills, skills in service design and skills in architecture) and resources. The presence of these skills is required for public servants – but also for people working for civil society organisations or businesses– to effectively implement and support open government initiatives. Several trainings like open government courses or guidebooks on open government can help to overcome this barrier and to obtain and sustain this knowledge in public administrations.
- **Barrier 5: Legal constraints -** Open government can also be constrained by legal constraints. For example issues with data ownership, personal data protection, the lack of licence information or proliferation of different types of data licences, etc. seem to be important hurdles for public administrations to take in order to further open up assets. Furthermore, public procurement regulation seemingly also hinders open government initiatives, since traditional public procurement procedures do not provide the flexibility for government contractors to collaborate with stakeholders and incorporate their feedback in order to make adjustments during the progress of the project and as a result prevents public administrations to take an agile approach on public procurement matters.
- **Barrier 6: Uncertainties regarding sustainability and business model issues -** This barrier refers to the lack of business models that have proven sustainable in the long term in order for businesses to successfully collaborate with public administrations and for creating added-value services and products based on open assets. Most of the business models currently applied have not yet proven their sustainability in the long term, which leaves others reluctant to take the risk of creating products and services based on open government assets.
- **Barrier 7: Legal uncertainties regarding responsibility and accountability -** Increased collaboration between different parties creates difficulties in aligning responsibilities and accountability of all the stakeholders involved during the collaboration and participation, but also when making use of open government assets. The risk of getting assigned blame can therefore withhold public administrations to develop open government initiatives.
- **Barrier 8: Lack of representativeness -** This refers to the few citizens or businesses who actually participate in open procedures for policy making or who collaborate on public service design are not representative for the entire society. The lack of input from underprivileged groups like the unemployed, migrants, or the elderly population is a considerable barrier to the principles of open government and limit the ability of open government approaches to

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contribute to better public policies or better public services. The initiative Idées Paris was, for example, confronted with several district areas being too little represented in the project, which forced them to take additional action to involve all Parisian citizens.

- **Barrier 9: Multilingualism** - Open government initiatives can easily be hindered by not offering them in all the official languages of the target population that it tries to cover. This lack of multilingualism can exclude groups of the target population and prevent them of taking part in the policy making process, to collaborate with public administrations and to make use of open government assets. The Futurium platform is an interesting example since it tries to cover the entire European Union, however, the platform is not offered in all official European languages, which is feared to hinder the uptake by citizens in those regions whose language is not covered.
- **Barrier 10: Lack of common standards and specifications (interoperability)** - An important barrier for open government initiatives to reach their full potential is the lack of interoperability (common standards and specifications) between public administrations. The traditional silo-approach currently prevents public administrations to efficiently and effectively collaborate with other public administrations and external parties. On a legislative level, the implementation of the once-only principle in several EU Member States tries to overcome this barrier, while the Digital Service Infrastructure at a practical level, aims at to create better interoperability by offering interoperable building blocks to public administrations.
- **Barrier 11: Perceived loss of control** - Several public administrations still believe they lose control when they allow citizens and businesses to take part in the policy making or when they have to open up assets or have to make use of systems and services that are not created by themselves. This discourages them to take up an open government approach. The 'Not-invented-here' syndrome is still important in this regard since shared solutions create dependencies between public administrations which may be difficult to manage and takes away freedom to operate of public administrations.
- **Barrier 12: Difficulties identifying and creating demand from citizens and businesses** - Public administrations struggle with identifying and creating demand from citizens, civil society organisations and businesses, which results in the slow uptake of open government initiatives since demand and supply are not always perfectly matched. This can be explained by the difficulty of public administrations to accurately quantify size, value and the potential of public sector information. In the UK for example, a lot of information on public spending is openly published, however, based on the amount of downloads of datasets, its use is still relatively low. Furthermore, many digital public services are still characterised by a low user uptake, compared to the target population the services tries to serve. Knowledge about size, value and potential of open data could better allow to identify and prioritise those datasets that are in real demand of citizens, businesses and NGOs and that could create real value for themselves and for society.

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- **Barrier 13: Lack of trust** - Citizens and businesses need to feel comfortable to share information with public administrations and to collaborate with them in the context of digital public services or to take part in policy making. Additionally, they also need to feel comfortable to use open government assets. Especially uncertainty or mistrust regarding confidentiality, privacy and security seem the large obstacle to prevent citizens and businesses to further collaborate with the government.
  - **Barrier 14: False or unrealistic expectations** - Despite good intentions, some initiatives of open government may trigger false or unrealistic expectations from actors invited to participate in policy making or to collaborate in public service design. For example when citizens participate in the policy making, they may have difficulties understanding why a popular idea among citizens is not accepted by public administrations. The Finnish Citizen's Initiative for instance allows citizens to directly affect the policy making, however, after several years none of the proposed initiatives by citizens have led to significant legislative changes for the Finnish society, much to the disappointment of the participating citizens.
  - **Barrier 15: Poor data quality** - Poor data quality or data that is not fit-for-purpose will dissuade citizens, businesses and other public administrations of using open government data since the results that can be extracted from it or the services that are based upon it will not be trustworthy.

## 2.2 D2 – Recommendations on the effective policy mix

The second part of this report proposes a concrete set of policy instruments to foster the uptake of open government. These policy instruments were identified based on the analysis of practices and the interviews with key stakeholders and address the following high-level policy objectives for open government:

- A more transparent functioning of government;
- Better policy making via enhanced participation;
- Better (digital) public services via enhanced collaboration;
- Unlocking the economic potential of government assets; and
- Supporting the update of open government in general.

Furthermore, a number of accompanying measures are proposed that apply to all aforementioned policy objectives. The policy instruments are furthermore structured according to the **categories** identified in the 'Better Regulation' toolbox [EC14]:

- **Legislative policy instruments:** According to the 'Better regulation guidelines' [EC14], legislative action can be a good starting point when there is insufficient clarity on what is expected.
- **Soft regulation instruments:** Soft regulation *encourages* governments and public administrations to implement or adopt certain rules. Soft regulation includes self-regulation which is about developing codes of conduct or operating constraints in order to develop new initiatives. However, this could also include co-regulation, which includes the collaboration with third parties like civic organisations, NGOs and businesses. Recommendations on the other

hand are aimed at encouraging organisations to act in a certain way without binding them to it. And finally there is the promotion of technical standards, set out by standardisation bodies, in order to create a common understanding between different organisations.

- **Education and information:** The objectives of open government can be attained by ensuring that citizens, businesses and, maybe even more important, civil servants are better informed on open government.
- **Economic instruments:** The objectives of open government can be reinforced via a number of economic or market-based instruments [EC14] such as regulation on fees, grants, etc.

Table 1 provides an overview of the recommended policy instruments for open government structured by the aforementioned policy objectives and categories. The table also indicates to which type of stakeholder the recommendation applies.

**Table 1: Overview of policy instruments for open government**

Policy objective	Category of policy instruments [EC15i]	Recommended policy instrument	Supra-national	National authority	Regional authority	Local authority	Businesses	NGOs	Citizens
<b>A more transparent functioning of government</b>	Legislative policy instrument	Recommendation 1: Take further legislative action on 'access to information'	✓	✓	✓				
	Soft regulation	Recommendation 2: Prioritise and follow-up on commitments for publishing government information of high democratic value	✓	✓	✓	✓			
	Education and information	Recommendation 3: Align practices for government records management	✓	✓	✓	✓			
<b>Better policy making via enhanced participation</b>	Soft regulation	Recommendation 4: Prioritise and make commitments on participation in policy making	✓	✓	✓	✓	✓	✓	✓
	Soft regulation	Recommendation 5: Enhance usage of participatory ICT to enhance youth-government	✓	✓	✓	✓	✓	✓	✓

Policy objective	Category of policy instruments [EC15i]	Recommended policy instrument	Supra-national	National authority	Regional authority	Local authority	Businesses	NGOs	Citizens
		communication and interaction							
<b>Better (digital) public services via enhanced collaboration</b>	Legislative policy instrument	Recommendation 6: Take further legislative action to reinforce the once-only principle	✓	✓	✓				
	Soft regulation	Recommendation 7: Identify the ICT standards and technical specifications that can define stable interfaces for digital public services	✓	✓	✓	✓	✓	✓	✓
	Soft regulation	Recommendation 8: Develop and apply open methodologies, licence agreements, and methodologies for collaborative public service design	✓	✓	✓	✓			
	Education and information	Recommendation 9: Collaborate to build a shared infrastructures of reusable, decomposed digital services based on open standards	✓	✓	✓	✓			
<b>Unlocking the economic potential of government assets</b>	Soft regulation	Recommendation 10: Prioritise to make high-value datasets and other intellectual property open for reuse	✓	✓	✓	✓	✓	✓	✓
	Soft regulation	Recommendation 11: Support new data ecosystems	✓	✓	✓	✓	✓	✓	✓
<b>Supporting the uptake of open government</b>	Soft regulation	Recommendation 12: Develop an action plan for open government	✓	✓	✓	✓			

Policy objective	Category of policy instruments [EC15i]	Recommended policy instrument	Supra-national	National authority	Regional authority	Local authority	Businesses	NGOs	Citizens
	Education and information	Recommendation 13: Create a community feeling, disseminate practices and experts, organise meet-ups	✓	✓	✓	✓	✓	✓	✓

The recommendations on policy instruments are not standing on their own, but must be combined and tailored to the specific context in which they are applied. An effective mix of policy instruments mitigates the risks and strengthens the drivers. Often an effective policy mix is a combination of a legal instrument with a number of accompanying measures in the area of soft regulation, information and education, or economic instruments.

The following sections list a number of recommended policy instruments, structured around the four high-level policy objectives.

