

APPENDICES

CASE STUDIES AND NOTES ON EXTERNAL SERVICE INNOVATIONS

INTERNATIONAL INNOVATIONS IN PUBLIC SECTOR EXTERNAL SERVICE DELIVERY



**Prepared by Kenneth Kernaghan
Brock University
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Case Study #1 - United States

Title of Innovation: *USAJobs.gov*

Categories of Innovation: Access (Web Page and Service Simplification) and Comprehensive, Collaborative and Integrative

Background on the Innovation / Rationale for the Innovation:

Note: The information for this case study is drawn directly from the usajobs.gov web site and the 2008 GSA Citizen Service Award files supplemented by other published materials. No interviews were conducted.

USAJOBS is the official job site of the US Federal Government. It is a one-stop source for US federal government jobs and employment information.

From the Office of Personnel Management's 2008 Citizen's Report, we find that the percentage of Chief Human Capital Officer agencies using the USAJOBS format and integrating online applications with their assessment system has increased to 84% in 2008 from 35% in 2006. This exceeds the target of 75% for that year. Additionally, 100% of Chief Human Capital Officer agencies now use the USAJOBS position announcement template.

As noted in the GSA Citizen Service Award 2008 document:

USAJOBS is the "front door" to federal employment. This remarkably successful initiative has consolidated and streamlined the employment application process across the government. Interested job seekers no longer have to wade through 150 agency sites to find opportunities. USAJOBS, managed by the Office of Personnel Management (OPM), simplifies the search and application process by providing email notification of jobs of interest, online application submission, document storage, and feedback on application status, just to name a few.

The Innovation:

Again drawn from the GSA Citizen Service Award 2008 document:

Prior to the development of USAJOBS, each agency maintained a separate and unequal version of a recruitment Web site. The consolidation of this activity has realized an average short-term savings of well over \$25 million each year since launch. The long-term savings could very well exceed a billion dollars in the first 10 years of operation.

The full functionality of USAJOBS has reduced the costs for marketing, external job postings, and advertisements. These savings can now be used by agencies to enhance other programs, while still attracting the best and the brightest to the federal government. Metrics have been exceeded in every identifiable area:

- ❑ *Applications per job announcement increased from an average of 15 – 25 to 100 – 125 (300 – 500%).*
- ❑ *Daily job seeker usage (account holder log-ins) increased from an average of 440K per day to 1.7 million (400%).*
- ❑ *Site usage (visits daily) increased – 150K to 340K (more than 100%).*

USAJOBS captures customer concerns via the American Customer Satisfaction Index (ACSI). With ACSI, USAJOBS gauges: the efficiency of site processes, satisfaction with site performance as well as look and feel, effectiveness of job descriptions and job search and ease of site navigation. USAJOBS satisfaction trends have shown a consistent rise from a low of 58% at launch to a high of 85% following a major site face-life in 2006. The average score over the last two full years has been 75%. This represents quite an achievement, and is higher than comparable private sector recruitment sites.

Issues / Challenges Encountered:

Despite its success, USAJOBS faces some criticism. For example, even with high ACSI satisfaction scores from its users, there is concern about the difficulty of the appeal process should an applicant be unsuccessful in moving from the application stage to the next stage in the hiring process. Additionally, in January 2009 there were concerns about information security and data breaches given the large volumes of personal information collected by the site.

Critical Success Factors:

One of USAJOBS success factors was the Office of Personnel Management's ability to design a system that was applicable and useful to a broad spectrum of federal agencies.

Furthermore, OPM personnel conduct outreach and training activities both internally with government agencies and externally with members of the public. This outreach is a two-way street that enhances the applicant's and manager's experience with the site and allows USAJOBS to collect feedback for continuous improvements.

Next Steps:

The Office of Personnel Management has a ***draft*** Strategic Plan for 2010 on its Web site (http://www.opm.gov/strategicplan/DRAFTStrategicPlan_20090729.pdf). In this document, one of its strategic goals is to recruit and hire the most talented and diverse federal workforce possible to serve the American people. One of the strategies supporting that goal is: *Improving USAJOBS and integrating other components of the on-line hiring system to create a world-class experience for job seekers and agency recruiters.* Success of this strategy will be measured in part by a decrease in the end-to-end hiring time for job applicants and increases in applicant and manager satisfaction.

Also according to a NextGov article:

The Office of Personnel Management is making a new year's resolution for 2010: overhaul USAJobs.gov, the government's primary job search Web site. According to a video on USAJobs, the new Web site, which will launch on Jan. 23, will be easier to navigate, more streamlined and more personal. Federal job applicants will be able to better refine job search results, as well as share job search information on Facebook, Twitter and other social networking Web sites. (Source: http://wiredworkplace.nextgov.com/2009/12/opm_plans_facelift_of_usajobs.php?oref=la_test_posts)

Contact Information: Not applicable.

Case Study # 2 - France

Title of the Innovation: *France's Ensemble Simplifions* (a forum for citizens to make suggestions about streamlining bureaucracy)

Category of Innovation: Access and Service Simplification

Background on the Innovation / Rationale for Innovation:

(Source: <http://www.epractice.eu/en/news/293218>)

The portal “Ensemble Simplifions” (“Let's simplify together”) was launched in September 2009 as part of a nation-wide campaign to consult citizens on how to simplify administrative procedures in France. The program was initiated by the Minister for the Budget, Public Accounts, Civil Service and State Reform. It aims to give top priority to the users' experience in order to better identify room for improvement, thus allowing the Government to engage in simplification projects genuinely based on the users' needs.

The portal relies on interactive and collaboration functionalities and targets all the users of public services. Its sections are thus structured around four categories of users, namely: Individuals, Businesses, Local Government, and Non-profit organisations.

One site, five ways of participating

In practice, for each “daily life event” of a given portal section (e.g. house moving in the section on Individuals or public procurement in the section on Businesses), simplification proposals are directed at the portal's users. Users have the following options:

1. to vote on the proposals by rating them;
2. to comment on the proposals by expressing their opinion;
3. to convey their own simplification suggestions in order to contribute to the work in progress and to possibly trigger new concrete proposals;
4. to take thematic surveys (in the sections on Individuals and Businesses);
5. to take part in debates through the dedicated online fora (in the sections on Local Government and Non-profit organisations).

In order to contribute, those interested only need to create a user account with a few mouse clicks. Each section furthermore provides the latest news on simplification projects, reference documentation, an event calendar and information on the Ensemble Simplifions programme.

It is worth noting that the launch of the portal's promotion campaign on the Internet will coincide with the portal's interfacing with social networking site Facebook, which will allow users to connect to their account on 'Ensemble Simplifions' directly via Facebook.

The Innovation:

The '[Ensemble Simplifications](#)' portal is a web 2.0 site allowing all those interested to voice their opinion and make suggestions on how to simplify administrative procedures in France. Its aim is to reverse the administrative simplification policy which has been followed by the Government so far - a modernization policy which was based on the Administration's own needs and organization. The Government can now engage in simplification projects genuinely based on users' needs

Issues/Challenges and Critical Success Factors:

Not applicable.

Next Steps

(Source: <http://www.epractice.eu/en/news/299039>)

On the occasion of the creation of the 150,000th account on the personalized eGovernment portal [Mon.service-public.fr](#) on 19 October 2009, the Minister for the Budget, Public Accounts, Civil Service and State Reform, Eric Woerth, and the State Secretary for Forward Planning and the Development of the Digital Economy, Nathalie Kosciusko-Morizet, presented the latest French eGovernment achievements. They introduced 15 new administrative simplification measures.

The [15 new measures](#) form part of the first wave of decisions made under the Ensemble Simplifications programme. They are the result of a nation-wide consultation conducted via a [web 2.0 portal](#) allowing all those interested to voice their opinion and make suggestions on how to simplify the dealings of citizens, businesses, local government and non-profit organisations with the French Public Administration.

The 15 simplification measures are structured around three guiding principles:

- Reduction of the amount of supporting documentation demanded (e.g. by eventually doing away with the obligation to provide an extract of one's birth entry in the civil register to obtain a passport);
- Avoiding the requirement that users provide public authorities with the same information several times (e.g. by creating only one procedure to declare the loss, or to request the renewal, of one's papers - ID card, passport, car registration papers, driving licence, social insurance card; by enabling companies to perform a transfer of their head offices by means of a single request);
- Commitment towards service quality and timely delivery (by defining a response time for each procedure).

Moreover, the Minister and the State Secretary announced the establishment of a working group of public and private sector experts on the digital relationship with users; the working group has been tasked to make proposals for developing the offer of remote

Government services taking the citizens' needs and new ways of life into account, by the end of 2010.

Contact Information :

Nicolas Conso
Chef, Service Innovation
Direction général de la modernisation de l'Etat
Nicolas.Conso@finances.gouv.fr

Case Study #3 – Utah State Government

Title of Innovation: *Utah.gov – State Web Site* (<http://www.utah.gov>)

Categories of Innovation: Access (Web Pages and Service Simplification),
Channels (Online) and Web 2.0

Background on the Innovation / Rationale for the Innovation:

Note: The information for this case study is drawn directly from the Utah.gov Web site and is supplemented by other published materials. No interviews were conducted.

The main portal site for the State of Utah is an award-winning one. In fact, on its Awards page, it highlights more than 30 awards since 1996. In 2009, Utah ranked as the best state government Web site in the *Best of the Web Award* sponsored by the Center for Digital Government. According to Coby Logen at DotGovWatch, “*The best part is that Utah.gov isn’t just innovative and sexy, but also well-organized and easy to use.*”

The Innovation:

The State of Utah’s *FY2007 – FY2009 E-Government Strategic Plan* provides insights into the history and evolution of the Utah.gov portal. The portal was launched in 1995, making it one of the first US state government portals to come into existence. It is considered a single access point for Utah agencies to provide services to its citizens.

The State of Utah’s e-government vision could actually be viewed as the Utah.gov vision if you simply replace “e-government” with “Utah.gov” in the vision statement below:

Our vision for the next wave of e-government is to use information technology to provide customer-centric services that promote a secure, accessible, accountable, and efficient government, while contributing to Utah’s status as a leading digital state.

According to the Utah Department of Technology Service’s *FY2009 Annual Report*, the number of State on-line services has increased from 200 in 2004 to more than 860 in 2009. Furthermore, its one-stop site for business licenses has eliminated the requirement for businesses to visit multiple government agencies and it has also already served more than 100,000 applicants. In addition, “*the new design of Utah.gov is focused on providing increased access to government services and usability for the citizens of Utah. New features include location awareness, a new multimedia portal, Web 2.0 services, a data portal, forms search capabilities and mobile applications.*”

As reported in GCN in July 2009, the newly redesigned site has incorporated a significant amount of Web 2.0 tools, including 27 blogs, more than 100 Twitter accounts, and “*scads of videos.*”

Issues / Challenges Encountered:

Within the technology space, a significant number of new and emerging issues must be managed, including increased demand for mobile services and increased consumption of network bandwidth. There are also management challenges related to the standardization of applications development, the opening up of government data for use in the public domain, and information and documentation management in a Web 2.0 world.

Beyond the ongoing technological issues, there are financial pressures and realities given the economic recession and government budget deficits in the United States.

Critical Success Factors:

The State of Utah's Department of Technology Services clearly understands the value of strategic planning and collaboration as it relates to Web site development. Their planning and reporting around IT issues have been comprehensive and clear. In terms of collaboration, they have recognized the interrelated nature of the World Wide Web and have identified and taken advantage of opportunities for technological collaborations with other levels of governments, with academics, with businesses and with the general public.

They have also spelled out what success would look like in the IT space and how it would be measured and this includes the success of Utah.gov. The performance measures that they use for e-government are as follows:

- Clear Definition and Identification of "Citizen-Centred" Service Opportunities
- Monitoring Success Factors including: stakeholder input, needs assessment, budget justification/capital planning, program management
- partnership/acquisition strategy, alternatives/risk analysis, enterprise architecture and IT privacy/security
- Documenting measures of cost savings and improved program performance.
- Recognizing agency "performance leaders."

According to the State's Chief Technology Officer, David Fletcher, as reported in a GCN article in July 2009, the Utah Web management team "spent more than the usual amount of time designing the site." They ensured that they included all the latest and greatest technological innovations while still ensuring that the site remained useful to its users.

According to the same article, "Utah.gov has pulled off what is perhaps the most amazing trick of all: not looking like a state-run Web site. Most state sites tend to be basic, boxy affairs, offering a smattering of written content, perhaps a link to the weather and not much flash. The newly redesigned official Web site for Utah, in contrast, is aesthetically pleasing and daring all at once. And don't be fooled by the eye candy: It also has an incredible amount of information and services for the citizen, and helps the state government do its job better."

In developing the redesigned Utah.gov portal along with its other new sites such as its Utah Public Finance Web site and its transparent.utah.gov site, the Department of

Technological Services has worked horizontally and collaboratively so that it can leverage existing skills and use existing staff within its own department as well as across the government. Furthermore, Utah has in place a long-term relationship with an external supplier, Utah Interactive, which since 1999 has worked with the Utah State government to help it design, develop and maintain a variety of State government Web sites including the Utah.gov portal.

Next Steps:

The 2009-2012 Strategic Plan developed by the Department of Technology Services identified the following next steps:

There is a compelling need to continue to move in the direction of IT-enabled, E-Government services for the citizens of Utah. The State will continue to build upon its leadership role by working with agencies to identify needed services and increasing the adoption rate of those services. This requires added focus on advanced networking and Web portal skills and solutions, effective data management approaches, and a focus on security and information protection capabilities that can provide appropriate protection without unnecessarily complicating citizen access.

DTS will continue to improve interoperability between currently siloed services and systems while increasing the effectiveness of Web-based interaction between government and citizens, including:

- *New State transparency Web site and a new Portal for Utah.gov*
- *Utah Forms Portal, enhancement of local and county government data and information, and new multimedia resources; and*
- *Implementation of advanced semantic, location awareness, and search functionality of Utah.gov*

Through the implementation of the E-Government initiative, the Department will support agencies in achieving:

- *Implementation of an anticipated 50 new online services each year for the period 2009-2012;*
- *An increase in average monthly unique visitors to the Utah.gov domain to 1.2 million;*
- *Over 10 million secure payment transactions; and,*
- *Increased government transparency and openness.*

Contact Information: Not applicable.

Case Study #4 - United Kingdom

Title of Innovation: *Directgov* (<http://www.direct.gov.uk/en/index.htm>)

Category of Innovation: Access – Web Pages

Background on the Innovation / Rationale for the Innovation:

Directgov was launched in April 2004, replacing the UK Government's online portal. Rather than just providing links to government departments as UK online had done, Directgov carried its own material, designed around citizens' service needs. The 2005 UK Transformational Government strategy provided a backdrop to the Government's approach to using IT as a force for change in service delivery, aiming to make public services more personalized, effective and integrated. Following this, in 2006, Sir David Varney led a review of service delivery which focused on key opportunities for delivering services to consumers in a more responsive way. The recommendations from his Service Transformation report included making the Directgov and Businesslink (the Directgov equivalent for business customers) sites primary channels for government information and transactions. This recommendation was enshrined in the 2007 Comprehensive Spending Review Public Service Agreement target to 'migrate more than 95 per cent of the total identified websites to Directgov and Businesslink.gov by March 2011.

The Directgov promise, vision and objectives:

- Directgov's vision is to be the citizen-focused digital channel for Government offering a high quality experience for customers by delivering information and services that meet most of their needs within the site in a consistent and accessible style. It will be driven by citizen needs and will be easy and interesting to use.
- Directgov will give the citizen:
 - Easy and effective digital access to all the public services and information they need, when and where they need it
 - Trusted delivery of tailored services to give citizens a simple and convenient interaction with Government
 - New ways of communicating, utilising strategic partnerships, community groups and social media to provide better interaction with Government

(Source: Jonathan Shaw, Parliamentary undersecretary of state, Department for Work and Pensions - October 2008 to June 2009)

The Innovation:

Directgov is a one-stop service portal for the UK Government's services to citizens, providing access to national services and links to local government services. In this respect it attempts to be a one-stop portal for citizen access to public sector services in the UK. Directgov receives twenty million visits a month, from more than eight million

unique users. It searches over 2600 government websites and 18 government departments to retrieve information for citizens. A Directgov service is also available on interactive television (DiTV) through Sky Digital and Virgin Media, as well as on mobile phones by typing direct.gov.uk/mobile into the phone's browser. Also, it is on analogue teletext pages, and on Freeview (UK) channel 106. DirectgovKids is a separate website designed for children aged 5 to 11.

As of 2008, the DirectGov website has been managed by the Department of Works and Pensions for the UK Government and local government, and access to services is organized as follows (in addition a separate search feature conducts a local government services search based on postal code and type of service):

Motoring Car tax, Learners, Driving licence...	Parents Having a baby, Schools, Childcare...	Education and learning Student loans, University, EMA...	Employment Jobs, Redundancy, Holidays, Pay...
Money, tax and benefits Benefits, Taxes, Benefits adviser...	Young people Money, Work and careers, Leisure...	Home and community Housing, Council Tax, Flooding...	Disabled people Rights, Blue Badge parking, DLA...
Travel and transport Journey planner, Passports...	Pensions and retirement planning State Pension, Planning for retirement...	Caring for someone Carer's Allowance, Working and caring...	Crime and justice Types of crime, Victims, Prevention...
Environment and greener living Saving energy, Recycling, Pollution...	Health and well-being Medical records, Health services, Flu...	Government, citizens and rights Honours, Births, Deaths, Marriages...	Britons living abroad Before you go, Study and jobs abroad...

Figures from the Department of Work and Pension (DWP) show the Directgov website cost £13.1 million to run for the year 2007-08.

Local DirectGov:

This is the part of the DirectGov site that allows citizens to search for specific services in their own communities. Prior to Local Directgov, users could locate local authority information, but were only directed to home pages rather than direct to the relevant

service page or form. This does not fit well with the government's vision of joined up services and accessibility.

Local Directgov aims to make it easier for anyone to access information regardless of his or her location or local knowledge. Citizens visit local authority websites for many different reasons and they may not necessarily be within the local community. People moving into the area may want to find out more about local schools and leisure facilities; relatives of elderly people may need to find out about services for the elderly; and students may use the sites for research.

Issues / Challenges Encountered:

In 2005, several internet activists wrote Directionlessgov.com to demonstrate that they could build something better in under an hour, by using a simple web page that linked to the Google search engine. Directionlessgov was later upgraded to compare the results of Directgov's own search engine with the Google results side by side.

<http://www.directionlessgov.com/about.html>

In discussion, one of the authors wrote:

To me the [point we are] making is not that direct.gov should be licensing Google's search... it is that direct.gov should not exist at all - in practice everybody types what they want to do into Google. With the budget saved... instead optimise text and titles on government websites i.e. do some Search Engine Optimisation. Run user tests to find the terms that people search for when wanting to do things that government can help them with. Arrange that Google, Yahoo and MSN searches for those terms take them to the correct site. ^[14]

In an interview with The Guardian newspaper in August 2007, the chief executive of Directgov, Jayne Nickalls, responded:

Directionless does work a lot of the time. But it misses the point that Directgov joins up information for the citizen in a way that they understand. If you do a Google search you will get the information from a number of places and the citizen has to do the linking up for themselves. ^[15]

A 2009 Consumer Focus Report also criticized Directgov:

“We believe that the emphasis on rationalising Government department websites and converging all their information onto Directgov is to the detriment of the general public. It has distracted from the central idea of the Government's strategy which is delivering effective user-focused, online services. The Directgov website has some clear problems that frustrate consumers. Many of these frustrations originate from a lack of clarity about what the website actually offers, how it delivers services and information, and what is expected from consumers as they use the site.”