### 2.2.1 A more transparent functioning of government

- **Recommendation 1: Take further legislative action on 'access to information'** - To reinforce transparency of government, existing legislation could be further strengthened to expand the rights of citizens to request access to government information or even oblige public administrations to proactively make information available related to for example government contracts, government spending, meetings of politicians and high-placed officials, etc.
- **Recommendation 2: Prioritise and follow-up on commitments for publishing government information of high democratic value** - In addition to strengthening access to information legislation, governments could adopt a policy of self-regulation and co-regulation whereby they encourage administrations to make information of high democratic value available by default. This information could include information on government spending, government contracts, meetings of politicians and high-placed government officials.
- **Recommendation 3: Align practices for government records management** - To make governments more transparent and accountable, governments can consider to move towards a more consistent practice of records management by putting in place the proper organisational structure, organisational policies, procedures, metadata standards, and software tools. This ensures that the decisions and actions of administrations (ideally in all branches of government) are consistently documented and can be found and retrieved more easily in application of 'access to information' requests by citizens. As a side effect, this may also improve the efficiency and effectiveness of underlying administrative processes by creating more interoperability.

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### 2.2.2 Better policy making via enhanced participation

- **Recommendation 4: Prioritise and make commitments on participation in policy making** - Depending on the policy domain it may make sense for governments to proactively support large-scale participation in policy making.
- **Recommendation 5: Enhance usage of participatory ICT to enhance youth-government communication and interaction** - ICT-enabled participation is believed to be particularly effective with the young population. Hence, the recommendation to use ICT means to engage youth participation in specific policy areas.

### 2.2.3 Better (digital) public services via enhanced collaboration

- **Recommendation 6: Take further legislative action to reinforce the once-only principle** - If governments decide to open up public services towards other public administrations, citizens, and businesses, authentic sources (also called base registers) are probably the best place to start. Authentic sources contain basic information related to natural persons, legal entities (and their branches), and geographical data (administrative units, addresses, cadastral parcels, buildings, roads, etc.) that is typically needed in a large number of different public services. Authentic sources can become an enabler of the once-only principle; ensuring that citizens and businesses only need to provide the same information once to an administration. Member States and the EU should therefore take further legal initiatives to designate authentic sources, and make the use of authentic sources by other public administrations a right and even an obligation.
- **Recommendation 7: Identify the ICT standards and technical specifications that can define stable interfaces for digital public services** - When opening up digital public services, governments need to ensure that these public services are based on **stable application programming interfaces** (APIs) such that other administrations or businesses who use these digital public services can rely on them not to change too frequently, triggering expensive additional development efforts. Furthermore, it is important that these APIs are based on **open standards and technical specifications** and not on proprietary technology. This ensures that all actors can access the digital public services without excessive restrictions, which basically limits the risk of ICT vendor lock-in. To attain this, governments need to promote standards-based ICT procurement and agree on a (limited) list of standards and technical specifications to which digital public services should comply.
- **Recommendation 8: Develop and apply open methodologies, licence agreements, and methodologies for collaborative public service design** - When designing public services, public administrations can best follow a *predefined* procedure for collaboration and make sure that it is known to all participants. Similarly, it is important to have predefined contributor licence

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agreements on have clarity on intellectual property rights before starting the collaborative work.

- **Recommendation 9: Collaborate to build a shared infrastructures of reusable, decomposed digital services based on open standards** - Public administrations are still too often reinventing the wheel when it comes to ICT solutions for digital public services. Building a shared infrastructure of reusable, and decomposed, digital public services will allow public administrations to deliver better public services with less costs. Furthermore, open digital public services – preferably based on open standards – will also allow businesses and social profit organisations to create economic and societal added-value services.

#### 2.2.4 Unlocking the economic potential of government assets

- **Recommendation 10: Prioritise to make high-value datasets and other intellectual property open for reuse** - To unlock the economic potential of open data, it is important that measures are taken on the supply side to make high-value datasets truly open for reuse. This means among others that governments prioritise their open data efforts by identifying high-value datasets, and make sure that high-value datasets are available under an open licence, in (multiple) machine-readable formats, can be reused without restrictions, and can be easily found on data portals based on standardised metadata descriptions.
- **Recommendation 11: Support new data ecosystems** - It is also important that measures are taken on the demand side to support the creation and management of new data ecosystems

#### 2.2.5 Supporting the uptake of open government in general

- **Recommendation 12: Develop an action plan for open government** - A strategy in the form of an action plan is a critical success factor in moving forward with the implementation of open government. The strategy should not only encompass the public sector, but also include actions to closely involve civil society and businesses. Furthermore, an action plan would allow to frame (all previous) recommendations within a nation-wide strategy that allows to interlink the different recommendations.
- **Recommendation 13: Create a community feeling, disseminate practices and experts, organise meet-ups** - An important measure that can be put in place to spread open government is to spread knowledge about it. As we wrote earlier, one barrier to adopt open government is the resistance to change. This resistance will be stronger if knowledge about open government is weak. This implies that knowledge sharing, to citizens and public servants, is important. This can be done, for instance, through workshops, (online) courses and via experts in the open government domain.

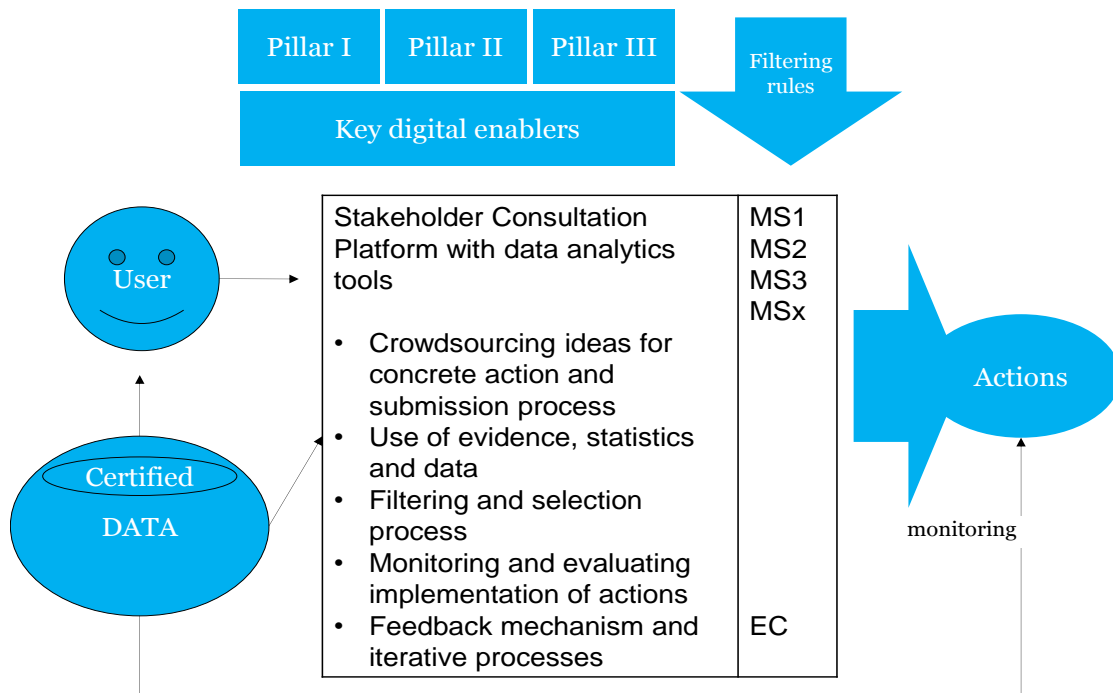


### 3 WP 2 - DEVELOPING A METHODOLOGY FOR THE DESIGN AND IMPLEMENTATION OF THE NEW DYNAMICALLY EVOLVING eGOVERNMENT ACTION PLAN AND ITS SUPPORTING DIGITAL PLATFORM

#### 3.1 D3 - Report on the methodology for the design and implementation of the new dynamically evolving eGovernment Action Plan and its supporting digital platform

This report outlines the methodology for a dynamically evolving eGovernment Action Plan. This includes an the approach to design the methodology, the associated concepts and the involved actors, together with an assessment of the extent to which the methodology is supported by the existing stakeholder consultation platform Futurium –eGovernment4EU<sup>2</sup>. Specifically, the outlined methodology proposes a process for the definition of needs and elaboration of corresponding actions by stakeholders, a set of criteria for the selection of proposed actions, a feedback mechanism for adjusting existing actions through monitoring, evaluation and refinement, and a way of measuring success at the policy level.

Figure 3 provides a preliminary high-level overview of this methodology.



**Figure 3: Platform for the new dynamically evolving eGovernment Action Plan**

A gap analysis between the stakeholder consultation platform and the proposed methodology was a secondary objective of this work. Gaps in functionality of the online platform were identified and corrective improvements analysed and proposed to the IT Unit of DG CONNECT.

<sup>2</sup> <https://ec.europa.eu/futurium/en/egovernment4eu>

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### 3.1.1 Design principles

In order to create a good methodology, we first identified a set of design principles to which we need to comply with. The design principles for the developed methodology are highlighted in the following points:

- The methodology for the new eGovernment Action Plan fully supports a **participatory approach** in the definition of actions thanks to a stakeholders' consultation platform;
- The methodology defines steps requiring **the regular and goal-driven interaction** between EU citizens and businesses and EU public administrations. More specifically, regular advice on the discussed needs and/or proposed actions is provided by the moderator of the Futurium platform, who makes sure that ideas are expressed in a clear manner and their practicality is justified. Furthermore, as outlined above, formal **constructive feedback** is also provided by the Action Plan steering board which is entrusted with the selection of proposals;
- The whole process defined in the methodology is **transparent** to all stakeholders. Transparency is achieved through the feedback mechanisms, through publically available **action selection criteria**, and finally, through the **publication of the results** of the monitoring of actions on Futurium;
- The developed methodology assures that the eGovernment Action Plan can be **dynamically evolving**. This dynamic evolution is achieved via the possibility to continuously add actions to the Action Plan depending on the proposals for actions made by the stakeholders on Futurium. Furthermore, it is achieved by the continuous monitoring and regular evaluation of executed actions. Based on this monitoring, the European Commission may decide to refine or remove some actions which have become obsolete;
- Since each selected action involves at least three Member States and/or European Commission DGs, this methodology implies that Member States will **collaborate** and thus learn from each other. This is expected to lead to the desired comparable levels of eGovernment in the EU; and
- Last but not least, this methodology defines an **approach for the evaluation of the performance** of the eGovernment Action Plan at the policy level, in view of policy priorities, and proposes yearly targets for the Action Plan aligned with the eGovernment Benchmarking Study. This approach in itself provides a great example of data reuse.

### 3.1.2 Concepts

The concepts in the process design of this methodology are defined below while the links between these concepts are visually represented in Figure 4. The meaning of each introduced concept is clarified below.

- The concept **need** is defined as an issue with public administration services perceived by the stakeholders. On the eGovernment stakeholder consultation platform, a need is expressed as a short contribution that may be further elaborated on by the community and may lead to a proposal for an action;

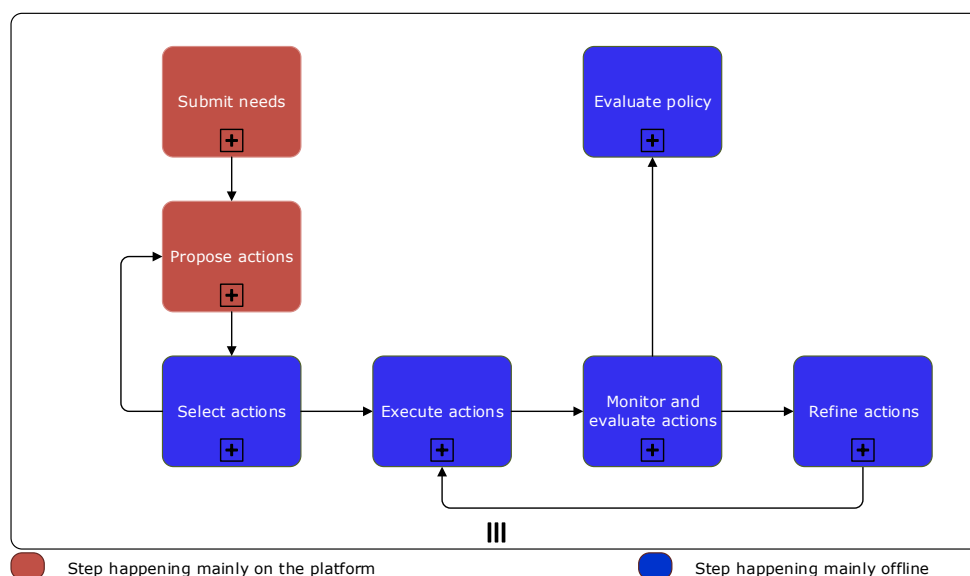
- A **proposed action** is defined as a problem (i.e., need) and an articulated solution for this problem. Ideally, a proposed action would have a clear objective and a concrete policy instrument. In most of the cases, however, it is expected that stakeholders submit proposed solutions to a need, while the concrete policy instrument of the action needs to be identified by the implementers. For instance, a realistic need in eGovernment is the full-end-to-end delivery of a public service online. Stakeholders might propose an increased take up of electronic identification (i.e., eID) as a solution to this need, however, it is expected that most of the time stakeholders might not have the necessary knowledge to propose a concrete action on how to proceed. Finally, a proposed action may or may not be selected for implementation;
- An **evidence** is a dataset, report, etc. supporting the evaluation (ex-ante or ex-post) of an action;
- A **criterion (or eligibility criterion)** is a principle according to which proposed actions are evaluated; and
- A **data source** is a source for the evidence.



**Figure 4: Preliminary model of concepts used in the methodology.**

### 3.1.3 Methodology

Based on the definitions of the design principles and the different concepts, the methodology was outlined. In Figure 5, the high level process is outlined. Next to this high-level process, each step was further elaborated on in order to provide a full overview of what each step exactly entailed.



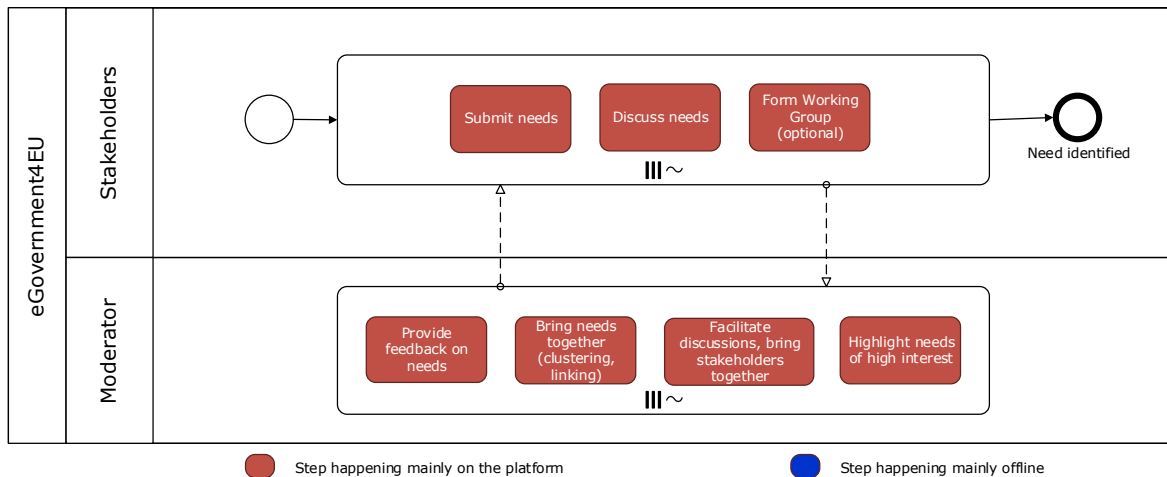
**Figure 5: Diagram of the high-level steps in the methodology**

The methodology aims at optimising the stakeholder experience in the submission process, as it is a critical step to make the management of the dynamic eGovernment Action Plan open, participatory (i.e., allowing for co-creation and community building), multidisciplinary, flexible and scalable. Other design principles considered in the methodology for the dynamic eGovernment Action Plan are simplicity, self-assessment, and inclusiveness.

### 3.1.3.1 Submit needs

The submission of needs includes the following steps and actors:

1. Stakeholders submit needs;
2. In some cases, stakeholders discuss the submitted needs;
3. The moderator provides feedback on submitted needs;
4. The moderator brings similar needs together and opposes contrasting needs;
5. The moderator facilitates the discussions between stakeholders and bring them together;
6. The moderator highlights needs of high interest (according to him or because they are popular amongst users); and
7. The stakeholders will be presented with the option to initiate Working Groups to collaborate on the proposal for an action (Figure 6).



**Figure 6: Diagram of the sub-process 'Submit needs'**

The submission of needs happens according to a lightweight process, which is open to individual citizens, businesses and administrations and allows stakeholders to simply fill in a "problem" section (i.e., need) and the areas to which the need is related (reduce bureaucracy, mobility in the EU, more transparency, technical tool, other), without necessarily having to provide solutions and evidence for relevance and impact.

### 3.1.3.2 Propose actions

Unlike the light-weight submission process characteristic for the submission of needs, the proposed actions follow a 'full' submission process with a complete set of

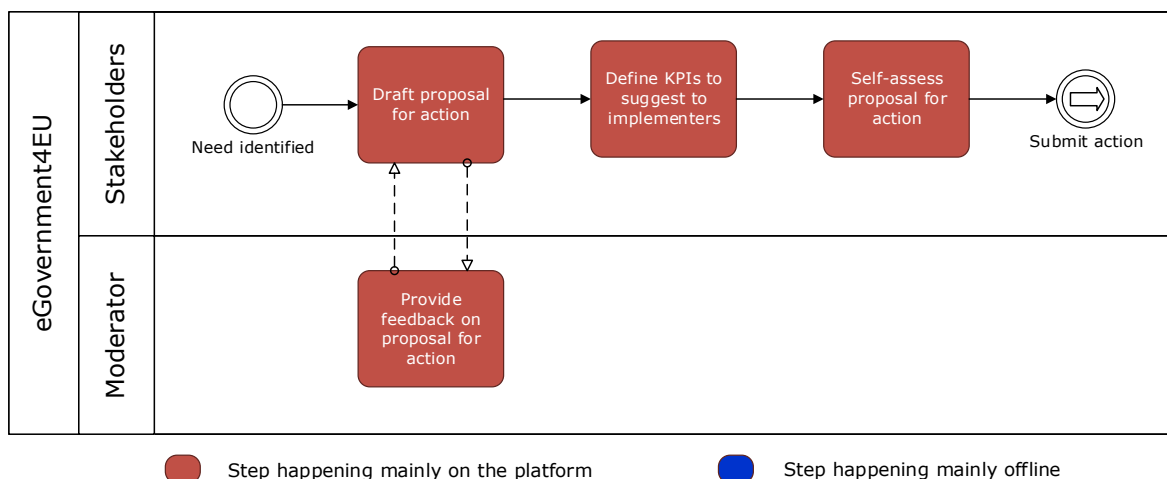
justification and rationale. The proposed actions should be clearly defined around the questions:

- What is the issue?
- Why do we need to solve it?
- How to solve it?