Critical Success Factors:

Important success factors seem to have been organizing the website on the basis of services rather than government departments, obtaining the cooperation of 18 government departments to keep the site current, and gaining the support of local governments to collaborate with Directgov.

Next Steps:

Directgov has indicated that its strategy is to converge information, so that its target to integrate over 95 per cent of Government websites to Directgov and Businesslink by 2011 is met. A national TV and radio Directgov advertising campaign that was launched on January 4, 2010 features a number of celebrities.

Contact Information:

Not applicable.



Case Study #5 – Singapore

Title of Innovation: *Central Provident Fund*

Category of Innovation: Access/Life Events

Note: The information for this case study is drawn directly from the Singapore Government Web Site. More information can be viewed at <http://mycpf.cpf.gov.sg/CPF/About-Us/Intro/Intro.htm> .

Background on the Innovation / Rationale for the Innovation:

Demographics - Among Singapore residents aged 65 in 2006, 67% can expect to be alive at age 80 and 47% at age 85. This rising life expectancy means a change in the way we support ourselves. In 2007, there were 305,600 Singapore residents aged 65 or older and by 2030 it is expected that there will be 795,900 Singapore residents aged 65 or older.

Supporting and caring for a rapidly aging population will be an increasing strain on Singapore's younger generations. Today, 8.5 economically active persons are supporting one elderly. By 2030, only 3.5 persons will be supporting one elderly! Therefore, it is important that you plan early for a secure retirement.

The Innovation:

The Central Provident Fund (CPF) is a social security savings scheme jointly supported by employees, employers and the Government. CPF members are employees and self-employed persons in Singapore.

The basic purpose of the CPF is to help members meet primary needs like shelter, food, clothing and health services in their old age or when they are no longer able to work. Benefits offered are to help meet one or more needs of the CPF member in his retirement. They include withdrawals by the member for retirement, permanent disablement, home ownership and medical care. The amounts available depend on how much the member has saved in the CPF. The overall scope and benefits of the CPF encompass the following:

- Retirement
- Healthcare
- Home Ownership
- Family Protection
- Asset Enhancement

Working Singaporeans and their employers make monthly contributions to the CPF and these contributions go into three accounts:

- 1) Ordinary Account - the savings can be used to buy a home, pay for CPF insurance, investment and education.
- 2) Special Account - for old age, contingency purposes and investment in retirement-related financial products.
- 3) Medisave Account - the savings can be used for hospitalisation expenses and approved medical insurance.

Your CPF savings earn a minimum risk-free interest of 2.5% guaranteed by the Government. In 2008 and 2009, Special, Medisave and Retirement Account savings will earn a guaranteed minimum 4% interest. In addition, the first \$60,000 in your combined CPF balances, with up to \$20,000 from your Ordinary Account, will earn an extra 1% interest. So leave your money in your CPF accounts to enjoy this extra interest.

Securing your retirement - It is important to plan the use of your CPF savings to ensure the following:

- Sufficient savings to see you through your retirement
- A property that is fully paid-up when you retire
- Sufficient savings to meet your medical needs in your old age

Your CPF will provide you with a retirement income to meet your basic needs in old age. Members are encouraged to supplement their retirement income with their personal savings.

To ensure that you have a roof over your head when you retire, map out your finances carefully when you buy a home. Buy a home that you can afford so that your home will be fully paid-up when you retire.

Saving for future medical expenses is important as the need for medical care increases significantly as you grow older. Use your Medisave wisely by staying in affordable wards when hospitalised. You should also stretch your healthcare dollar by buying medical insurance such as MediShield. This will help you to meet the treatment expenses for prolonged or serious illnesses.

Key Success Factors

The Central Provident Fund Board

The CPF Board is the trustee of members' CPF savings. We seek to protect and preserve the value of the savings. We provide fair market returns at minimal risk, while opening avenues for members to seek higher returns on their own after carefully considering the risks involved. The guiding principle is prudence. And returns should contribute towards the member's well-being in his retirement.

Our Services

We aim to provide our members, in a cost-effective manner, the widest range of quality services possible. Through courtesy and responsiveness, we gain their satisfaction and confidence. We seek also to help employers by collecting CPF contributions from them in as efficient and convenient a way as possible. We strive to ensure that the interests of their employees, who are CPF members, are never compromised, while facilitating them in meeting their responsibility of contributing towards the CPF.

Our Nation

The Government helps by exempting CPF earnings from tax and guaranteeing payment of CPF savings. We on our part will, where we can, make our assets and services available to help meet Singapore's social and economic objectives, thereby improving the quality of life of all Singaporeans and CPF members.

Our People

We recognise that we cannot serve members well if our people, the staff of the CPF Board, are not ready, able and willing. We are therefore committed to the development and welfare of our people, so as to achieve superior motivation and quality on a continuing basis.

Contact Information: Not applicable.

Case Study #6 – United Kingdom

Title of Innovation: *Tell Us Once*

Category of Innovation: Administrative simplification, one-stop service

Background on the Innovation / Rationale for the Innovation:

The report by Sir David Varney, ‘Service Transformation; a better service for citizens and businesses, a better deal for the taxpayer’, published in December 2006, contained a recommendation that a service should be developed to allow citizens to inform government of their changes in circumstance once. This concentrated initially on registration of births, deaths and change of address.

The Innovation:

Tell us Once (TUO) is designed to simplify how people inform government of a change of address, a birth or death, and other changed circumstances. The TUO program objective is to require people to make only a single phone call, email, or face-to-face visit to change their details on all central and local government records.

Tell us Once is examining whether it is feasible for people to tell the Government only once about a birth or death and for this information to be passed on their behalf to other relevant departments. In addition to DWP the key stakeholders are HM Revenue & Customs (HMRC) and local authorities. The project is also working with the Cabinet Office, HM Treasury, Driver and Vehicle Licensing Agency (DVLA) and Dept for Transport (DfT), Identity and Passport Service (IPS), Communities and Local Government (CLG), Improvement and Development Agency (IDeA), Local Government Association (LGA) and Information Commissioner’s Office (ICO).

The TUO program is being led by the Department of Works and Pensions on behalf of government as a whole. The service is initially based around the processes involved with births and deaths. Ultimately it aims to improve processes relating to change of address by enabling citizens to inform all relevant government agencies of their change of address via “one-stop” service.

Example: London Borough of Southwark:

Southwark implemented TUO in February 2008 as a face-to-face service where people registering a death can also use this service to notify relevant council departments and other government organizations at the same time. Prior to this, such a service did not exist and therefore the customer had to work out whom to inform and usually had to send each service a separate certified copy of the death certificate. Now with the introduction of the TUO service, and with the customer’s consent, the Registrar passes the customer on to one of the Bereavement Support Officers who deliver the service which consists of the following four key strands:

- Send (securely) details of the deceased and next of kin or contact point to the relevant Southwark and central government departments and local hospitals;
- Explain who else needs to be informed;
- Identify other council services including likely benefits entitlement and offer advice on claiming them;
- Make referrals to other appropriate services e.g. counselling, support groups.

“I’ve worked within Benefits for 18 years now, so I’ve always dealt with people who really need help. For me TUO is the instant gratification, knowing that I have taken the information, dealt with it and that I’ve made a difference in their life. There are some very difficult and upsetting cases, but I can go home knowing that I’ve done a good job.”

Karen Michael - Bereavement Support Officer Southwark Council

The Government Connect Secure Extranet (GCSX) secure connectivity system provides the IT “backbone”: Local authorities are key access points for citizens wishing to register birth or death and initial pilots in Wolverhampton, Southwark and Tameside have shown the benefits of having secure connectivity between central and local government. Improving services by implementing the TUO processes to create a shared information ‘hub’ for government to appropriately and securely share citizen information is only possible using the secure connectivity provided by GCSX.

GCSX offers a new, secure communications platform upon which to build joined up, effective and efficient public services and create new and improved ways of working. According to Kenny Robertson, Director, CIT Shared Services, DWP, this new infrastructure “[p]rovides a network bridge not just between local authorities and central government but between local authorities themselves. “It will create opportunities for better, more secure, timely and innovative, service delivery.”

<http://www.govconnect.gov.uk/benefits/new-ways.php>

Now that the roll out of GCSX is complete, it is possible for central government and local authorities to share all personal, sensitive and RESTRICTED data with government via an accredited secure communications network and where appropriate prohibit the use of other means of data transfer. As well as improving the protection of data transferred between central and local government, GCSX provides the secure infrastructure and recognized security standards that will enable improved information sharing and improved business processes between central government departments and local authorities.

Issues / Challenges Encountered:

(Source: <http://www.idea.gov.uk/idk/aio/10012779>)

According to the Local Government Delivery Council, the challenges appear to have been: 1. having the GCSX in place to allow secure transactions between government organizations; 2. developing collaborative arrangements amongst all the players.

Critical Success Factors:

According to the local Government Delivery Council case study of the pilots:

<http://www.idea.gov.uk/idk/aio/10012779>

“There are a number of factors that other authorities should take account of when considering whether to implement a similar project:

- *Number of births and deaths of residents compared to those registered in a neighbouring locality*
- *Location of service*
- *Local partners (e.g. hospitals)*
- *Staff knowledge reflects customers need.”*

Tameside was one of several councils to pilot the Department of Work and Pensions scheme and it has proved to be a major success according to that organization, which received an e-Government Award for its work.

<http://www.tameside.gov.uk/pressreleases/tellusonceaward>

Tell Us Once gives families a helping hand with the traditionally complicated process of registering a birth or death by passing on information to the appropriate public body. Almost 1,500 people have used the service since the pilot scheme started in March, 2008, and it has been widely praised. Wai Man Chung of Droylsden, whose daughter Lillian was born earlier this year, said: “The registration process was wonderfully handled, saving me valuable time.”

Results of the Pilots:

http://www.irrvscotland.org.uk/documents/2009/Benefits_and_Fraud_conf_2009_12/margaret%20logan%20ann%20adam.pdf

- Reduction in designed contacts – 7 on average
- Cumulative take up 56% (90%+ in some areas)
- 15,000+ citizens have used Tell Us Once
- A speedy receipt of correct and complete data leading to cost savings
- Some improvement in back office processing
- Links to performance measures
- Increased partnership working
- 99% of responses to the customer survey have been positive
- 97% of staff agreed or strongly agreed that they were making a difference

Next Steps:

In 2009, TUO was approved for national roll-out in 2010-2011

Other areas that will pilot TUO include Kent County Council and districts, Lancashire County Council and districts and Lambeth. It is considered important to work with a

range of different types of local authorities in different locations and with different circumstances in order to develop a TUO that will operate effectively across the local government sector. <http://www.idea.gov.uk/idk/aio/10012779>

As of 2009, Lincolnshire County Council is another TUO pilot area:
<http://www.idea.gov.uk/idk/core/page.do?pageId=11498092>

Lincolnshire County Council is implementing the first phase of a Customer Data Hub (CDH) in 2009. This will be a central repository of accurate, up-to-date customer data that is intended to be shared with the district councils. Current data from the social care, customer relationship management (CRM) and library systems are being cleansed and integrated into the CDH. The CDH will be updated with new births and deaths by the registrars as well as details such as marriages and changes of address.

The purpose of the project is connected to the national 'Tell Us Once' initiative. It aims to use a common infrastructure across Lincolnshire (including GCSX – the Government Connect Secure Extranet) to improve information transfer. This will be achieved by agreeing a common messaging format to notify public sector authorities in Lincolnshire of residents' changes of circumstances.

The project will also develop the required data sharing protocols and governance processes around data management and data quality. It is then planned that the CDH will provide the council's "change of circumstance" service to the Department for Work and Pensions (DWP) via GCSx as a future phase of development. The implementation will enable the creation of a single, trusted and complete view of Lincolnshire's customers. This will provide a single version of the truth and allow better profiling of customers to deliver services that meet customer's needs and expectations.

Contact Information:

N/A

More information is available from a TUO Power Point Presentation:

http://www.irrvscotland.org.uk/documents/2009/Benefits_and_Fraud_conf_2009_12/margaret%20logan%20ann%20adam.pdf

Case Study #7 – United States

Title of Innovation: *GovBenefits.Gov – Your Benefits Connection*
(<http://www.govbenefits.gov>)

Category of Innovation: Comprehensive, Collaborative and Integrative

Background on the Innovation / Rationale for the Innovation:

Note: The information for this case study is mostly drawn directly from the GovBenefits.gov web site and supplemented by other published materials. No interviews were conducted.

In 2002, the White House began an intensive effort to build, launch and manage a diverse portfolio of government-to-citizen, government-to-business and government-to-government websites. Operated, managed and supported by federal agency partnerships, these initiatives provide high-quality solutions such as citizen tax filing, federal rulemaking, electronic training, and benefit information delivery. The beneficiaries include citizens, businesses and federal and state government employees.

The first of these initiatives to reach the Internet was GovBenefits.gov, an effort to provide citizens with easy online access to government benefit and assistance programs. The GovBenefits.gov mission focuses on reducing the expense and difficulty of conducting business with the government and increasing citizen access to benefit information. At the time of the site's launch, it featured 55 programs, representing the ten original federal agency partners. The website now includes over 1,000 programs representing 17 federal partners.

Prior to the launch of GovBenefits.gov, Internet users had no choice but to search through a complicated and confusing maze of web pages for benefit information. No easy-to-use, single source of benefit information previously existed and even people familiar with a particular program could be confused about where to go for additional information.

The site's core function is the eligibility pre-screening questionnaire. Answers to the questionnaire are used to evaluate a visitor's situation and compare it with program criteria to determine potential eligibility for benefit and assistance programs.

GovBenefits.gov is a collaborative effort of 17 federal agencies, including the U.S. Departments of Labour (Managing Partner), Agriculture, Commerce, Education, Energy, Health and Human Services, Housing and Urban Development, Homeland Security, Interior, Justice, State, Transportation, Treasury, and Veterans Affairs, the Office of Personnel Management, the Small Business Administration, and the Social Security Administration. New benefit information is added as GovBenefits.gov continues to expand information on federal, state and local government benefit programs. A "partner" is defined as a federal, state or local government organization that makes benefit program information available to the public on the GovBenefits.gov website.

The Innovation:

GovBenefits.gov is a partnership of United States federal government agencies with a shared vision - to provide improved, personalized access to government assistance programs. The Department of Labour has served as the Managing Partner of the site since its launch in 2002.

The GovBenefits.gov mission is as follows:

- ❑ Use the Internet to connect citizens to government benefit program eligibility information.
- ❑ Increase access to information, particularly for people with disabilities.
- ❑ Reduce expense and difficulty of doing business with the government.
- ❑ Continue to add programs to become the single source for federal, state, and local government benefit programs.

Issues / Challenges Encountered:

The consultant who collaborated with the OMB to develop GovBenefits.gov identified a number of issues and challenges which were overcome in order to build this collaborative Web site (Source: <http://www.boozallen.com/media/file/govbenefits-critical-benefits-information-cs.pdf>). These included: bringing together stakeholders from more than a dozen federal agencies to work together in an agile and productive fashion, ensuring that all the underlying business processes would operate with peak efficiency and working within an aggressive time line. The Booz Allen Hamilton document indicates that these challenges were addressed by:

Transparent Project Management: To make this unusually complex collaboration as seamless as possible, Booz Allen Hamilton provided each agency with complete visibility into the project, including costs at any given time, progress toward upcoming milestones and change review processes.

Beyond Technology: By taking a holistic approach that incorporated expertise from across the firm's key functional areas, Booz Allen Hamilton went beyond simply implementing technology in order to maximize process efficiency and employee productivity while minimizing risk and disruption.

On-Time Delivery: With Booz Allen Hamilton's support, the government achieved its objective of rolling out a fully operational site with extraordinary speed – advancing from requirements analysis to go-live in fewer than 100 days.

A document entitled *GovBenefits.gov: A Progress Report to Citizens 2008* (http://www.govbenefits.gov/framework/skins/govbenefits/images/about/GBProgressReport_2008.pdf) also outlines the challenges and lessons learned.

Lesson Learned #1 – Establish a Clear Value Proposition:

A clear and convincing value proposition must be communicated to stakeholders to secure their involvement. Cross-agency collaboration is possible, but the program has to first answer the “What’s in it for me?” question. An early part of GovBenefits.gov’s success was the ability to demonstrate to funding partners how they would receive something of value in return for their participation.

Lesson Learned #2 – Develop Shared Risk and Reward:

GovBenefits.gov created a governance model that gives partners a decision making role while accepting some of the risk associated with the program. Through their contributions, partners place a portion of their budget at risk. GovBenefits.gov mitigates this risk with monthly financial reports and regular communications about the project. Partners benefit when costs associated with screening citizens are reduced at the agency level. GovBenefits.gov became a new outlet for partner agencies to communicate with the public about their programs.

Lesson Learned #3 – Demonstrate Tangible Results Quickly:

GovBenefits.gov was up and running in just 96 days. This quick delivery demonstrated to the partners that GovBenefits.gov was well managed and serious about meeting its mission. Additionally, GovBenefits.gov had the distinction of being the first of the 24 E-Gov initiatives to go live, earning additional attention and support for the program. Gov Benefits.gov has continued to produce a quality product and meet deadlines through its history.

Lesson Learned #4 – Keep Innovating:

One challenge that remains is the need to stay relevant to users visiting the site. Future upgrades to the site will likely consist of logical progressions that do not require substantial changes and enhancements. For example, the deployment of a portal architecture in January 2006 enabled the program office to offer Customized Connections to other government entities. Could the next step be a one-stop location for users to actually apply online for benefit programs? DisasterAssistance.gov will test the program’s ability to effectively escort a visitor from the beginning of a benefit information search through to actual application. Once proven successful, GovBenefits.gov may be able to build a business case for adding online application features and evolving the site to the next level of citizen service.

Critical Success Factors:

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Again from the document entitled *GovBenefits.gov: A Progress Report to Citizens 2008* (http://www.govbenefits.gov/framework/skins/govbenefits/images/about/GBProgressReport_2008.pdf) elements of the initiative which may have contributed to the site’s success are described. These include:

- ❑ **Program Governance:** GovBenefits.gov uses a permanent governance structure to increase partners' involvement in decision making and strategic direction. This approach effectively leverages the insights and experiences of an expansive and diverse group of government representatives to implement the program mission. There are two governing bodies for the program: The Change Control Board and The Governance Board. A key function of the partnership is to set the program's strategic direction. Prior to each year, the partners develop a strategic plan that outlines the broad direction and goals for the upcoming year. This process provides partners with an opportunity to have specific input into the program's direction, either by adding new content or functionality to the site or by implementing other changes.
- ❑ **Program Funding:** The GovBenefits.gov partnership also participated in developing a funding model to determine each agency's contribution. The model in use through FY 2009 is based on the number of benefit programs each agency sponsors on the Web site, and the total dollar value of these programs. GovBenefits.gov and its partners recently finalized a new funding model that bases contributions on the number of agency programs on the site, total page views of an agency's program description, traffic to an agency's site originating from GovBenefits.gov, and traffic from the partner sites to GovBenefits.gov. The partners approved the new funding model in early 2008 for implantation in FY2010.
- ❑ **Program Reporting:** As an Executive Branch initiative, GovBenefits.gov is a high-profile program with numerous reporting responsibilities. Each quarter, the program reports to the OMB on progress towards three types of milestones: deployment, resources, and schedule. Each category includes additional milestones, such as deploying a new version of the site by a particular date or increasing site traffic by a specific percentage. Meeting or exceeding a given milestone for a period earns a green rating from OMB, small lapses or minor delays produce a yellow rating, and a red rating indicates a serious risk such as major delays or cost overruns...Over the years, GovBenefits.gov has consistently received green ratings on its OMB Performance Scorecard.
- ❑ **Program Value:** Communicating program value provides sponsors and other stakeholders with an understanding of the program's worth. GovBenefits.gov has both a value to the citizens it serves and to government operations. As we know, time is money. GovBenefits.gov developed the "citizen minute" concept to express the dollar value of time saved using GovBenefits.gov. When citizens save time, they generate value, as demonstrated in Figure 2 (below). GovBenefits.gov estimates that users save 20 minutes finding relevant benefits on the site as opposed to an unstructured search through alternative channels.



Source: *Social Security Administration.

Calculating operational value to government is based on the cost of a similar information transaction in an alternative channel, a phone call to an agency call center. The average call cost is multiplied by the total number of information transactions – each time a site user views a benefit program description page on GovBenefits.gov or is referred to another agency’s website (Figure 3) for more detailed information.



Source: *U.S. General Services Administration (2005), "Improving Citizen Customer Service."
 **WebTrends Site Visit Statistics for GovBenefits.gov.

When taken together, the value generated by the GovBenefits.gov program for citizens and government operations in fiscal year 2008 is estimated at over \$89 million, nearly 20 times the cost to fund it.

Next Steps: The Department of Labor’s Strategic Plan for FY 2010-2015 is not yet available.

Contact Information: Not applicable.

Case Study #8 - Belgium

Title of the Innovation: *Crossroads Bank for Social Security (CBSS)*

Category of Innovation: Category: Unique and proactive service delivery
Sub-category: Personalization in service delivery

Background on the Innovation / Rationale for Innovation:

(Source: Presentation “eGovernment in the Belgian social sector, co-ordinated by the Crossroads Bank for Social Security” by Frank Robben, General Manager Crossroads Bank for Social Security available at <http://www.ksz.fgov.be/en/international/page/content/websites/international/publicationcbss.html>)

Stakeholders of the Belgian social sector include:

- > 10,000,000 citizens
- > 220,000 employers
- about 3,000 public and private institutions (actors) at several levels (federal, regional, local) dealing with
 - collection of social security contributions
 - delivery of social security benefits
 - child benefits
 - unemployment benefits
 - benefits in case of incapacity for work
 - benefits for the disabled
 - re-imbursement of health care costs
 - holiday pay
 - old age pensions
 - guaranteed minimum income
 - delivery of supplementary social benefits
 - delivery of supplementary benefits based on the social security status of a person

The CBSS initiative originated in 1990 to address the lack of well coordinated service delivery processes and information management, which had led to a huge administrative burden and related costs for citizens, employers/companies, and actors in the social sector. In addition, service delivery didn't meet the expectations of the citizens and the companies: there was suboptimal effectiveness of social protection, insufficient social inclusion, too high possibility of fraud, and suboptimal support of social policy

The CBSS initiative was launched to meet the following expectations of citizens and employers:

- effective social protection
- integrated services
- attuned to their concrete situation, and personalized when possible

- delivered at the occasion of events that occur during their life cycle (birth, going to school, starting to work, move, illness, retirement, starting up a company, ...)
- across government levels, public services and private bodies
 - attuned to their own processes
 - with minimal costs and minimal administrative burden
 - if possible, granted automatically
 - with active participation of the user (self service)
 - well performing and user-friendly
 - reliable, secure and permanently available
 - accessible via a channel chosen by the user (direct contact, phone, PC, ...)
 - sufficient privacy protection

The Innovation:

The CBSS has evolved into a mega structure supporting Belgium's entire social security sector. It consists of:

- a network between all 3,000 social sector actors with a secure connection to the internet, the federal MAN, regional extranets, extranets between local authorities and the Belgian inter-banking network;
- a unique identification key
 - for every citizen, electronically readable from an electronic social security card and an electronic identity card
 - for every company
 - for every establishment of a company
- an agreed division of tasks between the actors within and outside the social sector with regard to collection, validation and management of information and with regard to electronic storage of information in authentic sources

Concrete results and impact include:

- 210 electronic services for mutual information exchange amongst actors in the social sector, defined after process optimization
 - nearly all direct or indirect (via citizens or companies) paper-based information exchange between actors in the social sector has been abolished
 - in 2008, 686 million electronic messages were exchanged amongst actors in the social sector, which saved as many paper exchanges;
- electronic services for citizens
 - maximal automatic granting of benefits based on electronic information exchange between actors in the social sector
 - 9 electronic services via an integrated portal
 - 3 services to apply for social benefits
 - 6 services for consultation on social benefits
 - about 30 new electronic services are foreseen

- 42 electronic services for employers, either based on the electronic exchange of structured messages or via an integrated portal site
 - 50 social security declaration forms for employers have been abolished
 - in the remaining 30 (electronic) declaration forms the number of headings has on average been reduced to a third of the previous number
 - declarations are limited to 4 events
 - immediate declaration of recruitment (only electronically)
 - immediate declaration of discharge (only electronically)
 - quarterly declaration of salary and working time (only electronically)
 - occurrence of a social risk (electronically or on paper)
 - in 2008, 23 million electronic declarations were made by all 220,000 employers, 98 % of which from application to application
- an integrated portal site containing
 - electronic transactions for citizens, employers and professionals
 - simulation environments
 - information about the entire social security system
 - harmonized instructions and information model relating to all electronic transactions
 - a personal page for each citizen, each company and each professional
- an integrated multimodal contact centre supported by a customer relationship management tool
- a data warehouse containing statistical information with regard to the labour market and all branches of social security

The CBSS has won the following international innovations awards:

- European eGovernment Awards finalist at the 5th European Ministerial E-government Conference with the Front Office Employment developed under co-ordination of the Crossroads Bank for Social Security - November 2009
- Special Mention Award for Data Protection Best Practices in European Public Services by the Data Protection Agency of Madrid for the Crossroads Bank for Social Security - June 2009
- European Public Service Award for the Crossroads Bank for Social Security - November 2007
- United Nations Public Service Award for e-Government - June 2006

Issues/Challenges and Critical Success Factors:

At the time of the creation of the CBSS initiative, there was a clear political will to solve existing problems and a scientifically well-founded solution based on the creation of a Crossroads Bank stimulating and coordinating business process re-engineering and electronic co-operation

Critical success factors and challenges include:

- a common vision on electronic service delivery, information management and information security amongst all stakeholders

- support of and access to policymakers at the highest level
- trust of all stakeholders, especially partners and intermediaries, based on
 - mutual respect
 - real mutual agreement
 - transparency
- respect for legal allocation of competences between actors
- co-operation between all actors concerned based on distribution of tasks rather than centralization of tasks
- focus on more efficient and effective service delivery and on cost control
- reasoning in terms of added value for citizens and companies rather than in terms of legal competences
- electronic service delivery as a structural reform process
- process re-engineering within and across actors
- back-office integration for unique information collection, re-use of information and automatic granting of benefits
- integrated and personalized front-office service delivery
- multidisciplinary approach
- business process optimization
- legal coordination
- ICT coordination
- information security and privacy protection
- change management
- communication
- coaching and training
- lateral thinking when needed
- appropriate balance between efficiency on the one hand and information security and privacy protection on the other
- quick wins combined with long term vision
- technical and semantic interoperability
- legal framework
- adaptability to an ever changing societal and legal environment
- creation of an institution that stimulates, co-ordinates and assures a sound program and project management
- availability of skills and knowledge => creation of an association that hires ICT-specialists at normal market conditions and puts them at the disposal of the actors in the social sector
- sufficient financial means for innovation: agreed possibility to re-invest efficiency gains in innovation
- service oriented architecture (SOA)
- Need for radical cultural change within government, e.g.
 - from hierarchy to participation and team work
 - meeting the needs of the customer, not the government
 - empowering rather than serving
 - rewarding entrepreneurship within government
 - ex post evaluation on output, not ex ante control of every input

Next Steps:

(Source:

<http://www.ksz.fgov.be/en/international/page/content/websites/international/aboutcbss.html>)

On its own initiative or on demand, the CBSS will continue to

- extend its services to other actors in the social sector than the social security institutions;
- stimulate the re-engineering of service delivery processes by creating value chains for the socially insured persons and the companies based on a combination of back office integration and a user friendly front office;
- assist the federal government and FEDICT in the further development of E-government.

More concretely, the following projects will be carried out:

- the back office integration will continuously be extended to all public social welfare centres, to the sectoral complementary pension funds (private schemes supplementary to the legal old age schemes), to the institutions of the Communities and Regions entrusted with social missions, to the municipalities and cities and to the health care professionals; about 80 new types of electronic messages are planned;
- the automatic granting of benefits based on the social security status of a person will be generalized; indeed, a recently published law states that people who are entitled to complementary benefits on the basis of their social security status, as for instance a tax reduction, reduced telephone charges or a free pass for public transport, must not be asked anymore to submit a certificate; they are allowed to refuse the delivery of a certificate without losing the benefit; the institution that grants the complementary benefit has to consult the Crossroads Bank for Social Security to get information on the social security status;
- the CBSS has proposed to the federal government the concept of the prefilled tax declaration of the natural persons; concretely, the tax declarations would be partially completed on the base of the data available in the social security network before being sent or presented on a portal to the natural persons; this would be a great step forward into administrative simplification;
- new electronic transactions will be developed for 3 target groups: the socially insured people, the companies and the health care professionals; the transactions will be put at their disposal in an application to application mode or via portal sites; about 30 new transactions are planned, such as the on line consultation of files and the on line calculation of benefits; in that respect the electronic identity card will be used for electronic authentication and putting electronic signatures;
- the service delivery to socially insured people and companies will become multi-channel enabled and be based on an integrated customer relation management; the services will be more personalized and self-service will be promoted;
- electronic payment facilities will be integrated in the service delivery;

- the use of the SIS card by all health care professionals will be promoted; as mentioned above, the connection of the health care professionals to the network will also be stimulated; once these connections have been generally implemented and the electronic identity card has been delivered to all citizens, the SIS can be abolished; the identification function will be taken over by the electronic identity card and the insurance status will be accessible via the network;
- an integrated E-government platform will be implemented between all Belgian government levels, and integrated with European E-government initiatives.

Contact Information:

Frank Robben

General Manager Crossroads Bank for Social Security and General Manager eHealth Platform

Sint-Pieterssteenweg 375

B-1040 Brussels

E-mail: Frank.Robben@ksz.fgov.be

Website CBSS: www.ksz.fgov.be

Personal website: www.law.kuleuven.be/icri/frobben

Case Study # 9 - France

Title of the Innovation: *France's mon.service.public.fr*

Category of Innovation: Unique and Proactive Service Delivery and Personalization in Service Delivery

Background on the Innovation / Rationale for Innovation:

In December 2008, [Mon.Service-Public.fr](http://mon.service-public.fr), the next generation eGovernment portal, went live nation-wide. It aims to offer **unified, personalised and secure access** to online Government services. Users of this new portal first need to create a personal account in order to:

- securely manage their administrative procedures online;
- access customised information;
- have a personal data space for entering their personal data once and for all; and
- store the eDocuments exchanged with the public authorities (e.g. eCertificates, tax declaration, reimbursement files, birth certificate extracts)
- see the progress of the administrative procedures online in a dashboard

The original portal - Service-Public.fr - was launched in October 2000 as a key access point to practical information focused on the daily-life events of public service users. In February 2008, the portal was enriched with the website **Administration 24h/24**, a one-stop shop for both citizens and businesses to easily and swiftly perform administrative formalities online.

Mes démarches 24h/24 (www.service-public.fr/demarches24h24/), the resulting section of the eGovernment portal, features a search engine that leads to the most complete information relating to the keyword entered, thus providing links to:

- all relevant public services online for both citizens and businesses;
- both the address and phone directory of the public bodies involved;
- the websites of the relevant actors.

Moreover, in order to further simplify the use of the portal, the most commonly used public services for citizens have been highlighted, structured around the following life themes: my family, my health, my job, my studies, my papers, my citizen life, my accommodation, and my taxes. Each thematic section provides direct links to a wide range of public services online that are accessible 24 hours a day, 7 days a week.

A specific section of the portal (www.pme.service-public.fr) is aimed at simplifying administrative procedures for businesses, in particular small and medium-sized enterprises (SMEs) and freelancers. Similarly, the [most commonly used services online](#) are displayed according to the day-to-day business of a company, namely taxation; employment and social matters; international trade, customs and establishment abroad; transports; innovation and intellectual property; company registration; and public contracts.

The services provided are supported by one common electronic signature solution and allow for the electronic access to administrative forms, as well as their eFilling in and online return.

As of January 2008, two-thirds of administrative procedures (approx. 600) were fully available online.

In December 2008, Service-Public.fr was enriched with Mon.Service-Public.fr, the country's most advanced eGovernment portal aimed at offering unified, personalised and secure access to the entire set of Government services available online. Users of the new portal first need to create a personal account which will enable them to securely manage their administrative procedures online while accessing at the same time personalised, customised information. In this way, access to online services has been drastically simplified, since the user does not need to remember several passwords.

As of December 2008, the first eServices available on 'mon.service-public.fr' included:

- For those employing home-workers: online declaration of employment, possibility to check and edit employment certificates and tax certificates.
- For public service agents: retirement management service online.

More eServices are constantly being added. The ultimate target is to provide all possible public eServices via this portal.

Another major advantage for users consists of gaining a general overview of all their ongoing administrative formalities online. One can receive at any time, via his/her personal account, alerts on the state of progress of the relevant administrative procedures.

Last but not least, the owner of a personal account has a secure online personal data space at his/her disposal for:

- Entering his/her personal data once and for all (name, address, etc) so as to simplify the filling out of administrative forms;
- Storing the eDocuments exchanged with public bodies (eCertificates, income taxes declarations, reimbursements files, birth certificate extract, etc.);

'Mon.Service-Public.fr' was first tested on samples of users over the period 2006-2007 and has been operational since 2008. The Directorate-General for State Modernisation (DGME) is responsible for the coordination and development of the new portal.

The Innovation:

(Source: <http://www.oecd.org/dataoecd/0/19/39611380.pdf>)

Mon.service-public.fr is intended to be the country's most advanced eGovernment portal by offering unified, personalised and secure access to the entire set of Government services available online.

- Offers user-friendly browsing of government services
- Enables everyone, with a single click, to display a summary of his or her relations with the general government
- Simplifies and encourages the use of online services
- Improves the visibility of teleservices
- Encourages the use of electronic documents
- Provides government departments with the infrastructures needed to optimise user relations
- Makes the most of existing resources – the new system is for use and must therefore build on the existing resources at Service-Public.fr

General principles:

Personalised front office page

- Accessible from Service-Public.fr and from the other partners' portals linked to "Mon.Service-public.fr."
- Extension of SP.fr for personalised access with tools for procedures

Coherent access to government procedures

- Geographical personalisation
- Theme-based channels enriched with the services of partners

Unique authentication

- Single Sign On
- Management of several security levels
- Federation of identities
- Authentication method at the user's choice (identifier, password, SMS)

Scoreboard

- Follow-up of procedures
- Unified email service *via MSP*
- Personalised information

Safe deposit box

- Storage and use of personal data
- Electronic supporting documents for use in procedures

Issues/Challenges and Critical Success Factors

Strengths

- A high degree of satisfaction with the proposed services
- Definite interest in the proposed services, and a keen interest for some (e.g. the federation of identities, which was understood and considered useful and easy to use by 76% of all users)
- A portal which is easy to use
- A portal whose perceived level of security is satisfactory and whose users tend to feel secure

- Limited concern about the storage of personal data (74% of all users feel in control of the use which may be made of their personal data)

Weaknesses

- The overall purpose of the service is relatively difficult to determine (the usefulness of the system depends mostly on the number of partners linked to the system)
- The utilisation frequency is relatively low: 2/3rd of all testers connected fewer than 5 times during the test period
- There is a gap between the perceived security and the actual security of the system (the identifier and the password are easy to use and most users are not even aware that some authentication methods are safer than others (dynamic password by SMS, certificate on chip card, etc.)
- The partner-based approach requires considerable effort

Contact Information :

Nicolas Conso,
Chef, Service Innovation
Direction général de la modernisation de l'Etat
Nicolas.Conso@finances.gouv.fr

Case Study # 10 – Portugal

Title of the Innovation: *eTaxation in Portugal*

Category of Innovation: Proactive Service Delivery

Background on the Innovation / Rationale for Innovation:

“Following on a decision to require companies and other legal entities to submit their annual tax declarations via the Internet, the Portuguese government has now adopted a package of measures to facilitate the electronic submission of personal income statements.”¹

Main benefits for the taxpayers:

- Services available online 365/7/24
- No need to acquire paper forms
- Priority payment of the reimbursement

Main benefits to the Fiscal Administration:

- Reduction of the resources assigned to the front-office and collection
- Reduction in the collection errors and therefore in the resulting costs associated
- Decrease in the exploration cost of other systems
- Decrease in the volume of the physical archive

The Innovation:

The Portuguese government provides pre-filled tax forms to its citizens that they can download from the Internet. They then have the opportunity to correct any errors and resubmit the form to the government. These measures are intended to save the taxpayer time and increase the rate of tax compliance. “New measures include an e-mail alert service for early detection of errors, which will allow taxpayers to correct possible mistakes in their declarations and avoid reimbursement delays.”²

Issues/Challenges and Critical Success Factors:

As this was the first big project developed by the Portuguese government offering electronic services to citizens and businesses it was critical that the Fiscal Administration provide a positive first experience to the taxpayers, especially given the sensitive nature of declaring and paying taxes.

In order to achieve this ambitious goal, the Fiscal Administration initiated this project based with the following critical success factors in mind:

¹ <http://ec.europa.eu/idabc/en/document/5965/5584>

² <http://ec.europa.eu/idabc/en/document/5965/5584>

Critical Success Factors:

- Availability of completely automated services that were integrated with the back-office
- Provision of the following options from the beginning: service delivery, an option to correct information and the possibility to consult tax officials
- Availability of confirmation documents (provided as PDF files) of the online transactions that were made
- Well-designed interface with ease-of-use as a priority
- Giving incentives (such as priority reimbursements given to those who completed their tax submissions online)

These options allowed the fiscal portal to grow at fast pace in a sustained way. Moreover, increased value was added as new services were integrated.

The attention given to the design and ease-of-use of the interface was also a critical success factor since the majority of the users were already habituated to using the paper templates. Therefore, the electronic version very much resembles the paper one, but without the need of filling all fields and giving hints online, in addition to validation and correction. This shortened the “learning curve” of the new portal users and provided the users with a positive experience.

In 2005, more than 1.7 million declarations were made via the Internet, an 80% increase from the previous year.