Proposed actions can be substantiated with evidence or existing practices collected from any source, be it certified data sources or not.

The sub-process supporting the development of proposals for actions by single stakeholders is outlined below (Figure 7) and it includes the following steps:

1. After a need is identified, a stakeholder starts working on a draft;
2. The stakeholder prepares a draft and submits it for review to the Moderator;
3. The Moderator provides feedback to the draft (iterative);
4. Once the draft is ready for submission, the stakeholders suggest some KPIs that may be used during the monitoring and evaluation step. These KPIs can be linked to datasets used as evidence to support the proposal for action;
5. The stakeholder finalises the proposal and self-assesses it; and
6. The stakeholder submits the final proposal.



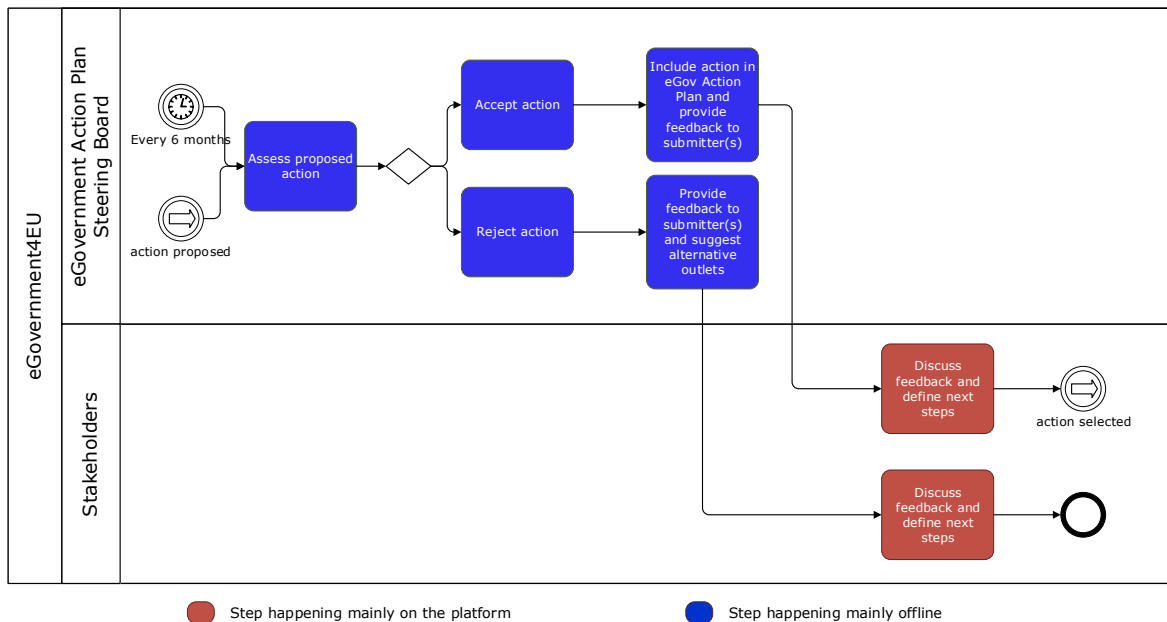
**Figure 7: Diagram of the sub-process 'Propose actions'**

Optionally, stakeholders can decide to organise themselves in a Working Group around the proposal of an action. A Working Group is free to organise as its members wish.

It is noteworthy that the submissions of the stakeholders will consist of proposals for actions only, because they will not know how to implement these actions in terms of resources and instruments. Thus, it is expected that Member States develop and further elaborate these proposals into fully fledged actions.

### 3.1.3.3 Select actions

The filtering and selection process for proposed actions does not take place on the Futurium platform, but rather takes place via e-mail and face-to-face meetings. The high-level process is outlined in Figure 8 and presented in more details below.



**Figure 8: Diagram of the sub-process 'Select action'**

The eGovernment Action Plan Steering Board, composed of Member State representatives and the European Commission representatives, will decide which actions to include in the eGov Action Plan based on a **clearly defined and transparent set of evaluation criteria**<sup>3,4,5</sup>. The selection of proposed actions includes the steps and actors defined below.

1. Every six months, the European Commission prepares an overview of all proposed actions along with their self-assessments and a grouping of the proposals by pillar of the eGovernment Action Plan and by similarity (i.e., grouping of similar actions from different Member State stakeholders together). The proposed actions are split into actions for implementation by (i) Member States, (ii) Member States and the Commission and (iii) exclusively by the Commission. The overview includes a preliminary assessment by the European Commission of the proposed actions according to eligibility and quality criteria (Figure 8);
2. The European Commission sends the prepared overview via e-mail to the eGovernment Action Plan Steering Board;
3. In preparation to the eGovernment Action Plan Steering Board meeting, each Member State representative analyses the proposed actions and seeks (political) support for the actions believed relevant;
4. The European Commission organises a face-to-face meeting with the members of the eGovernment Action Plan Steering Board;
5. The Member State representatives and the European Commission produce a joint assessment of all proposed actions, indicating which actions will be

<sup>3</sup> [http://ec.europa.eu/smart-regulation/guidelines/toc\\_guide\\_en.htm](http://ec.europa.eu/smart-regulation/guidelines/toc_guide_en.htm)

<sup>4</sup> <https://ec.europa.eu/digital-agenda/sites/digital-agenda/files/ministerial-declaration-on-egovernment-malmo.pdf>

<sup>5</sup> [http://ec.europa.eu/smart-regulation/roadmaps/docs/2016\\_cnect\\_006\\_e\\_government\\_action\\_plan\\_en.pdf](http://ec.europa.eu/smart-regulation/roadmaps/docs/2016_cnect_006_e_government_action_plan_en.pdf)

included in the eGovernment Action Plan, and which Member States will commit to them. A proposal for action will be included in the eGovernment Action Plan as a national-level initiative if at least three Member States commit to its implementation. The added value of such actions is that they will be collaborative. Thus, while executing the action, the Member States will exchange good practices, ideas and experience. If an action is carried out with EU funding, then at least six Member States and one DG should commit to its implementation. If some Member States would like to implement actions which were not included in the eGovernment Action Plan, they can also commit to them. Once the selection procedure starts, all proposals for action that have been initiated are frozen and stakeholders are not allowed to work on them anymore. The eGovernment Action Plan Steering Board will then start evaluating these actions. The ones that seem to be not mature enough will be gradually released, allowing stakeholders to continue working on their elaboration. Note that stakeholders are allowed to work on new needs and new proposals for action during the selection process. Only the ones that have been initiated before the selection procedure are frozen;

6. The European Commission publishes the decisions of the eGovernment Steering Board on the stakeholder consultation platform;
7. The European Commission provides feedback on accepted and rejected actions and if possible, in the latter case, suggests alternative outlets. It is conceivable that actions that are not chosen for the eGovernment Action Plan or by individual Member States but have a high potential may be adopted by other organisations or may be further elaborated on by the submitter(s) of the proposal. The elaboration process for such actions is also supported by the platform; and
8. The eGovernment Action Plan is formally updated with the titles of the accepted actions in the form of new Commission Decision as an amendment to the eGovernment Action Plan.

Importantly for the community of stakeholders, the platform allows keeping a register of ongoing actions classified in terms of their status and the criteria they meet.

**Table 2: List of eligibility criteria.**

Category	Eligibility criterion
<b>Compliance</b>	Is the proposed action in line with the objectives of the Digital Single Market and the eGovernment Action Plan?
<b>Political commitment</b>	Is there a political commitment to implement the action in at least three Member States or – if European Commission resources are needed– in at least 6 Member States?
<b>Coherence</b>	Is the proposed action coherent with the Treaties of the EU, its values and secondary laws?
<b>Relevance</b>	Is the proposed action impactful and feasible?

Besides these eligibility criteria, some quality criteria could be suggested to the eGovernment Action Plan Steering Board to be used to help them evaluate a proposal for action. Some examples of such quality criteria can be found in Table 3.

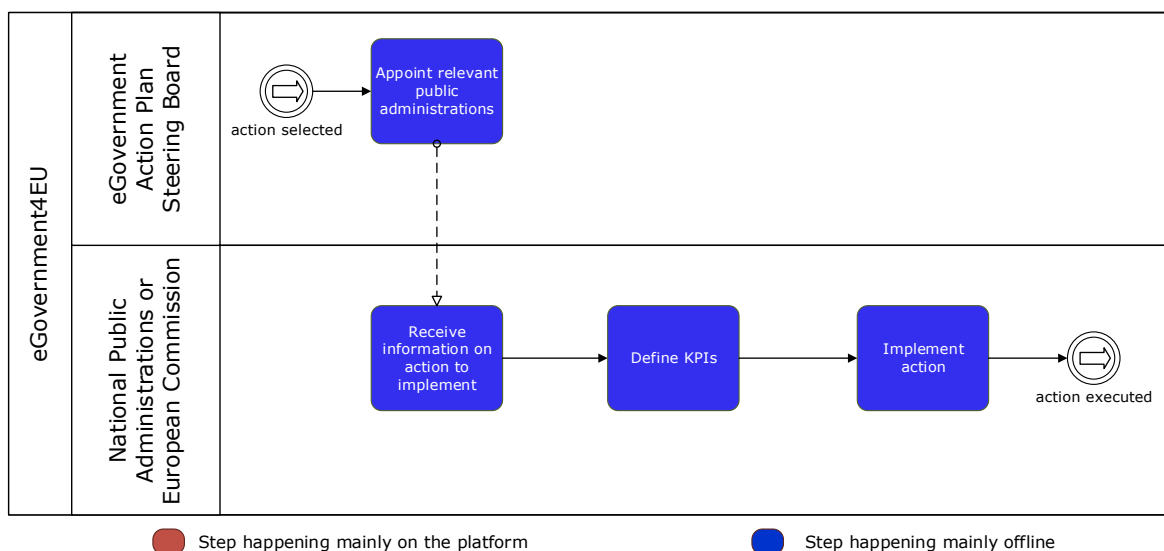
**Table 3: List of proposed quality criteria.**

Category	Quality criterion
<b>Clarity</b>	Does the proposed action address a clearly defined need?
<b>Impact</b>	Does the proposed action lead to considerable benefits (e.g. in terms of cost reduction in the public sector, administrative burden reduction for businesses and citizens, increased service levels, societal benefits, ...).
<b>Feasibility</b>	Can the proposed action be implemented in the current situation and reasonable timeframe (i.e., it does not depend on a series of intermediate developments, previous studies and/or pilots shown that this can be a feasible action)?