Next Steps:

“The core service is already up and running, but a number of other measures will follow soon. These include a new on-line help desk service, improved guidelines for using electronic forms, a new ‘eTax alert’ service notifying users of the status of their submission, and measures to improve the use and communication of passwords for the system.”³

Contact Information :

Paulo Duarte Silva
paulo.silva@ina.pt

Sources :

- <http://ec.europa.eu/idabc/en/document/5965/5584>
- E-Taxation in Portugal: Good Practices and Perspectives, [presentation](#)
Paulo Duarte Silva, University Lisbon (PT) (note: the above link is from this page: <http://www.epma.cz/programme-and-presentations.html>)

³ <http://ec.europa.eu/idabc/en/document/5965/5584>

Case Study #11 - United States

Title of Innovation: *Data.Gov* (<http://www.data.gov>)

Category of Innovation: Transparency / Openness –
Comprehensive/Collaborative/Integrative – Web 2.0

Background on the Innovation / Rationale for the Innovation:

Note: The information for this case study has been supplied by the Office of Citizen Services in the General Services Administration of the US federal government. It has also been supplemented by other sources including the Data.gov Web site where appropriate.

From the Data.gov Web site:

The purpose of Data.gov is to increase public access to high value, machine readable datasets generated by the Executive Branch of the Federal Government. As a priority Open Government Initiative for President Obama's administration, Data.gov increases the ability of the public to easily find, download, and use datasets that are generated and held by the Federal Government. Data.gov provides descriptions of the Federal datasets (metadata), information about how to access the datasets, and tools that leverage government datasets. The data catalogs will continue to grow as datasets are added. Federal, Executive Branch data are included in the first version of Data.gov.

Public participation and collaboration will be one of the keys to the success of Data.gov. Data.gov enables the public to participate in government by providing downloadable Federal datasets to build applications, conduct analyses, and perform research. Data.gov will continue to improve based on feedback, comments, and recommendations from the public and therefore we encourage individuals to suggest datasets they'd like to see, rate and comment on current datasets, and suggest ways to improve the site.

A primary goal of Data.gov is to improve access to Federal data and expand creative use of those data beyond the walls of government by encouraging innovative ideas (e.g., web applications). Data.gov strives to make government more transparent and is committed to creating an unprecedented level of openness in Government. The openness derived from Data.gov will strengthen our Nation's democracy and promote efficiency and effectiveness in Government.

The Innovation:

Data.gov is designed to make federal government datasets available for “mashups” and other innovative applications. These innovations could come from the private sector, entrepreneurs/individuals or federal employees/agencies.

The principle behind Data.gov is that the data gathering carried out by the federal government is funded by taxpayer dollars, so the data should be made more publicly

available as well as more easily accessible/searchable through a one-stop or single window site.

Previously, some data sets were considered too large to post on federal agency Web sites or there was the notion that there would not be enough interest in the data to justify the time and resources required by federal government to make the data available.

The December 8, 2009 Open Government directive says that each agency must make at least three data sets available on Data.gov. The data sets must be ones that have not been made available before. Data.gov increases the ability of the public to easily find and download datasets, but also provides tools to help clients use the datasets.

There were many factors that motivated this innovation, including a desire to improve client satisfaction, an opportunity for the government to leverage new technologies, a desire to achieve public policy goals, and a new political direction.

Data.gov was built for the Office of Management and Budget (OMB) by the General Services Administration and the Federal Chief Information Officers (CIO) Council. This project is in its early stages and the government is still measuring its success and also waiting to learn about potential innovations, applications of data and cost savings from its employees, the private sector, citizens and entrepreneurs.

Issues / Challenges Encountered:

As the project is still in its early stages, no challenges have been identified to date. As with many projects, generating initial awareness and then sustaining interest in and usage of the Web site over the years will be a factor. Fortunately, however, the GSA has significant experience and has been previously successful with other Web site initiatives, including its award winning USA.gov site.

Critical Success Factors:

At this early date, the most important factor driving the success of this innovation has been the leadership from the OMB Office of E-Government and the IT CIO, Vivek Kundra and CTO, Aneesh Chopra. Kundra has significant experience in opening up government datasets, particularly in his previous post as CTO for the District of Columbia. While working there, Kundra held contests that offered prize money to citizens who could develop innovative applications using the district government's data. Chopra served as Secretary of Technology for the State of Virginia. While there, he experienced first hand how IT can improve citizens' lives.

Additionally, by making it mandatory that each department supply a minimum of three datasets, the project is guaranteed to have wide variety of data that will appeal to a broad swath of the American public.

Next Steps:

The data catalogues housed at Data.gov will continue to grow as more and more data sets are added. For the first version of Data.gov, only Federal Executive Branch data has been included. Perhaps in future, state and local government data will be added and the legislative and judicial branches will round out the federal government data picture.

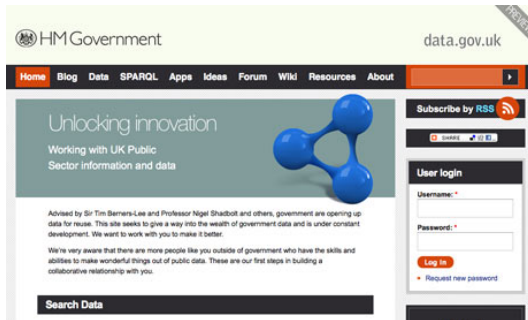
Data.gov will continue to be improved based on feedback, comments and recommendations from the public. The site is welcoming and encouraging individuals to suggest datasets they would like to see. The site is also highly interactive in that it asks users to rate and comment on current datasets and also to suggest ways to improve the usability and navigation of the site.

Contact Information:

Karen Trebon
Program Analyst
Office of Citizen Services
U.S. General Services Administration
202-501-1802
karen.trebon@gsa.gov

Case Study # 12 – United Kingdom

Title of Innovation: *Data.Gov.UK* (<http://www.data.gov.uk>)



Category of Innovation: Transparency / Openness – Web 2.0

Background on the Innovation / Rationale for the Innovation:

Note: The information for this case study has been drawn from the Data.gov.uk Web site, the UK Cabinet office news release of January 20, 2010 and other published articles and materials. No interviews were conducted.

On January 20, 2010, the UK government publicly launched a beta version of a new site called data.gov.uk. This site currently contains more than 2,500 datasets from across the UK government. The data are all non-personal and is provided in a format that can be reused by individuals or businesses.

In launching this Web site, the UK government is fulfilling a commitment made in its *Putting the Frontline First: Smarter Government* strategy. According to Stephen Timms, Minister for Digital Britain, “*Freeing up public data will create major new opportunities for businesses. By allowing industry to use data creatively they can develop new services and generate economic value from it. This is a tremendous opportunity for UK firms to better secure better value for money in service delivery and to develop innovative services which will help to grow the economy.*”

The Innovation:

As detailed on the *Public Launch* page of their Web site:

Data.gov.uk acts as an online point of access for government-held non-personal data. This is to enable people like you to take it, re-use it and make interesting things with it.

This site has been some months in the making with a developer preview back in September. We made the site available to members of the development community to test it, use it and provide feedback on where we should be headed.

For those of you new to the project here is a quick summary of key features on the site:

- [Searching / Browsing datasets](#) - allows you to quickly access data in areas of interest to you. Try browsing by subject tags, or searching for terms like 'education' 'traffic' 'crime'. Individual results then provide you with links which will take you to the data.
- [Forum](#) get involved in a conversation about the data and project through the forum. You'll need to register to contribute, but anyone can have a look.
- [Wiki](#) - Here you can work together to share techniques, ideas, problems and tools. As with the forum anyone can view the wiki, but you will need to login to create new content.
- [SPARQL](#) – the more technical of you will want to run you own queries against the data stores available; this is the place to start. There some advice about using SPARQL at <http://www.data.gov.uk/blog/using-sparql-our-education-datasets>
- [Ideas](#) – got a great idea for how some of the data could be mashed up and presented? This is the place to go and submit your idea, with the hope that someone out there will pick it up and develop it. Ideas already submitted include using data that exists from the Environment Agency to map high flood risk areas.
- [Applications](#) - here you will find applications that others have already created and submitted. You can view, comment on and rate all published applications as well as upload your own.

Thanks to the advice and feedback that our pre-viewers have given us, there are a number of new features on the site which we have been working on and improving over the last few months. These include:

- [Datasets](#) – we have both increased the number of datasets available on the site and made the information about each dataset more extensive.
- [Browsing](#) - you can now browse datasets by listing all our data as well as common subject tags.
- [Wiki](#) – The site has now integrated a wiki which enables the sharing of community knowledge. Every dataset now links to a wiki page which includes some example headings where we hope information about using the data with sample queries and example source code can be shared.
- [Forum](#) – The site now has a forum which allows registered users to discuss aspects of the project in more depth.

As a beta release we know that there is a still lot to do and that this is very much a work in progress. We do hope, however, that the site starts to deliver the functionality and data that you would like to see. We'll be working hard to make further improvements. Please do use the forum and other community functionality to let us know what you think - including anything that you think that we have missed out – to help shape the next version.

Issues / Challenges Encountered:

According to media sources, a significant challenge encountered was the reticence on the part of the UK bureaucracy and senior officials to accept the concept of opening up

government data to the public. There was a culture that all data, even non-personal data, needed to be protected and kept within the control and purview of the government itself.

Critical Success Factors:

The speed in which the UK government went from an initial idea to the launch of a beta version of the data.gov.uk Web site is according to media sources due, in no small part, to the involvement and hands-on leadership of Sir Tim Berners-Lee (the inventor of the World Wide Web) and Professor Nigel Shadbolt (of Southampton University).

The UK government also had the experience of the United States government's data.gov Web site to draw upon. The United States' data.gov beat the UK site out of the gate by just more than a month.

Next Steps:

Over the next weeks and months, more functions and datasets will be added to the Web site. The UK government also plans to continue to work to provide data in a way that is as flexible and as easy-to-use as possible.

Contact Information:

Not applicable

Case Study #13 - United States

Title of Innovation: *Recovery.Gov* - (<http://www.recovery.gov>)



Category of Innovation: Transparency/Openness,
Comprehensive/Collaborative/Integrative

Background on the Innovation / Rationale for the Innovation:

Note: The information for this case study has been supplied by the Office of Citizen Services in the General Services Administration of the US federal government. It has also been supplemented by other sources including the Recover.gov Web site where appropriate.

The Recovery.gov Web site has been in existence for only a short period of time (less than a year) but it has already established itself as a leading example of openness and transparency in government and, more specifically, in detailing how government funding is distributed.

Recovery.gov tracks how American Reinvestment and Recovery Act (ARRA) funds are being spent by federal, state and local governments. This information is widely accessible by citizens, businesses, academics or any other interested parties.

Recovery.gov is designed to show the impact of ARRA funds at the community level. It also shows the impact of the funding on jobs saved and/or created as well as the number of projects that have been completed or are yet to start. In particular, citizens can enter their zip code for information about their own local neighbourhood.

The motivations behind the creation of the Recovery.gov site were numerous but included a desire to improve client satisfaction, a need to meet the requirements of a legislative change, a desire to achieve a public policy goal of ensuring greater openness and transparency, and a need to recognize a new political direction.

The Innovation:

As described on the “About Us” page of the Recovery.gov Web site:

A provision in the American Recovery and Reinvestment Act of 2009 calls for establishing “a website on the Internet to be named Recovery.gov, to foster greater accountability and transparency in the use of funds made available in this Act.”

Recovery.gov went live shortly after President Obama signed the Recovery Act into law

on Feb. 17, 2009. Given its primary mandate – to allow taxpayers to see precisely what entities receive Recovery money in addition to how and where the money is spent – the site displays easy-to-understand, user-friendly graphs, charts, and maps.

These tools, which the site continues to enhance and refine, offer both telescopic and microscopic views of Recovery spending and projects across the country, from a larger national overview down to details of individual projects in specific zip codes.

The site also provides an online way for reporting any suspected fraud, waste or abuse related to Recovery funding and projects.

As recipients of Recovery funds file quarterly reports about their spending and the status of their projects – including the number of jobs created and/or saved – Recovery.gov will update data and information accordingly. More frequently, the site posts Recovery-related news and developments as well as the results of any Recovery-related audits or investigations.

Recovery.gov is operated by the Recovery Accountability and Transparency Board, which was also created by the Recovery Act.

The service delivery model for Recovery.gov can be best described as an external horizontal partnership where both the work and the site design have crossed boundaries with other levels of government.

Recovery.gov was built by the U.S. General Services Administration’s Office of Citizens Services but it requires a significant commitment on the part of state and local governments who are recipients of federal loans and grants and who have become partners in the process. All levels of government are required to submit spending information to the Recovery.gov Web site.

Recovery.gov is governed by the Recovery Act Transparency Board, which is made up of a chairman and inspectors general from 12 federal agencies. The Chairman of the Board is Earl Devaney.

Issues / Challenges Encountered:

An initial challenge was data accuracy due to data entry mistakes made by those submitting information into the system.

In the first reporting period, many recipients entered the wrong congressional district in their reports. This mistake resulted in some confusion in the news media as some reporters mistakenly believed that money had disappeared into “phantom” districts. The overseers of Recovery.gov have now installed internal logic checks in the FederalReporting.gov supporting pages that will prevent such clerical mistakes. If a recipient’s district does not match the zip code entered into a report, the system will not allow the recipient to submit the report until the correct congressional district is entered.

Additionally, some recipients initially reported spending more money than they actually received or they reported a project as “completed” even though they may not yet have received Recovery funds. Again, an internal logic check has been built so that these incorrect entries will be flagged and errors will be prevented.

Critical Success Factors:

A critical success factor in the rapid development and launch of the Recovery.gov Web site was the “can do”, positive attitude of the employees involved in the process. Recovery.gov was built quickly and with existing staff. Recovery.gov leveraged the extensive internal experience in designing quality public Web sites using the latest technology. It should also be recognized that the GSA’s Office of Citizens Services oversees a number of Web services which it offers to agencies and departments across the US federal government including:

WebContent.gov

WebContent.gov is a one-stop resource for government web professionals to learn the laws and best practices for public websites. Find about a new Usability Test Environment tool that is available free to federal employees.

Web Manager University

Web Manager University provides training for government employees from some of the leading experts in the field.

Web Usability Environment (UTE) Tool

The UTE Tool helps federal web managers efficiently and effectively test their websites to make them more citizen-centric.

The Recover.gov site means that citizens, businesses, the media and/or academics no longer need to call or write the government (at any level) to find out how ARRA funds are impact theirs or other’s communities across the USA. They also have quick and easy access to detailed information about the administration and processes behind the funding decisions. This level of openness is considered unprecedented. It is also a cost-saving measure. It is estimated that each call that does not go to a call center means a savings of \$5.50. Fewer calls also means that government resources can be better allocated to higher priorities elsewhere.

The Recovery.gov initiative has also put in place a series of performance measures to track how the site is performing. For example, there are Board reports to the President and to Congress on a quarterly and annual basis. There is a requirement for federal, state and local governments to submit information via federalreporting.gov on a quarterly basis and there are also ad hoc reports on matters that require immediate attention as and when required.

The Recovery.gov has been well designed. It is simple and easy to use. For example, without any prior training, a visitor can examine the ARRA money that has flowed to any

State or community and it only requires a matter of minutes to navigate through the pages/links.

Next Steps:

There are still a few areas where recipients are unclear as to how to correctly report information. For example, some recipients were unsure about how to correctly report the number of jobs created and/or saved. The OMB will be clarifying its guidance on this and other issues.

Furthermore, under existing government guidance, recipient mistakes in quarterly reports could only be corrected during a 20-day period after the submission process closes. This will be changed so that recipients will be able to correct any mistakes on a continuous basis each quarter. This will vastly improve the quality and the accuracy of the data that the site presents to the public.

Finally, the Recovery Board (the Chairman and the 12 Inspectors General) plan to assess how well the agencies have performed their quality reviews of recipient reports so that further adjustments can be quickly made if necessary.

Contact Information:

Karen Trebon
Program Analyst
Office of Citizen Services
U.S. General Services Administration
202-501-1802
karen.trebon@gsa.gov

Case Study # 14 - City of Chicago

Title of Innovation: *City of Chicago Police Department – CLEAR (Citizen Law Enforcement Analysis and Reporting) Reporting System*



Category of Innovation: Transparency / Openness / Citizen Engagement / Community Engagement / Professionalization of Staff / Partnerships

Background on the Innovation / Rationale for the Innovation:

Note: The information for this case study is drawn directly from the Chicago Police Department Web site and the Harvard Kennedy School Ash Institute's Innovations in America Government Awards and is supplemented by other published materials and a telephone conversation with a member of the Chicago Police Department.

As described in the Ash Institute Media Release of September 25, 2007:

Prior to the implementation of the CLEAR system, the city of Chicago frequently outranked other metropolitan areas in homicide and violent crime rates. Chicago Police Department officers spent valuable time at their desks searching for criminal data and filing paper work instead of fighting crime on their beats. Launched in 2003 and built by members of the department, the CLEAR system is widely credited as the primary factor in Chicago's decreasing crime rates. Despite escalating crime rates across the United States, Chicago reports 613 fewer homicides and 8,734 fewer shootings than years prior between 2004 and 2006.

The Innovation:

Jonathan Walters wrote a detailed article for Governing.com on Chicago's CLEAR system. His description of the innovation is excerpted below. Please note, however, that some of the applications and technologies described in the excerpt are still in the development stage and have yet to be fully operationalized.

CLEAR takes the basic concepts behind data-driven crime mapping and vastly expands it, creating a widespread and cross-cutting system of information gathering, storage and retrieval that gives all law enforcement officials – from foot patrols to high level managers – as well as citizens a virtual view of the total crime picture in the metro region.

CLEAR isn't a technological monolith, rather it's a collection of high-tech tools and IT-enabled tactics that have been woven together over more than a decade to allow for more information-driven and prevention-focused crime fighting — giving rise to the term "fusion centers."

On the hardware side, CLEAR includes everything from the squad-car laptops and handheld devices police officers use to check and collect names, license plates, photos and fingerprints out in the field; to field microphones that pick up and triangulate gunshots; to stationary cameras that monitor potential crime hotspots; to mobile cameras that can scan thousands of license plates an hour to check for stolen vehicles or possible fugitives or suspects.

On the intelligence side, CLEAR links databases that contain a huge range of information on arrests and convictions, stolen vehicles, warrants, firearms data, investigative alerts, gang activity (including individuals' affiliations and rank), juvenile curfew violations and incidence reports, among a host of other information sets. Meanwhile, relevant information on incidents and key events can be quickly mapped to identify patterns and trouble spots — and even predict where and when an offender or trouble might show up next.

Currently, approximately 14,000 citizens and local businesses subscribe to a service through CLEAR which will offer regular updates on what's happening in specific beats (there are 281 beats within the 25 police districts), including alerts if police are seeing — or anticipate — some uptake in crime in a particular area or if they need help finding a particular person.

At the same time, the system also offers residents a way to pass along tips — anonymously, if they wish. They also can attend "virtual" beat meetings through CLEAR.

Additional Note: From speaking with Richard Glasser who is the Web master of CLEAR, we also know that the individual districts provide information through the system on everything from what community and city services are available in a particular area, to recreational and job opportunities for youths, as well as news stories and community information. A feature that has been added to the system is the ability for citizens to voice their concerns and submit on-line reports about incidents, disorders or other activities in their neighbourhoods. Once the report is submitted, the citizen receives a tracking number and can monitor the progress of his/her report. Each valid, on-line citizen report receives a response from the Department.