**3.1.3.4 Execute actions**

The execution of an action includes the following steps and actors (Figure 9):

1. The eGovernment Steering Board appoints relevant public administrations from Member States and/or relevant Commission DGs that will implement the selected action;
2. The public administrations receive information on the action to implement by the eGovernment Steering Board;
3. The public administrations provide the eGovernment Action Plan Steering Board with the planned budget, the planned timeline (start and finish dates), participating entities, website and main objectives;
4. The public administrations define the KPIs which will be used for the monitoring and evaluation step; and
5. The public administrations effectively implement the action.



**Figure 9: Diagram of the sub-process 'Execute actions'**

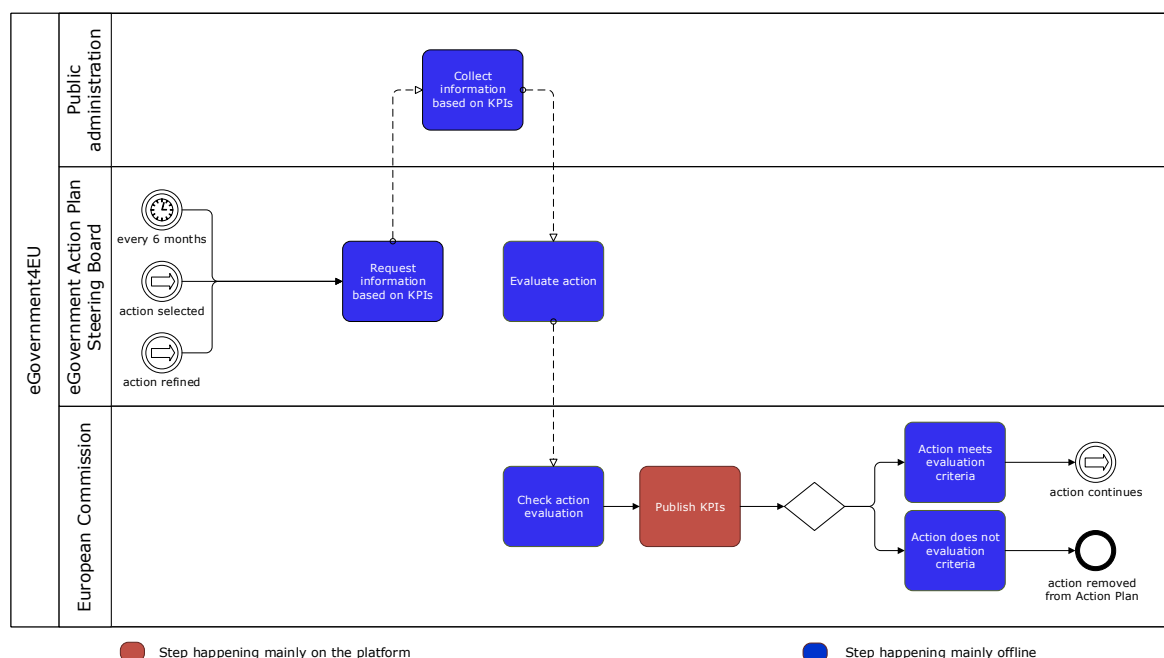
Early in the execution of actions, the potential for re-use of services developed by other Member States should be explored.



### 3.1.3.5 Monitor and evaluate actions

The monitoring and evaluation of an action includes the following steps and actors (Figure 10):

1. Every six months, for the selected proposals for action, the eGovernment Action Plan Steering Board requests information based on KPIs defined during the selection phase;
2. The executing public administrations collect information based on these KPIs;
3. The eGovernment Action Plan Steering Board evaluates each action;
4. The European Commission publishes KPIs on the platform; and
5. After evaluation, the European Commission checks if the action still meets the eligibility criteria. Actions which have become obsolete are removed from the eGovernment Action Plan. Subsequently, the updates of the action plan are published on the platform. Also, the monitoring results can lead to a refinement of the action, detailed in the next section.



**Figure 10: Diagram of the sub-process 'Monitor and evaluate actions'**

First of all, the monitoring considers the objectives of the intervention and what evidence needs to be collected to track the progress and measure the performance of the action. The method and frequency of data collection, sources of evidence and cost of monitoring are taken into account. The monitoring systems proposed in the framework of the eGovernment Action Plan are comprehensive, in other words, including both quantitative evidence and opinion-based evidence (e.g., qualitative evidence, periodic opinion polls and surveys). The monitoring plan is put in place for every executed action makes sure that there is no redundancy of data collection and that the monitoring results are publicly available.

Monitoring progress is regularly updated and visualised on the platform in terms of collected data. An evaluation and measurement framework for the performance of the actions, identifying what success would look like and how to monitor and run the process in the long run is put in place. Each action is evaluated at the level of the

participating Member States and also at the level of the whole action. A good monitoring generates factual data which is suitable in explaining the performance of an action, and is relatively easy to visualise on a platform.

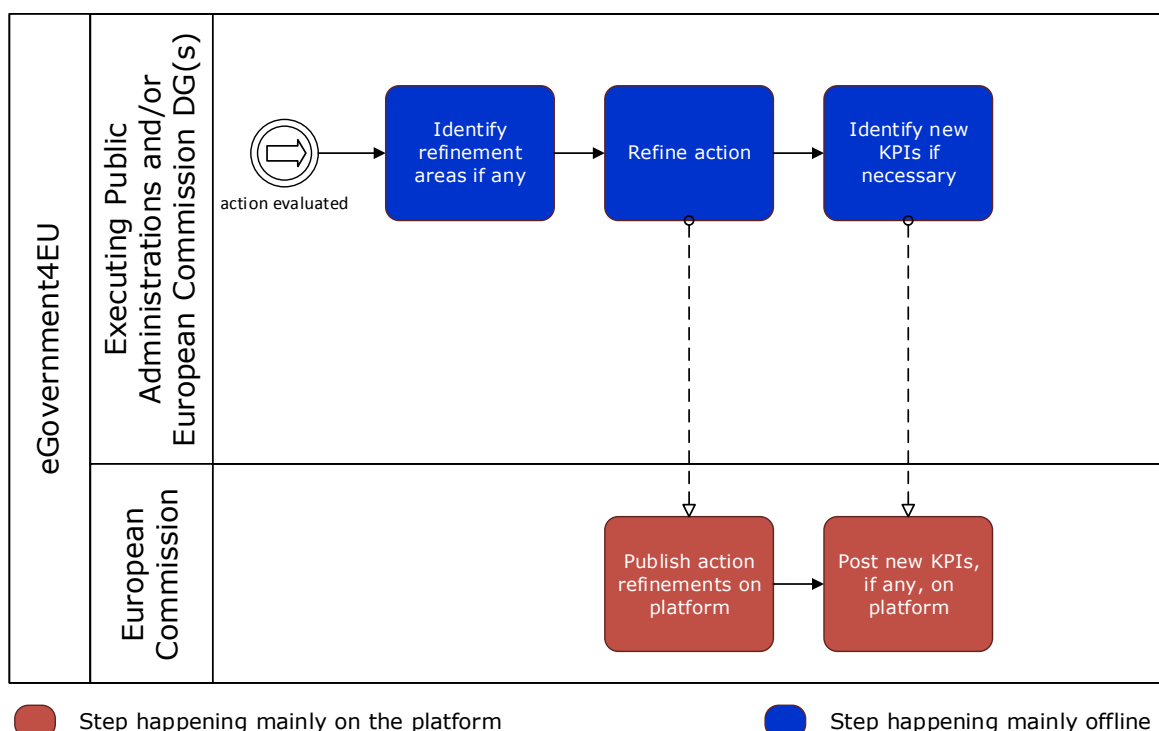
### 3.1.3.6 Refine actions

Following the monitoring and evaluation of individual actions, refinements of these actions are done if necessary. Note that the refinement is done at the level of the execution of the action (i.e. at the level of national/regional public administrations or European Commission Directorate General(s) executing the action) and not at the level of the eGovernment Action Plan Steering Board or at the level of the proposers of actions.

The task 'Refine action' includes the following steps (Figure 11):

1. After an action has been evaluated, the executing public administrations (and EC DGs if applicable) in charge of this action identify refinement areas;
2. The executing public administrations then refine the action accordingly;
3. The executing public administrations publish the modifications on the platform;
4. The executing public administrations identify new KPIs for the monitoring of the refined action, if necessary; and
5. The European Commission posts new KPIs, if any, on the platform.

These interventions lead to the refinement of an action.



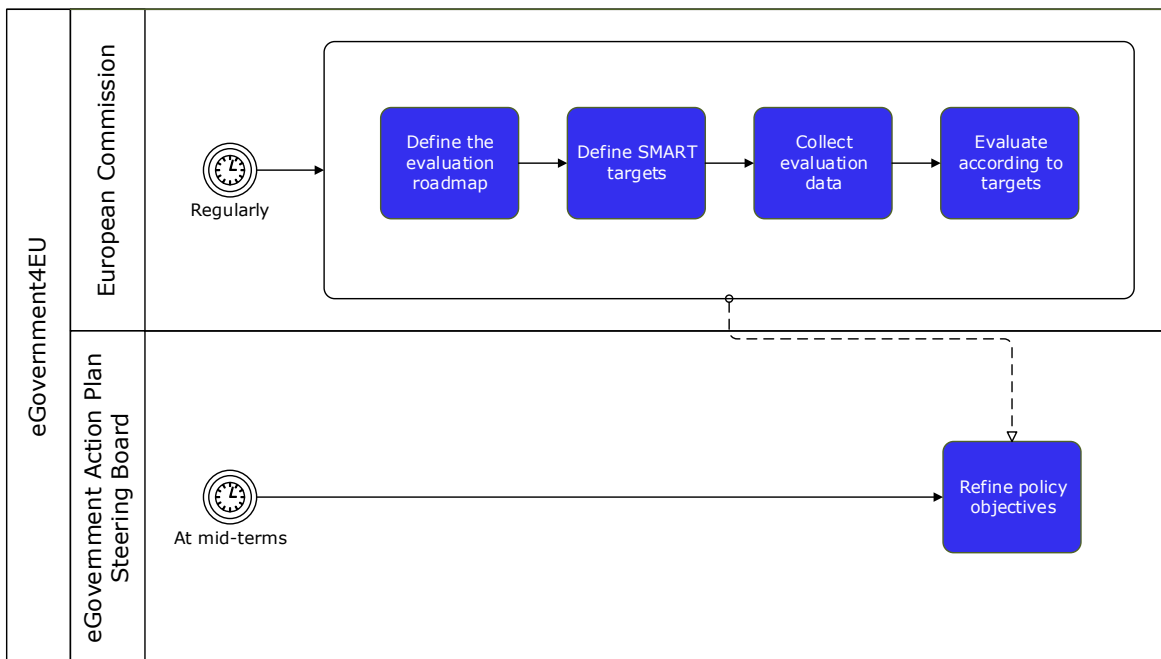
**Figure 11: Diagram of the sub-process 'Refine action'**

Put in place is a feedback mechanism to iteratively improve the process on the stakeholder consultation platform and fine-tune the actions.

### 3.1.3.7 Evaluate policy

The task 'Evaluate policy' includes the following steps (Figure 12):

1. The European Commission defines the evaluation roadmap;
2. At the launch of the Action Plan, the European Commission defines SMART targets;
3. On a regular basis, the European Commission collects evaluation data;
4. Every year, the European Commission evaluates according to targets; and
5. If necessary, at mid-terms the Steering Board refines policy objectives associated with the Action Plan.



**Figure 12: Diagram of the sub-process 'Evaluate policy'**

The measuring of the success of actions at the policy level does not take place in the stakeholder consultation platform. While actions are monitored and evaluated individually on their own merits, the **methodology allows measuring the success of the Action Plan using a set of general criteria and in view of the overall policy objectives**. In other words, the methodology allows assessing the impact of the set of actions within a policy priority (i.e., pillar) area and demonstrates how the Action Plan has contributed to these achievements.

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## **4 WP 3 – SUPPORT TO THE STAKEHOLDER ENGAGEMENT AND EFFECTIVE COMMUNICATION FOR THE DYNAMICALLY EVOLVING EGOVERNMENT ACTION PLAN**

The final part consisted of drawing a strategy to support stakeholder engagement and communication, to enable the European Commission to communicate with stakeholders and actively engage with them. We have categorised the stakeholder engagement and communication activities into five process steps:

- Why – purpose of the stakeholder engagement and communication
- Who – know your stakeholders
- What – key messages
- When – plan stakeholder engagement and communication
- How – methods to attract and inspire stakeholders

### **4.1 D4 - Stakeholder Engagement and Communication Plan**

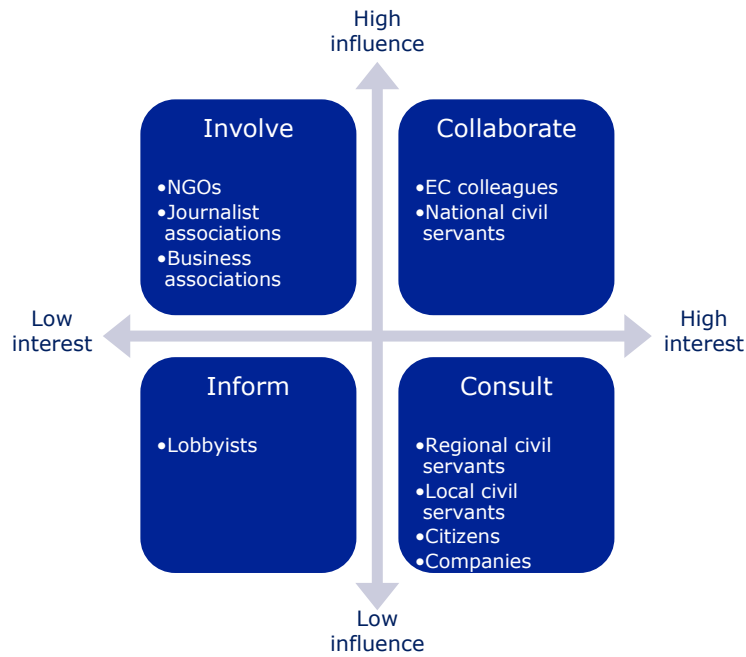
#### **4.1.1 Why – Context, purpose and scope**

First of all, we started with defining the context and the scope and the purpose the stakeholder engagement and communication plan is trying to reach. The purpose of the stakeholder engagement and communication plan is the following:

- Inform stakeholders about the content and the evolution of the eGovernment Action Plan and the Futurium – eGovernment4EU platform;
- Create a broad coverage in the different European Member States and create awareness regarding the eGovernment Action Plan and the Futurium platform in the public sector (EC officials, civil servants, policy makers, etc.) but also in the private sector (businesses, NGOs, citizens, etc.);
- Attract citizens and organisations, both governmental as non-governmental, to the Futurium platform in order to engage and share opinions and ideas with the EC in order to improve the public sector;
- Bring people together and create a community to encourage collaboration and to leverage people's skills and knowledge to bring real change to the public life; and
- Keep people involved and interested over the entire lifecycle of the eGovernment Action Plan 2016-2020.

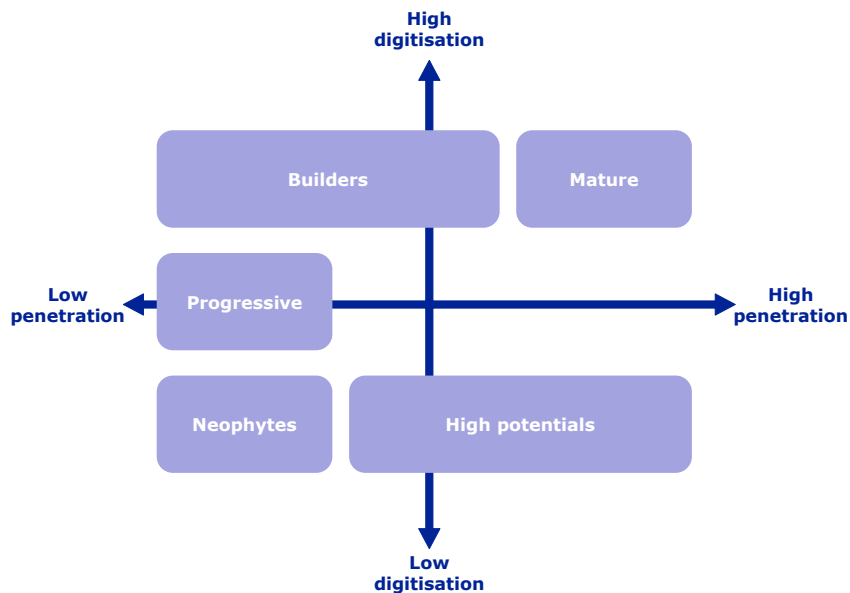
#### **4.1.2 Who – know your stakeholders**

The second part consisted of getting to know the stakeholders, who are they and where can they be found, but also how can these stakeholders be classified. This classification was based on the different sectors the plan aims to reach which consists of public administrations, civil society and businesses. Next to this classification, the stakeholders were also classified according to their influence on and interest in the eGovernment Action Plan, resulting in the matrix in Figure 13.



**Figure 13: Mapping organisation types to influence-interest matrix**

In addition, we also clustered the Member States according to their digitisation<sup>6</sup> and penetration<sup>7</sup> level, as in the 'eGovernment Benchmark Insights Report' [EC15] in order to better focus the communication and engagement level. Each cluster is mapped according to their digitisation and penetration level in Figure 14.