The potential to build on CLEAR to improve community-police relations is significant, says Dennis Rosenbaum, who teaches criminal justice and psychology at Loyola University and evaluates community policing efforts nationally.

For example, CLEAR isn't used only to monitor criminal activity. It also contains personnel information on police officers themselves, ranging from keeping track of sick leave to complaints about excessive use of force. The system allows for "early

intervention” if a cop seems to be racking up an unusual number of complaints out in a particular neighborhood.

Rosenbaum envisions CLEAR being used to do citizen polling, including asking questions around police-community relations generally, what sort of law enforcement services residents would like to see more of or how safe people feel walking the streets of their neighborhoods. “It’s the democratization of policing,” he says of the CLEAR-community connection. “It’s about expanding the dialogue between the police and citizens around police and public safety.”

Another spin-off of the CLEAR-community connection has been that other city agencies are now frequently called in to help solve neighborhood problems that were initially identified by citizens and the police — whether it’s a need to repair streetlights, remove abandoned cars or deal with derelict properties. Note: While this functionality has always been part of the community policing initiative (CAPS) and pre-dates the CLEAR system, what is new in CLEAR is that the citizen’s online complaint is immediately channelled to another City agency if it is not a police issue. The police do not need to perform a middleman function if, for example, the citizen is complaining about broken street lights.

But at the end of the day, CLEAR is first and foremost about fighting crime, and to that end, CLEAR seems to now routinely prove its value. It’s been so effective in helping police, in fact, that dozens of jurisdictions in the metro area have signed on to access CLEAR databases. “We border the city on two sides,” says Oak Park police chief Rick Tanksley, “and so we share some of the same criminals.”

Specifically, the Harvard Ash Institute notes that CLEAR systems innovations include:

- One Source of Real-Time Crime Data
- Administrative Efficiency
- Community Engagement Tools
- Reduces Barriers to Data Sharing

Issues / Challenges Encountered:

A May 7, 2004 Government Technology Magazine article (http://www.govtech.com/gt/90188?id=90188&full=1&story_pg=2) spoke about some challenges encountered with the creation and implementation of the CLEAR system as it was adapted by the Illinois State police (I-CLEAR) from the CLEAR system in the City of Chicago and in Cook County. For example, there were funding challenges although it was argued that by merging and consolidating multiple systems the costs would be absorbed by new efficiencies and the need for fewer personnel. There were also questions about governance and technological infrastructure requirements. One can assume that the City of Chicago likely faced some similar challenges in establishing the initial CLEAR system.

In speaking with the CLEAR representative, a few more specific issues/challenges were raised. First, the CLEAR system had to overcome a high degree of scepticism among police force members themselves. As with many large government and non-government organizations, new information management or information technology systems are regularly introduced, all of which promise significant changes that, in the end, do not necessarily fully meet user expectations. Therefore when the CLEAR system was introduced, there was work required upfront to convince police force members of its “pay-off” and investment value.

A second challenge, which is again not uncommon, was the fact that introducing a new system requires a significant amount of training within a very short period of time. As with any information management or information technology system, the learning curve can be steep.

Finally, there were some technical problems with the CLEAR state-wide case reporting form. Some of the state police groups had more limited network capabilities which required the Department to make adjustments and, in the end, they needed to host the reporting system on their own servers. The CLEAR system is still working towards a single case reporting system across all jurisdictions.

Critical Success Factors:

In the Chicago Police Department report, *Making Chicago the Safest Big City in America* (2007), Superintendent Cline noted that a key to the city’s success in crime reduction was developing a more thorough understanding of the driving forces of crime in Chicago. This understanding came from a variety of successful initiatives, including intelligence-led policing strategies, technological advancements, information sharing and training, and community-based projects. Obviously a complex issue such as crime-reduction requires a multi-faceted and equally complex solution of which the CLEAR system and technological advancements were just one component.

Also of note is the Chicago Police Department’s emphasis on involving members of the community. In particular, the CLEARpath Web site enables Chicago citizens to engage with their police force to help fight crime and making their communities safer.

To continue to provide resources that help the Department connect with the community, the Chicago Police Department's CLEARpath web site offers various online resources that help community members learn more about their Districts, Beat Meetings and Events, learn how to protect themselves against crime, report crime anonymously, get reports, and chat with the Department.

The CLEARPath Web site is interactive and also includes a visual component. It has CLEARtube application that is “designed to allow the citizens of Chicago the ability to view Chicago Police Department approved streaming videos. These videos can range in topics from Police Policies to community outreach programs. This application will allow Chicago Police Department employees to submit videos that they feel would benefit the community; once the video is approved through the Legal department it is then uploaded

to our CLEARtube page and there the community can search and watch any video that may be in the video archive. Almost instantaneously, a copy of the video is uploaded to Youtube and users can go there to watch the video as well.”

Next Steps:

In 2010, the Department will put in place on-line crime reporting for selected categories of crime. This is a service that the citizens and system users have been requesting for a number of years. Additionally, the Department will be developing a “unified front-end” to the CLEAR system so that police officers only have to enter subject information once and it will be shared across multiple, back-office systems. This will save even more time for police officers allowing them to, again, increase the time they spend on actual police activities.

Contact Information:

Jonathan Lewin
Commander, Information Services Division
jonathan.lewin@chicagopolice.org
Telephone (312) 745-5755

Case Study # 15 - Federal Government of Germany

Title of Innovation: *D115 Public Service Number*

The 115 telephone number offers a direct line to the public administration, no matter which agency or office is responsible for dealing with the matter in question. A pilot phase began in the first pilot regions on 24 March 2009

Note: Much of the information in this case study is drawn directly from German government Web sites.

Category of Innovation: Technology/Channels

Background on the Innovation / Rationale for the Innovation:

At its IT summit on 18 December 2006, the federal government first addressed the idea of a single government service telephone number. Because the telephone is still an important channel for the public to communicate with public servants, the federal government decided that a single national service number should be introduced to provide information and respond to questions from the public.

The goal of the D115 project is to provide accurate information about government services under a single telephone number. The D115 project was launched in the pilot regions on 24 March 2009. The pilot phase will last for about two years. Additional federal, state and local government agencies throughout Germany will be added to the D115 cooperation.

Project costs:

The financing of the D115 project public service number follows the principle of decentralization. The necessary investments to build and operate the service centres in participating pilot regions are paid for by the relevant state and local agencies and authorities.

The costs associated with the central project group are borne by the Federal Ministry of the Interior on behalf of the federal level and by the state of Hesse. Both project participants pay for personnel and material expenditures as well as the cost of workshops, public information and third-party contracts. In addition, federal start-up funding is planned to finance the creation of the D115 cooperation, including the cost of developing, setting up and testing the necessary central components such as the network and related research.

The Federal Ministry of the Interior won the 2009 “eGovernment-Wettbewerb⁴” for “Innovation” for the D115 project.

⁴ <http://www.egovernment-wettbewerb.de/gewinner.html>

Issues addressed: i.e. What are the advantages of the new public service telephone number?

- ❑ Service orientation: D115 will make public administration more responsive to public needs: One, easy-to-remember telephone number offers businesses and private citizens a direct line to information about services provided by public administration.
- ❑ Efficiency: The D115 project reduces burdens on public administration: As many queries as possible will be resolved by the service centre during the initial call. That frees specialists from having to respond to telephone queries.
- ❑ Cooperation: The D115 project encourages cooperation between different levels of government: The project starts at local level and extends upwards; federal, state and local governments are working together on the D115 project. All participants are actively involved and help each other.
- ❑ International trend: The D115 project emulates international models: Central service numbers already exist in other countries, such as the 311 non-emergency service number in many U.S.cities and the 3939 public service number in France.

The Innovation:

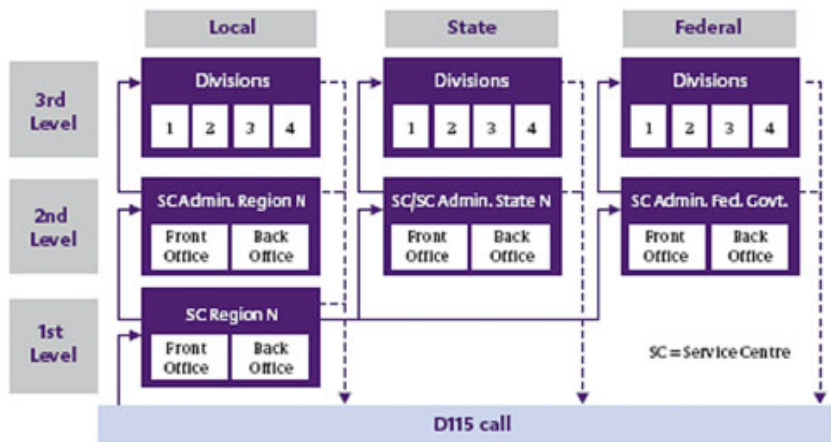
The D115 project unites the tried and tested with useful developments for the future: Existing public information call centres are being incorporated in the D115 cooperation, upgraded and linked, creating a platform for further innovation and greater networking.

The network of D115 service centres needs a way to channel calls from all landline and mobile networks. Using certain identifiers (e.g. regional code or cell), calls must be assigned to the appropriate D115 service centres with regional or functional specializations and routed to the nearest D115 service centre.

Network operations and routing are to be financed from a small percentage of the charges for 115 calls; i.e. callers to the 115 service will bear these costs (based on local call charges).

Service Structure: Experience gained in the qualified pilot regions suggests that about 80% of all 115 calls have to do with matters at local level. Therefore, these queries should preferably be answered by the responsible local authorities. Consequently, callers' first point of contact will mainly be local service centres. Client queries about issues concerning the local or federal administration which cannot be answered by the local service centre's front office or back office should be forwarded to the central state or federal service centre (2nd level).

If a local or federal service centre is not able to resolve the query satisfactorily either, the query will have to be forwarded to the responsible specialized authority at federal or state level (3rd level). Nevertheless, simple and frequently asked questions about state administration are included in the local service catalogues and answered already at this level without involving the responsible state or federal authority.



The knowledge management system: In Germany, administrative tasks are divided between the federal, state and local levels. To make it easier for the public to find their way through the various levels of government, and to provide consistently reliable information about government services, it is necessary to put the relevant information into standardized form: the D115 knowledge management system.

The D115 project has therefore set a standard for describing government services, so that all D115 cooperation participants have access to information of comparable quality and quantity.

Participating service centres make standardized information on the most important public services available to the D115 cooperation. The D115 service centres refer to this information to answer callers' queries. Every level of government participating in D115 is responsible for providing accurate and up-to-date information.

To deal with questions within the service centre's area of responsibility which are not covered by the catalogue of most important public services, service centres have access to their own local databases or registers. There are currently no plans to make such local information available to other participants via a standard portal.

Service level:

The quality of a service centre is also determined by how many calls can be taken within a certain period. The term used in the relevant literature, "standard service level", defines a service level of 80/ 20, meaning that 80 percent of calls are taken within 20 seconds. During the D115 pilot phase this standard service level is updated into a general guideline.

D115 will start the pilot phase with a service level of 75 / 30, i.e. 75 percent of all calls to be taken within 30 seconds by an operative in a D115 service centre. This level was calculated based on a survey of monthly averages in existing service centers on municipal level. In the long term, the D115 cooperation will aim for a standard service level of 80/ 20.

During the pilot phase, the D115 cooperation aims to finalize **55 percent** of all calls on initial contact with all service centres at the first level. The goal by the end of 2009 is to have reached 65 percent. The long-term aim of the D115 cooperation is a rate of 75 percent.

The D115 network must meet two requirements when callers access the D115 German with their enquiry:

1. The information requested about government services must be available in a standardized format for all network participants.
2. As many enquiries as possible are to be resolved on the first call.

Issues / Challenges Encountered:

The existing service centres at federal, state and local level use different knowledge management systems to provide information. They might, for example, use content management systems, specific databases, or their own websites. The aim of all of these systems is to make the necessary information available to service centre operatives quickly and clearly so that they can advise callers rapidly and competently.

There are also many different search applications in use to find the relevant information. The service centres participating in D115 use solutions developed by different vendors and, in some cases, customized programs. One thing which almost all search applications have in common is that search terms, synonyms or key words are entered into a search box and a full text search is used.

For D115, developing a knowledge management system for the entire cooperation is the key to success. During the D115 pilot phase this cooperation-wide knowledge management system will be tested and optimized. The knowledge management solution must be independent and non-proprietary so that service centre software vendors can easily build on the approaches to knowledge management and integrate them into their platforms without unreasonable effort. This will ensure that any future developments can be subject to competition and thus to market terms and conditions.

Critical Success Factors:

The success of the D115 project is dependent on the involvement of the state governments. It is important to integrate not only the ministries themselves but also the state agencies which the public see as relevant. States participating in the D115 cooperation are responsible for creating the organizational and substantive framework for integrating agencies in the D115 cooperation and optimizing the collaboration within the cooperation. Standardized and well-maintained state-level services will also benefit local authorities at the first level. Some of them already deal with enquiries about state-level services, but the information-gathering process is very time-consuming and has not standardized until now. Today enquiries about state services could be dealt with far more efficiently within the D115 cooperation.

The federal administration with its most frequently requested services will also be systematically integrated into the D115 cooperation. First, this can relieve the federal administration because relevant enquiries will be answered by the local authorities at the first level on the basis of the D115 knowledge management system. Second, potential enquiries from the general public and the private sector can be fully covered by integrating the federal administration. The only enquiries that will not be covered by D115 during the pilot phase will be those directed to the European government institutions.

To participate in D115, participants need either their own service centre or to access to existing service centres. As a rule, for large cities or for state or federal government departments setting up a service centre this will not be a major hurdle. In most cases, however, it is not cost-effective for relatively small and medium-sized local authorities to set up a separate service centre. The way forward for these organizations might be to combine their resources and set up a service centre jointly, either with other local authorities or with the district authority or with several administrative districts. They also can connect to existing service centres. This might involve physically moving workstations to one or more central administrative offices or organizing them in a virtual way.

Next Steps:

The D115 project was launched in the pilot regions on 24 March 2009. The pilot phase will last for about two years. Additional federal, state and local government agencies throughout Germany will be added to the D115 cooperation.

Contact Information: Not applicable.

Case Study #16 – New York City

Title of Innovation: *New York City 311*

Category of Innovation: Innovative use of Channels and Technology – Telephone Channel

Background on the Innovation/Rationale for the Innovation:

In the summer of 2001, successful businessman and mayoral candidate Michael R. Bloomberg was on the campaign trail, walking through the streets of Brooklyn, New York with some of his key aides. He spotted a leaking fire hydrant, and turning to his aides, asked, “Whom would you call to get that fire hydrant fixed?” There was a moment of silence, and then one of the aides answered, “The Department of Environmental Protection - DEP”.

Mayor Bloomberg was incredulous. “DEP? What citizen would guess that?” he said. “You see a fire hydrant-you kind of associate that with the fire department, don’t you?” Determined to report the problem, when Bloomberg returned to his office, he opened the NYC phone book to find DEP’s phone number. That’s when he came face to face with the daunting task of picking the right phone number out of 14 pages of city telephone listings.

Bloomberg wondered why there wasn’t a *single, centralized number* for callers to contact the City of New York and gain access to whatever services were needed. That brainstorm became a campaign promise, and the campaign promise became reality a little more than 1 year after he took office in January 2002. New York City 311 (NYC 311) was implemented on March 9, 2003, a relatively short time frame for such an ambitious goal.

During its evolution, 311 has focused on three core missions:

- Provide the public with quick, easy access to all New York City government services and information while maintaining the highest possible level of customer service.
- Help agencies improve service delivery by allowing them to focus on their core missions and manage their workload efficiently.
- Provide insight into ways to improve City government through accurate, consistent measurement and analysis of service delivery Citywide.

In merging over 40 City wide call centres into one single operation a number of changes have occurred, predominantly incorporating Call Centre industry best practices to ensure consistent operations and customer accessibility. Examples include investing in

technology to support critical customer and employee applications for Customer Relationship Management; Content; Workforce Management; and Quality Assurance. Since inception, the Department of Information Technology and Telecommunications (DoITT) has focused on picking the right application and dedicating resources to ensure these applications are designed and built to optimize the customer and city needs.

Evolutions have occurred in day-to-day operations as well, ranging from adding multiple shifts rather than just standard Day/Evening/Overnight, to allow for greater load-balancing and increasing retention. On the hiring side there has been a concerted effort to mix organic growth with external industry experience. Promotions from within prove to be valuable, due to the immediate contribution as well as increasing employee retention via career paths. Adding external candidates with industry, rather than government experience, has attracted new ideas and approaches. The customer experience has evolved as well, based on constant monitoring and assessment of what customers want and need. The content originally provided by 311 was less than 800 unique “services”. Today, there are over 3000 services, most added based on customer inquiries and partnership with City agencies to address gaps or unclear situations. Training evolved from teaching existing employees how to use an application system in 3 weeks, to a 12-week program for new hires designed to teach and reinforce customer service skills.

New York City 311 responded to the fact that the government’s responsiveness to customer requests had been a major issue in the City. The prevailing wisdom had been that bureaucracy and red tape were the rule, not the exception. With a huge government infrastructure designed to meet the needs of 8+ million people and businesses, New York City did not have the best track record in responding to complaints and requests made by its customers.

In January 2002, when Mayor Bloomberg took office, New York City had approximately 45 agency-run call centres staffed by almost 1,000 employees. These call centres relied on a variety of different systems and technologies –to take messages and direct calls for those who were fortunate enough to avoid busy signals. Throughout each of these call centres, service levels were extremely inconsistent. Uninformed and poorly trained operators often created frustrating runarounds for callers, transferring them from phone number to phone number, sometimes without ever helping the caller to find the service he or she had requested.

By introducing the concept of the 311 Customer Service Centre, the city was able to end the frustrating bureaucracy New Yorkers had encountered when they called for assistance from their City. Now, any time a resident needed to make a request for City services, they were able to reach the City by dialling one number – with their call answered by a live person every time – 24 hours a day, 7 days a week, every day of the year. Not only did this initiative make City government more *accessible*, it also allowed for a City government that was easier to navigate than ever before. A customer no longer needed to know what City department handled their request – all they needed to know was one telephone number, 311 – and the request would be forwarded electronically to the appropriate City agency for resolution.

Organizational Design and Governance Arrangements:

The 311 Customer Service Centre is a business unit of the DoITT. The agency is primarily responsible for oversight of the City's use of existing and emerging technologies in government operations, and its delivery of services to the public. DoITT works to improve the government's efficiency through technology, and to make communication with the government straightforward and clear.

The agency is overseen by a department Commissioner (currently Paul J. Cosgrave), who is appointed by the Mayor of the City of New York and serves under the direction of the Deputy Mayor for Economic Development and Rebuilding (currently Robert C. Lieber).

Local Law 47 of 2005 requires the DoITT to issue monthly reports to the City Council, the Public Advocate, Community Boards and the public regarding data collected on calls made to the 311 Customer Service Centre. Signed by Mayor Michael R. Bloomberg in May 2005, Local Law 47 is the result of DoITT's work with the City Council. Making agency performance data available is an important way to ensure open government, and this law provides the public with valuable information while protecting the privacy and confidentiality of callers to 311.

The 311 Customer Service Centre is a unit of DoITT which is a mayoral agency. Ultimate control of the agency is delegated to the Mayor via oversight by a Deputy Mayor. The agency is governed by an agency Commissioner. The Commissioner, in turn, appoints a Deputy Commissioner whose primary responsibility is effective operation of the 311 Customer Service Centre.

The 311 Customer Service Centre uses a traditional tiered management structure, with day-to-day operation overseen by the 311 Call Centre Director, and organized into the following management and staff levels:

- Senior Call Centre Manager
- Call Centre Manager
- Call Centre Supervisor
- Call Centre Team Leader
- Call Centre Representative
-

Business Model:

The business model of the 311 Customer Service Centre is based on three core principles of the Bloomberg administration – accessibility, accountability, and transparency of City government and the services it provides.

- Accessibility – The 311 Customer Service Centre provides residents, visitors, and inhabitants of the City with one number to call to access all New York City government information and services while, at the same time, providing a superior level of customer service. Open 24 hours per day, every day of the year,

- **Accountability** – The 311 Customer Service Centre helps City agencies improve their delivery of services by handling the customer service and call centre functions of the service delivery process. In this way, each Agency is able to focus on its core mission and area of responsibility and manage its workload efficiently.
- **Transparency** – Through accurate and consistent measurement and analysis of service delivery, the 311 Customer Service Centre provides insight into ways in which City government can be improved and made more efficient. The city uses data from the 311 Customer Service Centre along with Business Intelligence tools and technologies to provide increased visibility into its operations. Whether it's a scorecard indicating an agency's performance, or easily obtained information on a service request made through the 311 centre, this information is conveniently available to all constituents.

Activities and Channels:

A number of alternate delivery and self-service approaches have been deployed to broaden the reach and accessibility of 311. Several examples include:

- Increased utilization of self-service Integrated Voice Response (IVR) messaging. While not interactive at this point, IVR messaging offers some callers options to obtain information via recording rather than engaging a customer care representative; or be directly routed to a supporting department or agency rather than engaging a customer care representative. Significant increases have been realized with IVR messaging since inception, with a 24% increase in utilization of IVR in 2007 vs. 2006.
- As of December, 2007 customers have an option of checking their Service Request (SR) status on the web, via a "311 On The Web" initiative. Customers calling 311 to report or file a complaint receive a Service Request number, if they provide an email address the SR number is emailed to them with a link that allows them to check status. In January, 2008, 311 deployed a new module on NYC.gov, the City's primary customer facing website, to offer the same option.
- A Mayoral program has created "street presence" that enables city workers to identify quality of life conditions across all city streets and through technology report those conditions (potholes, graffiti, broken sidewalks, etc) into the 311 system for action. This alternate delivery method leverages the 311 infrastructure and allows more comprehensive and programmatic coverage of public-facing issues and problems, rather than waiting for citizens to contact 311.

Funding:

DoITT is a mayoral agency and funding is realized through City Budget.

Human Resources Issues:

Recruiting: Identifying and attracting candidates focused on customer service and willing to work in a fast-paced, 24x7 environment is a challenge even in a city the size of New York City. DoITT enjoys a positive reputation as a good Agency to work for and grow within, offering internal promotion opportunities for entry level employees. Location is critical to recruiting and staffing, and the 311 Centre is ideally situated near train, bus, and ferry stops to allow access from anywhere in the five boroughs. Competitive wages and benefits help attract candidates interested in short or long term careers. And one final element helps draw employees willing to work in a customer service environment: the concept of public service. In the 2007 Survey 93% of employees who surveyed responded in the positive to the statement: I believe my position adds value to the City.

Training: 311 delivers over 3,000 unique services and no one person can know everything. New Hire candidates must be trained on customer service and policies, as well as applications and navigation of systems. Experienced employees must constantly receive refresher training, learn about new programs and projects, and keep up with system enhancements. A three-pronged approach enables DoITT to deliver in this area.

1. A professional training staff with experience in instructional design, platform development, and delivery; and a mix of “home-grown” personnel with a training career path combined with selective external hire candidates with a proven record of training in similar environments.
2. Quality Assurance focus and structure to ensure consistent and accurate information is delivered. Quality Assurance and Quality Control functions are performed by line supervisors; by a separate Department dedicated to Quality Assurance; and through a Call-Research function. Each of these functional areas contributes to call monitoring and evaluation, in addition to employee coaching and development and content validation.
3. Current and accurate Agency content. The Content and Agency Relations team works directly with City Agencies to define and document Agency policies, procedures, and practices, and then converts that into readable, consistent messaging for all Call Centre Representatives to use.

Staffing: Maintaining an optimum staff level to handle normal predictable periods while being able to immediately respond to events that cause volume spikes requires several steps. Strong historical forecasting with seasonal overlays

is the starting point. A multi-tiered approach to handling events and volume spikes includes:

- Constant vigilance in managing “the queue”, the volume and trend of calls waiting to be answered at any one time
- Utilizing supervisory and management personnel to deploy quickly when initial spikes occur
- Increasing capacity through an outsourced overflow vendor (within NYC) to handle peak periods
- Training and maintaining “call taker skills” in all other departments including: Training, Quality, Content, Budget, HR, Finance, and Systems, and leverage these groups on short notice when volume spikes occur.
- Pushing approved “Alerts” to all CCRs and staff in near-real time. When an event or activity occurs in the City, DoITT is connected with the Office of Emergency Management and the NYPD to get up-to-date, official information on a situation. That information is transformed into Alerts distributed to all users. As a result, a consistent, clear, and approved message is delivered to callers focusing on that issue (police emergency, weather situation, train or subway impacts, etc).
- Developing and deploying “Messaging” on the Interactive Voice Response (IVR) application. This enables 311 to “push” approved messages to all callers through a recorded announcement, to reduce call volume and talk time associated with CCR handled calls. Examples include notification of blackouts, information on School closings, and pre-programmed announcements about special events.

Performance Measurement:

DoITT developed and deployed a Business Intelligence tool that is able to compile data on all calls received, services selected, tickets opened, and dispositions of requests. While 311 does aggressively safeguard privacy information (information on caller telephone numbers is not shared, and positive confirmation of a Service Request number must be provided before related information is shared with a caller), the Business Intelligence tool enables DoITT to capture robust datasets on all activities.

Through an analysis, design, and development approach the BI tool has been created to provide multiple layers of information for many users. It delivers required information to fulfill on Local Law mandates for information and produces Citywide Performance Reports on monthly basis. The tool is also used for operational analysis, trending, and decision-making.

Use of Information Technology/Web 2.0:

DoITT will be expanding the reach and accessibility of 311 and 311 services via web and other means such as chat, email and text within the next two years. Currently the major focus is the convergence of 311 and NYC.gov, to allow citizens and users multiple entrée points to reach City government services and information.

Partnerships:

The 311 Call Centre contracts with several vendors to augment service delivery. An outsource vendor handles overflow call volume while adhering to strict 311 operational and service guidelines. DoITT contracts with Language Line, the industry leader in translation and interpretation services, to provide access to information in up to 179 languages. DoITT also works closely with City University of New York (CUNY) to provide part-time and internship programs for over 135 active undergraduate and graduate college students in the Call Centre.

Community Engagement:

In New York City, there are 59 local representative bodies known as Community Boards that represent specific geographical areas throughout the 5 boroughs of New York City. Board members are appointed by Borough Presidents in consultation with the City Council members of the Board district.

Community Boards play an important advisory role in matters dealing with land use and zoning, the City budget, municipal service delivery and other matters relating to the welfare of the community they represent. Any problem affecting all or part of a community, from traffic issues to deteriorating housing, falls within the purview of a Community Board.

New York City 311 works very closely with the Community Boards to ensure that constituent complaints are directed to the proper City agency to be addressed. Both DoITT and 311 are active participants in Community Board and Borough President meetings, and in many cases act as liaisons between the Community Boards and City agencies to ensure timely service delivery to each community.

A good example of a partnership with not-for-profits to support service delivery at the community level is the Enhanced 311 Initiative. This Initiative, originally announced by Mayor Bloomberg in November 2005, involves expanding 311's current role to include access to comprehensive human services information and referral (I&R).

By leveraging the infrastructure of the 311 environment, the City will be able to apprise callers of an even wider array of services than are typically provided by government agencies and community-based organizations. Services will be provided in 170 languages to ensure that callers' needs are met, and specialists will be trained and certified to match callers' requests and needs with the appropriate information or referral to various social-service agencies. The first phase of E-311 included the consolidation of the New York City Department for the Aging Information & Referral Unit in November 2006.

One of the key advantages of establishing relationships with stakeholders representing various business lines is buy-in. NYC 311's success is largely built on the strong and

determined effort by the 311 team to partner with other City Agencies and develop workable and meaningful solutions to conveying Agency policies in language that citizens and customer care reps can use and understand. The effort extended to build partnerships, maintain and constantly communicate with stakeholders is one of the single most valuable investments made by the Agency in launching 311.

Challenges are primarily routed in developing and reporting Service Level Agreements. As part of the 311 mission, Agencies would be able to focus on their core competencies rather, and 311 would be able to gather and analyze data. Publishing the data – part of the Mayor’s objective of Transparency – becomes the key challenge with stakeholders given the impact and reaction to published results.

Issues Encountered/Challenges:

See section 3(c) for issues and challenges relating to recruiting candidates, training processes, and maintaining appropriate staffing levels.

Among other challenges are managing to aggressive Key Performance Indicators. In keeping with 311’s mission to provide quick, direct access to information, and at the same time maintaining accessibility, 311 manages aggressive Key Performance Indicators (KPIs). Most challenging are a Service Level objective of 90% of calls answered within 30 seconds or less (industry best practice is 80%/30 seconds); an Average Speed of Answer of 30 seconds or less; and a Maximum Answer Delay of 3 minutes. The last KPI is a particular challenge given the volume spikes that can occur due to outside forces (weather, news media, accidents, etc). It is designed to reinforce New York City’s commitment to provide quick access and accessibility. It requires constant management to ensure information, staffing, tools, technology, and personnel are all geared towards delivering on the goal.

Critical Success Factors:

The major factor contributing to the success of the 311 Customer Service Centre has been the strong executive leadership provided by Mayor Michael Bloomberg. The Mayor insisted that the implementation of the 311 Customer Service Centre occur within a one-year timeframe, and this initiative had the full support, attention, and focus of the administration – key in a project of this magnitude.

The Mayor also determined that this project of “re-inventing government customer service” was the way in which the City was going to conduct its business going forward. He mandated support from each of the City’s agency Commissioners – there was no such thing as an agency “opting-out” of having its agency information and services handled by the 311 Customer Service Centre.

Next Steps:

During the past six years, the Bloomberg administration has worked tirelessly to meet New Yorkers' expectations of responsive and effective customer service. Part of this effort has been the development of a NYC Technology Plan – PlanIT – that will allow NYC government to prepare for the next big step in the administration's efforts to provide all New Yorkers with the high-quality government services they deserve. Many of the initiatives outlined in the technology plan are being driven by the 311 Customer Service Centre. Some of these include:

Enhanced 311:

New York City, in partnership with State and community-based 211 providers, will offer comprehensive and simplified access to Health and Human Services information and referrals through its well-established 311 call centre. Call takers will provide these services in more than 170 languages to ensure that callers' needs are met. Call takers will be trained and certified to match callers' needs with the appropriate information or referral.

311 Customer Satisfaction Survey:

Within the next year, 311 will be conducting its first-ever Customer Satisfaction Survey to gauge caller satisfaction with the services that are provided by 311. Anecdotal evidence and caller comments suggest that customers are pleased with the service that is provided by 311 – this survey will allow New York City to gather concrete data and feedback that hopefully will align with those sentiments.

311 on the Web:

The vision is to provide on the Internet, through NYC.gov, the same information and services that are available by calling 311.

Closing the Loop on Service Requests:

Today, when a caller requests a service through 311, the request is passed on to the servicing agency, with limited visibility by 311 into the status of the request. The goal is to integrate agency systems with the 311 Customer Service Management System (CSMS) system so that information is more seamless, and callers can easily check the status of their request.

Automated Escalations and Rapid Notification:

There are times when non-emergency, but critical conditions become apparent through increased calls to 311. Automated triggers will be developed to escalate these issues to the appropriate agencies to ensure rapid notification regarding the condition.

Acceptance of Digital Images and Video:

The City will be piloting the ability to allow New Yorkers to submit photos or video associated with their 311 service request, providing additional useful information to the agencies that are responding to the request.

Contact:

Tom DiGiulio,
Call Center Special Projects Analyst,
New York City Department of Information Technology and Telecommunications/311,
Telephone: (212) 504-4509
E-mail: tdigiulio@doitt.nyc.gov

ADDENDUM

Recent Enhancements of New York City's 311 System

In April 2008, New York City Mayor Bloomberg announced that *Enhanced 311*, also known as 211, would provide one-stop social service information and referral service through DoITT. The term “enhanced 311” is used to avoid confusing citizens with yet another number, but if citizens dial 211, their call will go seamlessly to the 311 service. Enhanced 311 gives New Yorkers access to nearly 1000 unique social services and 1300 non-profit organizations. The City averages forty thousand 311 calls each day in 170 languages. The service also provides callers with information on programs and services for which they may be eligible but about which they would otherwise not know. The City's 311 service now offers Twitter via 311 Online – the call centre's web version of its hotline service. 311 Online will distribute content and receive feedback, questions and inquiries from customers through Twitter. Residents with an Apple iPhone can now download an application permitting them to attach a photo to a complaint and upload it to the 311 Online service. Also under development is the use of neighbourhood wikis to share ideas for how technology can be used to solve problems at the block level.⁵

⁵ Tod, “New York City Plans Consolidation, New 311 Services and Apps Competition,” Government Technology, October 19, 2009. Available at <http://www.govtech.com/gt/articles/731589>.

Case Study #17 - Malaysia

Title of the Innovation: *mySMS 15888*

Category of Innovation: Innovative Use of Channels – Mobile Channel Services

Background on the Innovation / Rationale for Innovation:

MySMS 15888 uses Short Messaging Service (SMS) technology to provide direct services between the citizen and the Government. It was created by the Malaysian Administrative Modernisation and Management Planning Unit (MAMPU) and is part of a larger initiative known as the eKL Initiative. The eKL Initiative is based on the principle “One Government, Many Agencies, No Wrong Door.” *MySMS 15888* is as an alternate portal for the provision of more convenient access to government services and increased service delivery through electronic government.

The Innovation:

MySMS is a Government initiative to deliver SMS services as part of its e-KL policy of "Delivering services through an integrated and connected Klang Valley" via ONE SMS shortcode, i.e. 15888. The objectives of the initiative are

- To provide an SMS service platform as an additional communication channel for Government services.
- To ensure availability for Malaysians from all walks of life through a common shortcode, 15888.
- To ensure SMS charges are maintained at affordable and uniform rates.

The suite of services includes:

- Information on Demand – Relevant SMS information based on user’s SMS request, e.g., licence application status checks and examination results.
- Document on Demand – A function that enables documents requested by SMS to be pushed to user’s email, e.g., job application forms, road safety tips and train schedules.
- SMS Broadcast – Mass broadcast from Government agencies to the public. Eg, income tax returns deadlines, natural calamity alerts and driving licence expiry.
- SMS Complaints – An alternative complaint channel for the public to communicate with Government agencies concisely, expediently and in real-time.

On example of the way the government of Malaysia is leveraging SMS technology is by having the ministry of agriculture send an SMS to farmers’ mobile phones alerting them of increased water levels, thereby enabling them to take any necessary steps to avoid potential damage to their agricultural lands (Zalesak, 2003).⁶

⁶ http://www.mgovernment.org/resurces/mgovlab_afgik.pdf

Issues/Challenges and Critical Success Factors:

There is a high level of cell phone penetration in Malaysia with mobile phone usage exceeding that of fixed lines.⁷

Next Steps:

The government is continuing to create new services for SMS users, periodically sending them messages to let them know what else has been made available.

Contact Information

Datuk Normak Md Yusof
Director General
MAMPU (Malaysian Administrative Modernisation and Management Planning Unit)

Sources

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- Complete list of SMS services : www.mysms.gov.my
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⁷ m-Government: Cases of Developing Countries:
http://www.mgovernment.org/resurces/mgovlab_afgik.pdf.

Case Study #18 - Centrelink (Australia)

Title of Innovation: *Improving Service Delivery through Community Engagement*

Category of Innovation: Community and Citizen Engagement

Background on the Innovation / Rationale for the Innovation:

Ninety-five percent of Australia's population is within twenty kilometres of a Centrelink office. Centrelink provides in-person service to Australians through a network consisting of 316 Customer Service Centres, 196 Access Points, 376 Agents, 15 veteran information services, 15 area support offices, and 12 remote area service centres.⁸ Thus, Centrelink has many opportunities to engage stakeholders by using its network presence and participation at the community level to contribute to innovative service delivery.

Centrelink is committed to working closely with the community for the benefit of its customers. Across Australia, Centrelink managers and their staff engage with their local communities, and build and maintain contacts with employers, business and industry to ensure that Centrelink is seen as friendly, accessible and responsive to their needs. One of Centrelink's strategic priorities for 2007-2008 is building better connections with the community. Centrelink also has a strategy to identify better practices for enhancing relationships locally with the community and business sectors.

Australia is continuing to face the prolonged effects of a severe drought. Several different strategies to support Centrelink's service delivery have been implemented to ameliorate the significant impact of the drought on rural communities. In particular, Centrelink has increased its focus on the value of community engagement.

The position of Centrelink managers that had been eliminated has been reintroduced to ensure that Centrelink focuses on becoming more connected with the local community, and the non-governmental organizations and the services they provide to the community. Colin Parker, National Manager for the Service Delivery Coordination Branch, emphasized in a February 8, 2007 email message to Area Managers that this focus will involve "clear visibility and connection in the community."

Centrelink has developed a wide range of activities, relationships and collaborations at the national, state, Area, regional and local levels within the community and with

⁸ *Customer Service Centres* are located in both metropolitan and country areas. Most claims for payment by customers are made at the Centres. This is where follow-up interviews occur to help determine eligibility for payment or other assistance, or to assess the impact of important changes in a customer's circumstances. *Access Points* and *Agents* are organizations or community groups that are contracted to serve customers in rural, regional and remote areas of the country where Centrelink does not have a formal presence.

community organizations, the business sector and other levels of government. These relationships

- provide an opportunity for improved access for customers to Centrelink and better links with services
- ensure that Centrelink is responsive to the needs of individuals, families and the communities in which they live
- assist customers to engage in the labour market and community life, to achieve greater independence and better long-term outcomes for themselves and their families.

Centrelink has various arrangements to coordinate support, advice and information for customers of both government and non-government organizations delivering human services.⁹ For example, across the Centrelink network, several services are in place for disadvantaged customers. These are services delivered *outside* Centrelink offices in locations where vulnerable customers may want to access its services (e.g. rehabilitation centres, general and psychiatric hospitals, hostels, refuges, drop in centres and organized meeting places).

Centrelink has an extensive network of staff dealing with the community sector. Dealings range from national forums and reference groups to meetings at the State or regional level and the direct working relationships of local Centrelink offices and community sector groups. These relationships form a platform for collaborative approaches to support individuals and communities, and they are a rich source of information and feedback about Centrelink services.