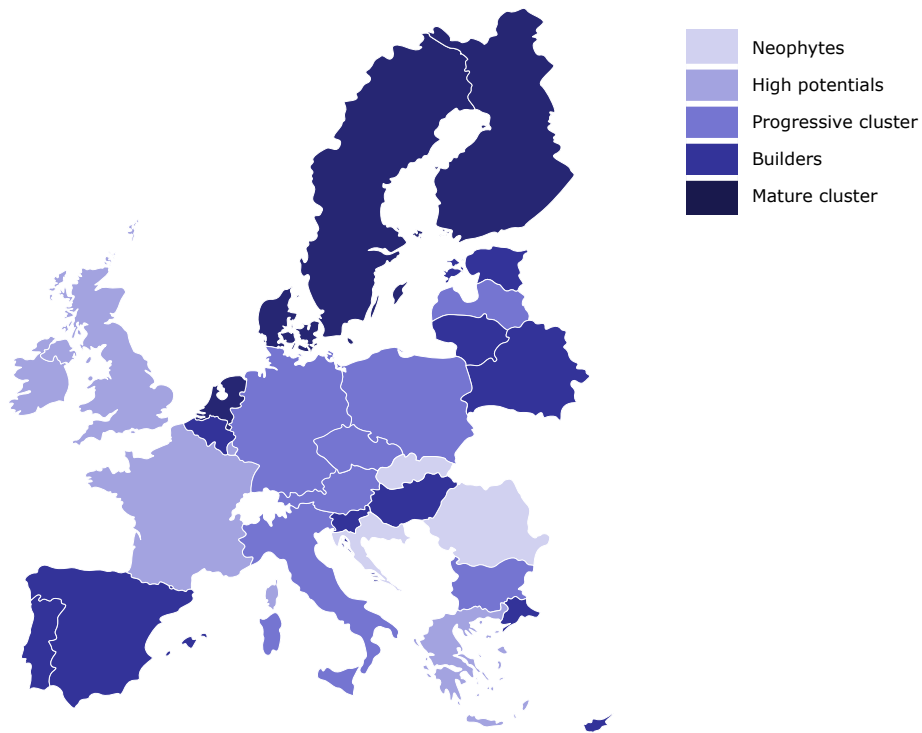


**Figure 14: Classification according to digitisation and penetration level**

Figure 15 shows each Member State to their appropriate cluster.

<sup>6</sup> Penetration rate refers to the usage of online eGovernment services. [EC15]

<sup>7</sup> Digitisation rate measures the public administrations efficiency and effectiveness in internal procedures. [EC15]



**Figure 15: eGovernment clusters**

To further understand the stakeholders we also looked into their motivations to participate in the eGovernment Action Plan, but also in the frustrations that could offset them to participate. A list of these motivations and frustrations is given in Table 4.

**Table 4: Stakeholder motivations and frustrations**

Motivations	Frustrations
<ul style="list-style-type: none"> <li>• Recognition</li> <li>• Political influence</li> <li>• Financial compensation</li> <li>• Knowledge</li> <li>• Networking and creating business</li> </ul>	<ul style="list-style-type: none"> <li>• Noise</li> <li>• Perceived difficulty of reaching a political consensus</li> <li>• Lack of perceived progress</li> <li>• Lack of funding / unfair funding</li> <li>• Lack of feedback</li> <li>• Negative feedback</li> <li>• False expectations of scope and purpose</li> <li>• Lack of structure and facilitation</li> <li>• Lack of usability</li> <li>• Lack of inclusion</li> <li>• Lack of information</li> </ul>

To further increase the coverage we identified several multiplier organisations whose network can be leveraged in order to increase the coverage of the eGovernment Action Plan. This was done by providing a list of organisations (public and private) which have considerable experience in the area of eGovernment and open government. Furthermore a list of youth associations and journalist associations was provided in order to reach more young people and citizens at large. An overview of the multiplier network is given in Figure 16.



**Figure 16: Multiplier network**

### 4.1.3 What – key messages

Key messages were identified to attract stakeholders. In order to capture the attention of stakeholders it would not be enough to talk about the eGovernment Action Plan. We identified three main key messages:

#### 4.1.3.1 Inspiring examples

Inspiring examples show concrete examples that could also be leveraged different Member States. In the stakeholder engagement plan we identified several inspiring examples. As well as on European, national, regional and local level. In addition these examples were chosen in order to inspire public administrations, as well as civil society and businesses. A shortlist of inspiring examples is listed here below in Table 5. In addition, each of the examples is also linked to the principles mentioned in the eGovernment Action Plan.

**Table 5: Inspiring examples**

	Inspiring examples	eGov principle
Global	<b>National Action Plans of Open Government Partnership</b> <sup>8</sup> are commitments that public administrations make in order to increase transparency and accountability in the public sector and to become more responsive to the demands of citizens in order to improve the quality of governance.	<ul style="list-style-type: none"> <li>Openness &amp; transparency</li> </ul>

<sup>8</sup> <http://www.opengovpartnership.org/>

	Inspiring examples	eGov principle
European	<b>CEF Building blocks</b> <sup>9</sup> (eID, eSignature, eInvoicing, eDelivery, automated translation) are reusable tools and services which are developed by and implemented in several Member States. These building blocks aim to create more efficient public administrations which are at the same time more interoperable, also cross-borders.	<ul style="list-style-type: none"> <li>• Digital by default</li> <li>• Once only principle</li> <li>• Cross-border by default</li> <li>• Interoperability by default</li> </ul>
National	<b>Digital Agenda Norway: user-friendly eGovernment</b> <sup>10</sup> : Even though Norway is part of the mature cluster, they recognised the need to make their eGovernment more user-friendly. Therefore, Norway introduced a new report which sets out five new ICT policy priorities to make eGovernment services more user-driven, better secured, more efficient and effective and by increasing the use of ICT and increasing citizen participation.	<ul style="list-style-type: none"> <li>• Digital by default</li> <li>• Inclusiveness &amp; accessibility</li> <li>• Openness &amp; transparency</li> <li>• Interoperability by default</li> <li>• Trustworthiness &amp; security</li> </ul>
National	<b>France's first Digital Law co-created with citizens</b> <sup>11</sup> was a collaborative project between public administrations and civil society. It was the first law in France that resulted from a co-design process with citizens through online consultation.	<ul style="list-style-type: none"> <li>• Inclusiveness &amp; accessibility</li> <li>• Openness &amp; transparency</li> </ul>
National	<b>Topo GPS</b> <sup>12</sup> is mobile GPS application including a topographic map based on open data from the Dutch land registry. This shows that eGovernment also holds economic potential from private companies and not only for public administrations.	<ul style="list-style-type: none"> <li>• Openness &amp; transparency</li> <li>• Inclusiveness &amp; accessibility</li> </ul>

<sup>9</sup> [https://joinup.ec.europa.eu/community/cef/og\\_page/catalogue-building-blocks](https://joinup.ec.europa.eu/community/cef/og_page/catalogue-building-blocks)

<sup>10</sup> <https://joinup.ec.europa.eu/community/epractice/news/digital-agenda-norway-user-friendly-egovernment>

<sup>11</sup> <https://joinup.ec.europa.eu/community/opengov/news/france%E2%80%99s-first-digital-law-co-created-citizens>

<sup>12</sup> <https://www.topo-gps.com/gb/>



	Inspiring examples	eGov principle
Regional	<b>Helsinki to enhance open democracy technologies through a hackathon</b> <sup>13</sup> was organised by the City of Helsinki, the Finish parliament and Open Knowledge Finland. The goal was for developers to build applications and tools based on open data to enhance open democracy. This local initiative is a good example of collaborative effort between civil society, NGOs, local and national civil servants and business representatives.	<ul style="list-style-type: none"> <li>• Openness &amp; transparency</li> <li>• Inclusiveness &amp; accessibility</li> </ul>
Regional	<b>Budget participative</b> <sup>14</sup> is an initiative by the City of Paris and allows citizens to nominate and vote on projects that could improve life in Paris. In addition, it allows citizens to decide on how to spend a part of budget of the Paris City Council to invest in these projects.	<ul style="list-style-type: none"> <li>• Openness &amp; transparency</li> <li>• Inclusiveness &amp; accessibility</li> </ul>
Local	<b>Molenwaard</b> <sup>15</sup> is a Dutch municipality that was created after merging three smaller Dutch municipalities in order to rationalise public spending of municipalities in the Netherlands. However, this created a problem of having three town halls, of which none of them was centrally located between the three municipalities. Therefore, the local city council decided to create a digital town hall which offers all services digitally or through mail delivery and occasionally through house calls. This avoids of having a physical town hall and the costs that are associated to having a physical town hall.	<ul style="list-style-type: none"> <li>• Digital by default</li> <li>• Inclusiveness &amp; accessibility</li> </ul>

More inspiring examples can be found in the 'Stakeholder Engagement and Communication Plan' or via the web application<sup>16</sup>, which additionally allows you to search by key words or to filter, based on the used taxonomies.

Next to inspiring examples, also showing eGovernment leaders is one of the key messages. This includes organisations that put a lot of effort in developing new eGovernment initiatives or even Member States. The different countries in the mature cluster are a good place to start.

<sup>13</sup> <https://joinup.ec.europa.eu/community/opengov/news/helsinki-enhance-open-democracy-technologies-through-hackathon>

<sup>14</sup> <https://budgetparticipatif.paris.fr/>

<sup>15</sup> <http://www.gemeente.nu/Burger-Bestuur/Nieuws-in-Burger--Bestuur/2015/9/Virtueel-gemeentehuis-Molenwaard-gaat-de-wereld-over-2684963W/>

<sup>16</sup> <http://opengov.testproject.eu/>

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#### 4.1.3.2 Explain the process

It is important to make sure stakeholders understand the process in order to avoid confusion in the future. Especially since in this eGovernment Action Plan stakeholders are invited to participate and engage with the European Commission.