The Innovation:

Community Partnerships

Effective relationships between Centrelink and local community groups form a platform for collaborative approaches that can improve day-to-day support for people living in a community and can be mobilized swiftly to develop and provide crisis support to individuals, groups or whole communities. Such relationships can also provide:

- a rich source of information and feedback about Centrelink services;
- an effective link to the most vulnerable customers through appropriate organizations;

⁹ The term human services covers a wide variety of service areas, including family support, housing and accommodation support, information and counselling, employment, legal and health, charity and religious organisations, personal and social support, child care, financial and material support, community care and support, peak bodies and advocacy groups, and those groups working with particular segments of the community (e.g. youth, the homeless, people with disabilities, refugees, prisoners, women, rural and regional groups).

- shared initiatives between Centrelink and the community to improve the accessibility of service delivery for mutual customers and collaborative efforts to address service gaps;
- reduction in the red tape burden on employers; and
- a more positive image for Centrelink in the community.

Centrelink is involved in a wide range of partnerships with a variety of business and non-governmental organizations. For example, Odyssey House Victoria is a residential rehabilitation program for people with such problems as drug, alcohol and gambling addictions. Over 500 Centrelink customers receive service from Odyssey House and they can nominate this organization to act on their behalf. Odyssey House can then access Centrelink services on behalf of these clients. In 2005, Odyssey House and Centrelink reached a partnership agreement to enable the electronic exchange of data, which has made access to services more convenient and reliable for both organizations and for their shared customers.

As a result of the success of the Odyssey House model, Centrelink is working to enhance its capability to enable a wider range of nominee third party organizations to conduct transactions on behalf of customers in need.

Consultative Partnerships. Centrelink works with a number of national Community Reference Groups that provide it with direct feedback on, and input to, its service delivery. *These groups help Centrelink to understand better its customers' needs and to target services more effectively in each community it serves.* The groups give peak community organizations an opportunity to provide feedback directly to Centrelink, in a formal setting, on the services that it delivers, and the impact it has on the customers that the various organizations represent. These reference groups include:

- a *Participation* Reference Group - to bring together key peak community representatives to provide information and advice on the service delivery and supporting arrangements for the Welfare to Work initiative
- a *Carers Service Delivery* Reference Group -to facilitate regular communication with peak “carer” bodies on continuous improvement to services to customers who have a caring role in the community
- a *Disability Customer Service* Reference Group – to work with peak disability bodies to better understand customers’ needs and target services more effectively
- an *Older People’s* Reference Group – to enhance Centrelink’s understanding of the needs of senior customers.
- a *National Multicultural* Reference Group – to work with peak community organizations representing communities from diverse cultural and linguistic backgrounds who advise Centrelink on service delivery to multi-cultural customers.
- A *National Youth Student Services Partnership* Group – to work with a broad range of stakeholders to provide guidance on how Centrelink can continue to provide high quality services for students.

There is no umbrella body to serve as a central mechanism for sharing information and advice among these various reference groups. However, some learning can be shared among those group members who serve on more than one group and among Centrelink employees who participate in the groups.

The Nature of Engagement:

Centrelink engages with communities through a variety of arrangements, including partnerships, consultations and contracts. Reference has already been made to Centrelink's partnership and consultation activities. In addition, it is involved in a wide range of contractual relationships, both at the national and local levels.

Centrelink enters into contracts with many organizations or community groups to operate Access Points and Agents. Access Points provide only self-service facilities to enable customers to access Centrelink services by using a telephone to talk to a customer service officer, using a fax machine to send information to Centrelink, or obtaining Centrelink forms, brochures and information products. Agents, however, are established in locations that require a greater Centrelink presence than an Access Point. The contracted organization provides trained personnel to assist customers with their Centrelink business. The personnel are not Centrelink staff, but they can respond to inquiries and will assist customers to access Centrelink online services or Centrelink staff through the telephone service if more help is required.

Centrelink has an extensive network of staff dealing with community and advocacy groups and, in some Areas, with businesses. Some offices have well-formed relationships and participate in a variety of local activities, meetings and partnerships but others are more reactive or ad hoc in their dealings with community groups and service providers.

Supporting Engagement:

Within its Families, Seniors, Rural and Community Division, Centrelink has a Rural, Community, Business and Supplementary Payments Branch. To support those who are responsible for a local community engagement approach, and to promote the more consistent application of 'better practice' approaches to the local engagement of community and business sectors, the Branch has developed a range of helpful material. In particular, "*Stepping Out – A guide to engaging, and enhancing local relationships with the community and business sectors*" draws together a range of information and links to assist Managers and their staff to build and maintain relationships with community and business sector organizations. The Guide includes sections on such matters as why developing relationships is important, what the community/business sector is, what this sector is saying, listening to third parties, advice on developing an engagement plan and community profile, community partnerships, and networking.

Among Centrelink staff who are dedicated to improving service at the local level are Multicultural Services Officers (MSOs) and Rural Services Officers (RSOs).

Multicultural services are provided by MSOs who forge links between Centrelink and migrant and refugee communities. They consult and liaise widely and provide customer feedback on the impact of government initiatives on migrant and refugee communities to improve Centrelink's service delivery. Up to seventy MSOs across Australia are located strategically in offices where there are considerable populations of migrants and refugees. Centrelink's Multicultural Services Branch supports multicultural initiatives by such means as

- preparing a participation framework for MSOs as a guide for developing useful participation activities with community partners and enhancing referral protocols and participation opportunities for multicultural customers
- organizing participation expos and seminars around the country to target specific community and language groups
- undertaking research to investigate participation issues for multicultural customers

In July 2006, Centrelink introduced a network of RSOs, in part to assist in the response to the widespread severe drought, but more broadly to better support rural servicing. It was expected that this network of skilled and dedicated staff in rural communities would have a profound effect in terms of building relationships, and breaking down perceived barriers with respect to rural customers accessing Centrelink assistance (especially drought assistance).

RSOs are responsible for consulting, liaising and coordinating with rural customers, business and community organizations, government agencies and other relevant stakeholders to identify customer and rural community needs in order to effectively promote all services and programs that Centrelink delivers. They work with rural communities and farmers, especially those identified as most in need, to ensure appropriate take up of Government and community services. RSOs work with their communities to coordinate events (e.g. farm family gatherings) and identify opportunities to promote the programs and services that are available through local communication channels. RSOs also are essential to providing feedback on the impact of policy and service delivery on rural communities.

Centrelink adopted innovative approaches to assist customers affected by the widespread drought. For example, it began implementing the Australian Government's Drought Buses program in November 2006. This initiative was developed to provide a holistic approach to service delivery, ensuring that access to assistance is easy and stress free for rural customers, particularly those living in drought declared areas. The drought buses have provided an opportunity for Centrelink to find innovative ways of connecting with communities. Examples include:

- Inviting school children through the drought buses;
- Inviting participation by the Department of Human Services Indigenous Ambassadors to raise the profile of the initiative;

- Identifying "good will" communication channels and linking the bus to local community organizations that hold a strong rural presence. (An important part of ensuring the success of the drought bus initiative was effective communication to increase the awareness of this new service and promote stopping locations).
- Deploying the bus at local Field Days and other community events where the target audience was already gathered.

Centrelink is also involved in many forums, committees, and roundtables with the community and industry sector to inform its service delivery approach in responding to the drought. Centrelink uses these networks to gather information on emerging issues, and to address the specific needs of drought affected communities. These forums also provide the opportunity to provide updated information about the services and programs that are available, and gather feedback on how services can be better delivered to affected communities. For example, collaboration with the community and industry sector has been vital in determining which towns the drought buses should visit.

Strategic Alignment:

Centrelink's community engagement activities are integrated into its business planning and strategic objectives. Improving relationships with both the community and business sectors aims to support the achievement of Centrelink's business objectives, including those outlined in the Minister's Statement of Expectations and the Chief Executive Officer's Statement of Intent.

The main elements of Centrelink's Strategic Themes and Priorities that are directly relevant to this Strategy are:

- Strengthening our customer focus in line with Government direction
- "Customer interaction with Centrelink is improved through new service delivery initiatives, *stakeholder engagement and optimising service delivery*."
- Developing a networked organisation
- "Developing a networked organisation is about strengthening our ability to *work with government and non-government organisations* to achieve integrated outcomes for the Australian community..."
- Make it easier for customers to deal with Centrelink within Government Policy/Directions
- Consistent application of better practice in local engagement of the community and business sectors will improve information flows, consultation arrangements and the timely resolution of problems and issues and will support Centrelink's Strategic Result Indicators.
- Enhance relationships with the community sector for the benefit of customers"

- "Enhance relationships with the business sector for the benefit of customers and to reduce the impost on business."¹⁰

Assessing Performance on Community Engagement:

Centrelink has a strong focus on connecting with service partners and human services agencies so that customers receive the help they need. It uses several mechanisms to obtain feedback from the community sector.⁴ As already noted, an important source of feedback is the National Community Reference Groups that inform Centrelink's decisions on service improvement. In addition, Centrelink

- holds Value Creation workshops that provide a structured forum where Centrelink staff can hear the values and concerns of their customers, and sometimes customer representatives, expressed in their own words.
- uses customer comment cards. These are on the desks of all staff serving customers and provide an immediate and simple method of seeking and receiving customer feedback. The feedback is a managed process through to the manager following up with the client.
- uses market research companies to conduct regular customer surveys to find out how satisfied they are with the service Centrelink provides, especially from customer service centres and over the phone. Views of around 110,000 customers are sought on a regular basis throughout the year. Information about the research, including customer rights, is available to the public through information fact sheets.

Centrelink's surveys include a Community Sector Satisfaction Survey that details how satisfied providers are with their working relationships with their local Centrelink Customer Service Centre.

The need to measure outreach to community and businesses quantitatively is a new concept for many Areas but some worthwhile work has been done. For example, Area Hunter, in November 2006, implemented Business Rules for Recording Outreach and provided staff with a standard pro forma to capture outreach to external organisations only. The goal for Area Hunter is to gain an expanded focus on strengthening relationships with community and business organisations that can easily be measured and reported. This work could be drawn on for development of a national system for recording and measuring community relationship building activity.

In order to provide assurance that appropriate and effective engagement activity with the community and business sectors is occurring, it will be necessary to measure at three levels:

¹⁰ Centrelink, *Better Practice in Local Engagement of Community and Business Sectors: Strategy for Enhancing Centrelink Network Relationships with the Community and Business Sectors*, February 2007.

Level 1. Processes – whether the agreed national approaches (profiles, stock takes, engagement plans, etc.) are in place.

Level 2. Activity - the number, type and coverage of contacts with community or business organisations, regular meetings, expos, issues identified and reported, new partnerships, etc.

Level 3. Outcomes – whether community and business feedback is being used to address issues and improve service delivery; whether relationships, information and consultation arrangements are improving; and whether adverse impacts on the community and business sectors are being reduced, etc.

The effectiveness of activity measures will depend on the consistency of the processes from which the information is drawn. Consequently, the initial focus should be on the implementation of those processes, i.e. Level 1. As the processes are established, the focus can gradually shift to activity and outcome based measures.

The Community Sector Relationships and Business Liaison Branch has developed interim measures to meet Balanced Scorecard reporting requirements for two of Centrelink's Strategic Result Indicators:

6B "Enhance relationships with the community sector for the benefit of customers"

The interim measure for this SRI is the timeliness of appropriate responses to community sector feedback.

6C "Enhance relationships with the business sector for the benefit of customers and to reduce the impost on business"

The interim measure for this SRI is the proportion of total business initiated contacts to the Centrelink Business Hotline (eg. enquiries, requests for assistance and complaints) that relate to complaints.

More work is required by the Community Sector Relationships and Business Liaison Branch in consultation with the Customer Service Delivery Coordination Branch to be able to effectively measure, benchmark and report best practice efforts across the Centrelink network.

Issues/Challenges Encountered and Critical Success Factors:

Community engagement is integral to improving the quality of Centrelink's service delivery. Centrelink recognises that community and business sector perspectives bring an added dimension to enable it to ensure products, services and practices are responsive to the needs of customers and to the community and business organisations it relies on to deliver those services effectively.

The benefits of engaging with external stakeholders include:

- increasing the capacity of Centrelink to build better relationships between the community and business sectors
- forming partnerships and developing solutions that might not otherwise be available for customers
- ensuring appropriate services are developed through a consultative process, which clearly identifies the needs of the partners
- ensuring Centrelink understands the full range of impacts of a proposed initiative on the community and business sectors and can, therefore, take appropriate action
- building a positive profile for Centrelink in the wider community
- improving the view of Centrelink staff as approachable professionals, keen to be in touch with their communities
- increased collaboration between Government, communities and local businesses
- more job satisfaction for Centrelink's people.

To build more effective relationships with the community and business sectors (and, ultimately, more effective delivery of services to its customers), Centrelink needs to focus attention on 'communicating' consistently with those sectors across its network. Once this has been achieved, the focus can turn to the next tier of its four-tier community engagement framework, namely, consultation, followed by collaboration and creation. While the diversity of communities served by Centrelink means that one size will never fit all, there is a need for greater consistency and for clarity in what are the minimum expectations for Centrelink offices in terms of building and maintaining relationships.

Centrelink's Strategy for enhancing its network relationships with the community and business sectors has been developed in response to feedback received from both external groups and internal teams about the need to refocus Centrelink on the establishment and management of local relationships. While much of the feedback is anecdotal at this stage, there are emerging themes that strongly suggest local relationships need work, particularly in light of the changes Centrelink has implemented in more recent times (e.g. Business Lines, Consolidation, and the removal and, now, reintroduction of Service Centre Managers). Moreover, there are a number of external drivers for developing more integrated relationships with others in the community, including the

- implementation of major initiatives (e.g. Welfare to Work) across a number of government and non-government agencies
- changes in policy focus (e.g. the drive to maximize employment related outcomes for customers, not just offer income support)
- introduction of Access Card

Centrelink's Strategy also addresses an Audit by the Australian National Audit Office of its Customer Charter and Community Consultation Program which found that:

- “... there was inconsistent contact between the smaller community groups and Centrelink at the Area and local levels.”
- “The inconsistent contact between smaller community groups and Centrelink CSCs and ASOs results in conflicting, and often incomplete, information being received by these groups. Smaller community groups provide assistance to Centrelink by helping its customers. Therefore, the overall weak ties between Centrelink and these groups are likely to pose a risk to the level of service delivery to the individuals who predominantly rely on assistance from such community groups.”¹¹

Next Steps:

Centrelink organized a Community Engagement Workshop in December 2008 that reported as follows:

- Centrelink has an existing infrastructure, including performance measures and reporting mechanisms, to build more genuine engagement with the community sector.
- There was a strong desire from community sector participants for a more strategic focus and collaborative-partnership approach to national community engagement, with requisite sound governance arrangements, adequate resourcing within Centrelink and support for the community sector representatives. This was characterised by:
 - Collaboration on both policy and service delivery issues - not merely reactions to proposed policy or legislation.
 - A whole-of-government approach to community engagement - linking the community with the Government’s broader social inclusion agenda and ensuring timely, strategic and expert views are available to the Government throughout the policy design, development, implementation and evaluation process.
 - Linking of national, area and local engagement, assisted through the use of technology. The national level should include a peak forum with linked expert groups covering major population groups such as youth, older persons, unemployed, Indigenous etc. There should also be scope for establishing short-term, issue specific consultation mechanisms.
 - Improved interactions and connections among community groups.

¹¹ ANAO Audit Report No.31 2004–05, *Centrelink’s Customer Feedback Systems—Summary Report*.

- An emerging set of principles for effective community engagement included trust, shared responsibility, shared goals, genuine strategic and proactive dialogue, genuine long-term partnership and whole-of-government focus on the 'customer'.
- The development of the Community Sector Compact with the Australian Government was seen as a relevant mechanism to developing strategic and integrated engagement between Centrelink and community stakeholders.

Contact:

Paul Smith,
Business Sector Relationships and Corporate Reporting Section,
Community Sector Relationships and Business Liaison Branch,
Centrelink.
E-mail: paul.pa.smith@centrelink.gov.au.

Case Study #19 - United States

Title of Innovation: *New Media / Social Networking / Web 2.0*

Category of Innovation: Channel (Online) – Web 2.0 – Social Networking

Background on the Innovation / Rationale for the Innovation:

US governments are considered world-leaders in their use of new media, Web 2.0 and social networking technologies. In fact, a survey by the Human Capital Institute found that 66% of government workplaces use some type of social networking tool and 65% of those are using more than one tool. These new technologies are being used for a variety of internal and external-facing goals.

Within the General Services Administration's (GSA) Office of Citizens Services, the following Web 2.0 technologies and initiatives are in place:

- GovGab blog – this blogging site is a little more than a year old now and its purpose is to demonstrate the usefulness, practicality, helpfulness, and vitality of federal, state, and local government information through real-life examples in the bloggers' daily lives.
- U.S. Government YouTube channel – located at <http://www.youtube.com/user/USGovernment> is the US government's official YouTube /video channel and its purpose is to link visitors with videos from across government, including public service announcements, advertisements, informational/educational videos etc.
- Twitter in English and Spanish – the US government is considered a world-leader in the use of Twitter. Its success has been recognized by the media, including a number of IT and business sources.
- Online dialogs and chat sessions
- Widgets
- Flickr

The Innovation:

US President, Barack Obama, was elected in November 2008. Throughout his presidential election campaign, he mobilized support and citizens online. The success of his campaign's use of the Web to fundraise and bring people together at events was unprecedented.

Continuing in this spirit of openness, participation and innovation, many federal agencies have begun to use what is referred to as Web 2.0, social networking or new media technologies. Federal government Web sites in the United States are evolving from being “online brochures” to being interactive, multi-media and more content-rich.

In March 2009, the GSA announced a landmark agreement that would clear the path for new media use in the federal government. The excerpt from the news release below highlights the innovation:

Answering President Obama's call to increase citizen participation in government, the U.S. General Services Administration is making it easier for federal agencies to use new media while meeting their legal requirements.

For the past six months, a coalition of agencies led by GSA has been working with new media providers to develop terms of service that can be agreed to by federal agencies. The new agreements resolve any legal concerns found in many standard terms and conditions that pose problems for federal agencies, such as liability limits, endorsements, freedom of information, and governing law.

Having these agreements in place will allow government to use free tools to dramatically increase access to information, offer education on government services and empower citizens with a voice in their government.

"We need to get official information out to sites where people are already visiting and encourage them to interact with their government," says GSA Acting Administrator Paul Prouty. "Millions of Americans visit new media sites every day. The new agreements make it easier for the government to provide official information to citizens via their method of choice."

To date, GSA has signed agreements with Flickr, YouTube, Vimeo and blip.tv, and is in discussions with many other providers that offer free new media services. Federal agencies that want to use these services to meet their mission can now choose to sign the same agreements.

GSA's goal in this effort has been to negotiate terms of service agreements, for each provider, that can work for all federal agencies. The new media providers approached were open to GSA's efforts but reluctant to expend resources negotiating separate no-cost agreements with dozens or hundreds of different agencies. With the agreements, new media providers are able to work with GSA as its principal point of contact, making the process more efficient for the government and the providers.