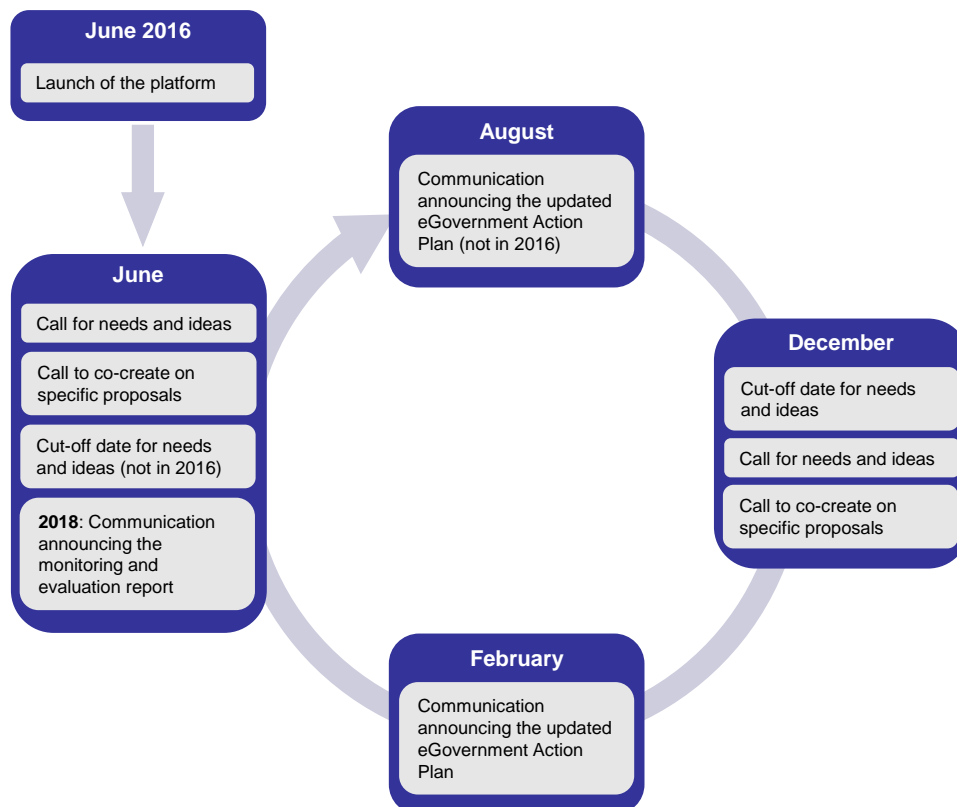
To explain the process, an infographic<sup>17</sup> was used. An infographic is a visual representation of the process that will be followed on the Futurium platform. The infographic explains to stakeholders how the process for the eGovernment Action Plan works, how the process starts from submitting needs to proposing actions to enable change, but also how the selection of actions works and who will be responsible for each of these steps.

#### 4.1.3.3 Display the progress

A third key message is to show the progress of the eGovernment Action Plan. Ensure that the eGovernment Action Plan is constantly monitored in order to provide an overview to stakeholders what the eGovernment Action Plan was already able to reach. This will show that the eGovernment Action Plan is still moving forward and that the community is actively participating.

#### 4.1.4 When – plan stakeholder engagement and communication?

Several key milestones on which the European Commission needs to communicate with their stakeholders. This includes a half-yearly cycle of a call for needs and ideas and a call to propose new actions (Figure 17).



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<sup>17</sup> <https://ec.europa.eu/futurium/en/egovernment4eu>

**Figure 17: Overview of communication events**

Next to these key milestones, we aimed communication to different stakeholders in different Member States and shows that communication in some Member States need to be performed more often and with a greater effort than others. This is shown in the following table (Table 6).

**Table 6: Where to focus the attention**

<p><b>Neophytes</b></p>	<p><b>Public administrations:</b> Most importantly, start with regularly encouraging and convincing (inform and engage) public administrations of the benefits of eGovernment services and support them in setting up new initiatives. The majority of the effort for stakeholder engagement and communication for public administrations needs to be focussed on these countries.</p> <p><b>Civil society and businesses:</b> Regularly inform and engage with civil society and businesses in order to push for change. The majority of the effort for stakeholder engagement and communication for civil society and businesses needs to be focussed on these countries.</p>
<p><b>High potentials</b></p>	<p><b>Public administrations:</b> Regularly encourage and support public administrations in developing and implementing more eGovernment services. Especially since civil society and businesses are already pushing for change. A big part of the effort for stakeholder engagement and communication for public administrations needs to be focussed on the countries in this cluster.</p> <p><b>Civil society and businesses:</b> Continue to inform civil society and business on the progress that public administrations are making with their eGovernment services. Only a small part of the effort needs to be focussed on civil society and businesses in the countries in this cluster.</p>
<p><b>Progressive cluster</b></p>	<p><b>Public administrations:</b> Continue to support (inform and engage) public administrations to increase the presence of eGovernment services. This requires medium effort to be focussed on public administrations in these countries.</p> <p><b>Civil society and businesses:</b> Regularly inform civil society and businesses of the benefits of eGovernment services. Engage with them in order to match their needs with the delivery of new eGovernment services. A big part of the effort for stakeholder engagement and communication for civil society and businesses needs to be focussed on the countries in this cluster.</p>
<p><b>Builders</b></p>	<p><b>Public administrations:</b> Active engagement with public administrations is less important in this cluster, as they are already highly digitalised. Try to find inspiring examples and case studies in these Member States to share with other clusters. Only a small part of the effort needs to be focussed on public administrations in the</p>

	countries in this cluster.
	<b>Civil society and businesses:</b> Most importantly engage with civil society and businesses in order to attract more users to the existing eGovernment services. This requires medium effort to be focussed on civil society and businesses in these countries.
<b>Mature cluster</b>	Active engagement is less important since this cluster is leading the way for eGovernment services, however occasionally inform them about the progress. Try to find inspiring examples and case studies in these Member States to share with the other clusters

#### 4.1.5 How – methods to attract and inspire stakeholders

To finalise the stakeholder engagement and communication plan, we identified a list of methods and communication channels to actively communicate and engage with stakeholders. The list covers the Futurium platform, other online channels like social media, newsletters, banners, discussion fora, but also offline methods and channels like conferences, workshops, town hall meetings and hackathons. In addition we also proposed to organise some mixed campaigns that makes use of the communication methods and channels which were provided above. These includes an eGovernment Action Month, eGovernment champions and an action of the month.

In Table 7 the engagement methods are linked with the corresponding engagement levels.

**Table 7: Engagement methods with their corresponding engagement level<sup>18</sup>**

	<b>Inform</b>	<b>Consult</b>	<b>Involve</b>	<b>Collaborate</b>
<b>Articles</b>	✓✓			
<b>Case studies</b>	✓✓			
<b>Newsletters</b>	✓✓	✓		
<b>Social media</b>	✓✓	✓✓	✓	
<b>Discussion fora</b>	✓	✓✓	✓	
<b>Banners / widgets</b>	✓✓			
<b>Infographics / promotional videos</b>	✓✓			
<b>Promo kits</b>	✓✓			
<b>Stakeholder workshops</b>	✓	✓	✓✓	✓✓

<sup>18</sup> Based on the results of the 'Stakeholder Engagement Handbook' [BD14]

	Inform	Consult	Involve	Collaborate
/ conferences				
Town Hall meetings	✓	✓	✓✓	✓✓
Hackathons		✓	✓✓	✓✓
eGovernment Action Month	✓	✓	✓	✓
eGovernment champions	✓	✓	✓	✓
Action of the month	✓			

✓ Relevant method of engagement - ✓✓ Most appropriate method of engagement

To make it more concrete, we provided some lists with concrete examples through which communication could occur. In addition, we linked each of them to the motivations and frustrations it can address and shows which stakeholders will most likely be reached.

To finalise we, also provided in the annexes important organisations, both on governmental as non-governmental levels that are important in the area in eGovernment and open government in Europe. These organisations are identified across Europe.

#### 4.1.6 Evaluate and adapt

The stakeholder engagement and communication plan should be evaluated regularly in order to make comprehensive conclusions and to adapt the stakeholder engagement and communication plan accordingly. The evaluation process considers three areas that need to be considered:

- Define **concrete objectives and KPIs** for the stakeholder engagement and communication;
- **Analyse the outcome** of the different methods; and
- **Adapt** the stakeholder engagement and communication plan.

##### 4.1.6.1 Where do you want to go and what do you expect?

In order to measure the success of the engagement, identify concrete objectives that the stakeholder engagement and communication plan wishes to reach. These objectives should be SMART (Specific, Measurable, Achievable, Relevant and Time-specific).

##### 4.1.6.2 Analyse the outcome

Based on the results of the KPIs, you can start analysing them. This includes searching for factors that positively or negatively have influenced the results of the engagement activities. The following questions can help you to analyse the results:

- 
- **Success of the engagement:** Did the stakeholder engagement and communication plan reach its predefined objectives?
  - **Process of engagement:** Did the methods serve their purpose? Was everything done within budget? What were the up- and downsides? Are there any lessons learned?
  - **Impact of engagement:** What was the impact of the process on the stakeholders, but also on the eGovernment Action Plan itself?

#### *4.1.6.3 Adapt the stakeholder engagement and communication plan*

Based on the insight gained during the comparison between the objectives that have been set out and the results that the engagement activities achieved, you should be able to identify areas of improvement. It is important to at least yearly revise the stakeholder engagement and communication plan, to focus on the changing environment, and to take into account lessons learned from the previous year(s).

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## **5 CONCLUSION**

In the first work package, we provided a study describing the landscape of open government practices in Europe. We defined the concepts in the open governance framework, we deducted some high level conclusions, and we identified digital enablers, drivers and barriers. In addition we provided recommendations on policy instruments to encourage the uptake of an open government approach across the different Member States.

In the second work package, we provided a methodology for the design and implementation of new actions in the dynamically evolving eGovernment Action Plan. This methodology covered the process from submitting needs to the implementation of new actions. This process will be implemented on the Futurium – eGovernment4EU platform in order to support the participation of civil society in the eGovernment Action Plan.

In the final work package we provided a stakeholder engagement and communication plan, which the European Commission can use in order to inform stakeholders about the eGovernment Action Plan and the Futurium – eGovernment4EU platform. In addition, it aims at really engaging with stakeholders and to involve them in the process of modernising the European Union. In this plan we answered the questions why, with whom, what, when and how to communicate with the stakeholders.

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