"Several federal agencies helped to negotiate these agreements, so it's hoped that other agencies will find the language acceptable," says GSA acting Associate Administrator Martha Dorris.

GSA started with Flickr, YouTube, Vimeo and blip.tv because these providers are representative of high volume and innovation on the Web. At the same time, GSA is eager to negotiate agreements with many additional providers. Twitter is also in the arsenal of GSA's new media as GSA found its standard terms of service already compatible with federal usage.

“The vision of USA.gov is to improve the public’s experience when engaging with the government, and these new era agreements will further empower agencies to use new media,” says Dorris. “GSA’s Office of Citizen Services is breaking new ground in support of our motto ‘Government Made Easy’ and improving the way the public and federal agencies communicate with each other.”

Several factors motivated the US federal government’s increased use of new media technologies, including a desire to improve citizen satisfaction, an opportunity to leverage new technologies, a change in client needs or requirements, a desire to achieve public policy goals, and a new political direction.

The GSA partnered with other federal agencies as well as the private sector to move this innovation forward. For example, the US government YouTube consolidates videos from around the government into one channel on a Web site that is already extremely popular both in the USA and worldwide, thus extending the government’s outreach and communications potential immeasurably.

GSA has also partnered with 27 new media providers so far to negotiate Terms of Service agreements. This has been a significant time saver for federal agencies, as well as the private sector new media providers, since Terms of Service do not have to be negotiated with each and every agency.

(<http://www.usa.gov/webcontent/resources/tools/TOSagreemtns.shtml>)

Recognizing that governments, businesses and citizens operate in a multi-channel world, the GSA is continuing to provide traditional services through its family of nine Web sites, its contact centre (1 800 FED INFO) and its print publications. The new media technologies innovations are merely alternatives that take advantage of popular, free sites such as Facebook and Twitter. That said, however, the maintenance of these new media efforts does consume staff time.

While there are no specific service standards in place for these new media technologies, the GSA Office of Client Services had developed and posted best practices on its Web site. (http://www.usa.gov/webcontent/technology/other_tech.shtml)

The GSA also has performance measures in place to track the following on a monthly or weekly basis:

- The number of followers on Twitter (in English and Spanish) including tweets and retweets.
- Facebook fans.
- The number of video views and subscribers to the US government’s YouTube site.
- The number of Web sites that have embedded the government’s news widget.
- The number of USA.gov dialog comments.

All of these performance measures can be taken together to create meaningful statistics that measure the US government's online presence and its success in meeting the President's call for more open and transparent government.

Another successful part of the innovation has been in allowing the US government to reach out to more people in a style of language and in a conversational or more user-friendly tone. It is government speaking with its citizens on their own terms. This is especially evident with the Gov Gab blog that showcases how citizens can use government information in their daily lives (<http://www.blog.usa.gov/roller/>).

Citizen engagement has also increased. Around Independence Day 2009, a Flickr photo contest was held. Citizens submitted pictures of fireworks and parades that addressed the theme "what the Fourth of July means to me." The 10 best photos were featured on Gov Gab. This is another example of leveraging a popular, free Web site to engage with the public and generate civic pride.

Issues / Challenges Encountered:

One of the primary challenges encountered in introducing new media technologies into the US federal government has been the security concerns that many Chief Information Officers have.

There have also been some resource concerns since new media channels need to be maintained and supported. Some agencies are struggling just to maintain their Web site and call centre let alone support the addition of new media tools. A Facebook page, a blog and/or a Twitter account are sometimes luxuries that some agencies cannot afford.

Training is also an issue. For example, many government agencies don't have the personnel with the necessary skills or talent to produce videos to post on their own site or on the YouTube site. GSA is offering help through its Web Manager University classes – including a class on how to shoot quality videos using inexpensive equipment.

Another concern has been employees using Facebook and other new media sites for personal use on government time. It takes time for work cultures and environments to shift but so far this issue has not proven to be a significant problem.

Critical Success Factors:

The main factors driving the success of the US government's entry into new media technology usage have been the ease of use these new technologies and also US government personnel's willingness to experiment and take a risk. There has been leadership by example from the very top. GSA's CIO is active on Twitter and Facebook and staff are encouraged to gain experience with the new media technologies. Many of these Web 2.0 tools are easy to use, but the GSA has also provided significant employee training on how to use these sites safely.

Next Steps:

GSA will be hosting a YouTube video contest from February 22 to April 2, 2010.

GSA will also be helping other federal agencies to implement their open government plans. Open government plans are to be completed by each agency by April 7, 2010 and the public will be able to comment on these plans through on-line dialog tools. GSA will be helping other agencies launch their dialogs through training and a tool called IdeaScale.

Contact Information:

Karen Trebon
Program Analyst
Office of Citizen Services
U.S. General Services Administration
202-501-1802
karen.trebon@gsa.gov

Case Study #20 - District of Columbia, USA

Title of Innovation: *DC – Digital Public Square (Discover. Participate. Connect.)*

Category of Innovation: Citizen / Community Engagement / Web 2.0

Background on the Innovation / Rationale for the Innovation:

Note: The information for this case study is drawn directly from the DC Digital Public Square Web site as well as other Web sites and published materials.

As described on the District of Columbia's Digital Public Square Web site:

The Office of the Chief Technology Officer has launched the District of Columbia's Digital Public Square which puts you, the citizen, in the driver's seat to discover how District agencies work, participate in the democratic process and connect with your government.

According to Vivek Kundra, the former CTO for the District of Columbia government, the site (<http://dps.dc.gov/>) uses technological advances to bring “people closer to government through collaborative technologies like wikis, data feeds, videos and dashboards. (Source: <http://www.appsfordemocracy.org/building-the-digital-public-square>)

The Innovation:

The Digital Public Square came into existence in December 2008. It is the District's attempt to return to an age of direct democracy where government is “run for the people and by the people”.

According to the Apps for Democracy Web site:

The District of Columbia's Digital Public Square puts you, the citizen, in the driver's seat to hold your government accountable. Discover information about your government through our data catalog—map where crimes have taken place in your neighborhood, find out what the District is buying, customize downloads about housing permits and city construction projects. Participate in your government's activities by leveraging hundreds of data feeds—create your own applications and dashboards using District information and share them with the world. Connect with other District residents via social media tools and discuss your ideas about government and technology.”

In the media release that announced the *D.C. Data Feeds: Democratization of Government Data* (which includes the Digital Public Square and the D.C. Data Catalog) had won a 2009 Ash Institute Award, it was noted that “raw data from multiple D.C. government agencies is housed at the District's Citywide Data Warehouse and supplied

via over 320 data feeds to online sites, citizens and government agencies to increase civic awareness.”

Issues / Challenges Encountered:

Not applicable.

Critical Success Factors:

The D.C. Digital Public Square has moved the D.C. government closer to its citizens and has started to break down the walls of government inaccessibility. It has made use of new, collaborative and publicly available technologies to engage citizens in the manner in which they want to be engaged. The Digital Public Square allows the citizen to control the data, develop the “apps” and manage their government interaction. It treats citizens as collaborators and as mature adults instead of treating them in a patriarchal fashion.

An important success factor was the personnel behind the initiative itself. The D.C. Digital Public Square was designed and managed by creative, passionate and committed individuals such as Vivek Kundra and his team. Mr. Kundra was given the mandate and freedom by the city’s mayor to think outside of the box and to take an educated risk that would enable the government to get out in front of the emerging social media trends.

Additionally, by pitching the initiative as a technological innovation, the D.C. government was able to generate excitement or buzz (especially in the media) as well as increase participation in a more significant fashion than if the initiative was put forward in a more traditional fashion -- as simply being another effort to improve client satisfaction with government services.

Next Steps:

Not applicable.

Contact Information:

Not applicable.

Case Study #21 - State of Florida

Title of Innovation: *Florida – Access (Automated Community Connection to Economic Self Sufficiency) Florida*



Category of Innovation: New Service Delivery Organizational Arrangements

Background on the Innovation / Rationale for the Innovation:

Note: The information for this case study is drawn directly from the State of Florida Web site and the Harvard Kennedy School Ash Institute's Innovations in America Government Awards and is supplemented by other published materials.

According to the Ash Institute's Web site (<http://www.innovations.harvard.edu/awards.html?id=85371>), this innovation grew out of an internal self-examination that the Florida Department of Children and Families (DFC) conducted in the wake of the welfare reform debates of the 1990s. The study found that their "existing eligibility determination process was too labour-intensive, inefficient and burdened with unnecessarily complex regulations. It also found that the process demanded too much time from its customers and was overly intrusive on their privacy."

As a result of this examination, "the department began a drastic overhaul of their delivery model in 2003. It successfully lobbied for waivers of federal aid policy to allow for a more streamlined eligibility determination process."

The Innovation:

The DCF model—Automated Community Connection to Economic Self-Sufficiency (ACCESS) Florida—uses streamlined workflows, policy simplification, technology innovations, and partnerships with over 3200 community organizations to increase efficiency and promote self-service and independence among clients. After decades of bureaucratic excess that wasted the time of both applicants and civil servants, ACCESS puts a premium on enabling its clients to take responsibility for their own applications, while making it substantially easier to successfully apply for and obtain benefits.

Now, all Florida residents applying for and receiving Medicaid, Food Stamps, Temporary Assistance for Needy Families, and Refugee Assistance can take advantage of the ACCESS system. In 2005, the state had developed a Web-based system for submitting applications. By 2006, 88 percent of requests were managed electronically, benefiting from 24/7 access, e-signature capability, and three customer call centers dedicated to facilitate the process. Since many lower-income clients lack home computers and easy access to the Internet, the DCF teamed up with a wide variety of community partners—

including hospitals, community centers, libraries, and food banks—to provide more opportunities for citizens to connect to the ACCESS Florida system.

ACCESS Florida has demonstrated remarkable results. ACCESS has saved over \$83 million per year in administrative costs. Over 97percent of applications are processed within federal time standards, and feedback from customers has been very positive. In addition, the DCF has made it a priority to assist other jurisdictions with replicating the system, which may eventually lead to a nationwide reduction in social service overheads.

Further accomplishments for Florida’s ACCESS system are:

- ❑ Won the Ash Institute, Kennedy School of Government, Innovations in Government Award.
- ❑ Significantly improved the Food Stamp accuracy rate, resulting in a bonus award of \$5.4 million in 2007 for most improved state and \$7.2 million in 2008 for best in nation.
- ❑ Implemented on-line access to benefit information through MyAccess Account.
- ❑ Implemented a Partner View System so that select Community Partners can have case information to assist customers.
- ❑ Implemented a Provider View System so Medical Providers can access customer information freeing up Call Center Agents to respond to other inquiries.
- ❑ Implemented pilot sites in each region to provide same day Electronic Benefit (EBT) card issuance.
- ❑ Partnered with Louisiana to develop the capacity for interstate processing of disaster benefit applications.
- ❑ Established Provider/ Partner funded positions to ease the burden of the 106% increase in SNAP applications from April 2007 – November 2009.

Issues / Challenges Encountered:

According to the Ash Institute’s YouTube video on the State of Florida’s ACCESS model, “it was the effort to control cost and command compliance that was costing taxpayers a fortune and this revelation led to the creation of ACCESS Florida.

(Source: http://www.innovations.harvard.edu/mmedia_preview.html?id=250011)

Critical Success Factors:

One of the critical success factors was the development of the Community Partner Network which now has more than 3200 members including faith-based, not-for-profit and government representatives. Traditionally, individuals seeking assistance may have had to travel long distances to find a site and may have needed to visit a site multiple times in order to have eligibility determined for assistance. They may have had to wait for long periods of time. By establishing this network, the State of Florida was able to set up one-stop locations where individuals seeking assistance could sit down at a computer in one office and submit a single application for benefits.

The state feels that by having the partners and government share resources and their ability to connect people to the help they need it becomes a win-win for everyone. By partnering and sharing resources, these organizations have been able to extend their outreach capabilities and serve more people in a more efficient manner. Many of the organizations serving Florida citizens in need are staffed with dedicated and caring volunteers rather than paid government employees.

The State of Florida also set up a number of storefront ACCESS operations in communities. The storefronts are small and can be established in a variety of communities to “bring services to the people at low cost to the state.” These government storefront offices offer the same services as the community partner networks.

The State has reduced processing time by increasing the number of local facilities and by consolidating state workers. The storefront and community partner operations are backed by processing centres with one large database from which work is distributed electronically to the appropriate state employees for processing.

The new model has also focused on the concept of self-sufficiency and providing citizens with the tools they need to serve themselves with minimal assistance. With the creation of the ACCESS web application, “the customer is in control of the input of their own data.”

Next Steps:

The Florida DCF Strategic Directions document for 2009 – 2011 has outlined the following actions for the Department as it strives to promote strong and economically self-sufficient families. (Source: <http://www.dcf.state.fl.us/opengov/docs/strategicIntent.pdf>)

We must continue to challenge our old ways of doing business. We need to be innovative, and we have to focus on results. Customers don't need policy changes, they need services. They should not have to go from place to place looking for help. We need to do the job of helping them with their family's needs, and if that means breaking down silos of programs and organizations, we have to do that. We have created the idea of “champions” to keep our clients from falling between separate agencies. We have to make sure that people who need different services within our own agency and from various providers also have a champion who will make sure they have the services they need. We have to focus on our customer's needs without being bogged down by our internal organization structure.

Contact Information:

Cathy Kenyon, OMC Manager (850) 228-2906

Case Study #22 - Australia

Title of Innovation: *The Report on Government Services*

Category of Innovation: Performance Measurement/Comparative Data

Background on the Innovation / Rationale for the Innovation:

Note: The information for this case study has been drawn from the Australian Government Productivity Division Web Site <http://www.pc.gov.au/gsp/reports/rogs/2009>

Heads of government (now the Council of Australian Governments or COAG) established the Review of Government Service Provision (the Review) to provide information on the effectiveness and efficiency of government services in Australia. A Steering Committee, comprising senior representatives from the central agencies of all governments, manages the Review with the assistance of a Secretariat provided by the Productivity Commission. The Review was established in 1993 to:

- ❑ *provide ongoing comparisons of the performance of government services*
- ❑ *Report on service provision reforms that governments have implemented or that are under consideration.*

The *Report on Government Services*, now in its fourteenth edition, is a tool for government. It has been used for strategic budget and policy planning, and for policy evaluation. Information in the Report has been used to assess the resource needs and resource performance of departments. It has also been used to identify jurisdictions with whom to share information on services.

The data in the Report can also provide an incentive to improve the performance of government services by:

- ❑ enhancing measurement approaches and techniques in relation to aspects of performance, such as unit costs and service quality
- ❑ helping jurisdictions identify where there is scope for improvement
- ❑ promoting greater transparency and informed debate about comparative performance.

The Innovation:

Comparative data are particularly important for government services, given that limited information is available to those supplying services and those receiving them. Each jurisdiction has, for example, only one police service and one protection and support service. As a result, those responsible for delivering the services do not

have access to the same level of information that is available to providers in competitive markets.

The Report uses a common method for reporting comparative performance for a range of services. Adopting a common method has several benefits:

- ❑ convenient and useful resource for people interested in more than one service area
- ❑ insights into approaches to performance assessment across services
- ❑ progress in performance reporting in any one service area demonstrates what is possible and encourages improved reporting by other services
- ❑ a capacity to address issues that arise across service areas (for example, how to measure timeliness and other aspects of quality)
- ❑ an opportunity to address issues that have an impact on (or are affected by) multiple service areas.

A number of the services covered by the Report are also subject to other performance measurement exercises. Distinguishing features of the approach taken in the Report are:

- ❑ a focus on non-technical information, making it accessible to non-specialists
- ❑ regular publication, allowing monitoring of performance over time
- ❑ the compilation of performance reporting across a number of service areas in the one document, facilitating the sharing of insights across service areas.

Guiding principles

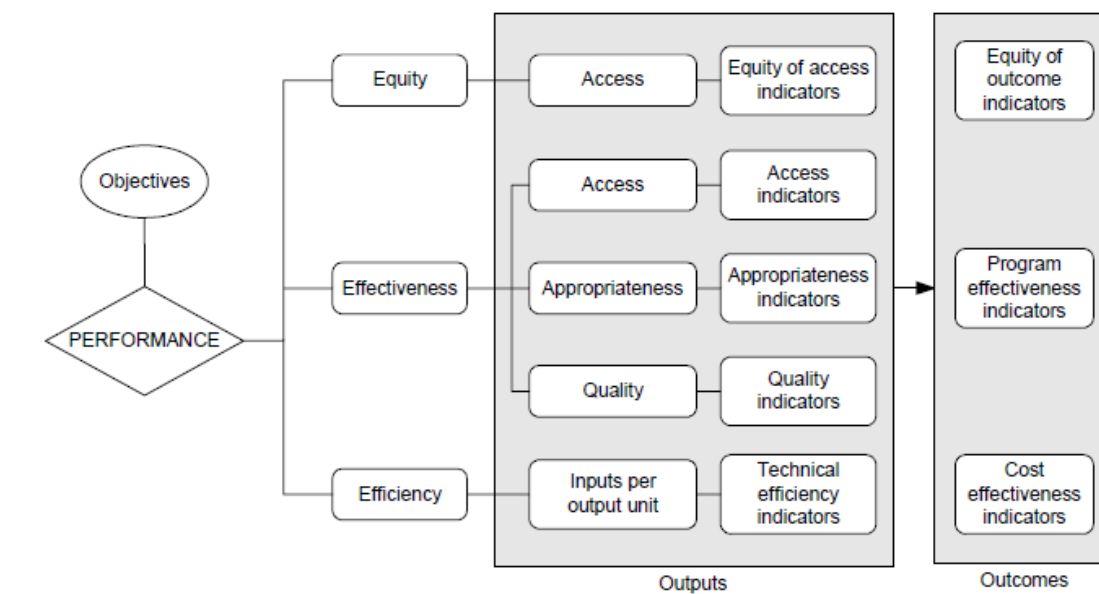
The Report's aim is to provide objective performance information to facilitate informed policy judgments. The following guiding principles apply:

- *A focus on outcomes* — performance indicators should focus on outcomes from the provision of government services, reflecting whether service objectives have been met.
- *Comprehensiveness* — the performance indicator framework should be comprehensive, assessing performance against all important objectives.
- *Comparability* — data should be comparable across jurisdictions and over time wherever possible. Comparable information is a priority of the Review but is related to progressive data availability and timeliness. Where data are not yet comparable across jurisdictions, time series analysis within jurisdictions is particularly important.
- *Progressive data availability* — the ultimate aim is comparable data for all jurisdictions but progress may differ across jurisdictions. Data are generally presented for those jurisdictions that can currently report (rather than waiting until data are available for all jurisdictions).
- *Timeliness* — data published in the Report need to be as recent as possible to retain relevance for decision makers. In some cases, there may be a trade-off between the degree of precision of data and its timely availability, because recent

The performance indicator framework:

The Report's general performance framework is set out in figure 1.2. The framework depicts the Review's focus on outcomes, consistent with demand by governments for outcome oriented performance information. This outcome information is supplemented by information on outputs. Output indicators are grouped under 'equity', 'effectiveness' and efficiency' headings.

Figure 1.2 A general framework and examples of performance indicators



Reasons for measuring comparative performance:

Government services, including those covered in this Report, are vital to the community's wellbeing.

Improving government service provision can lead to major social and economic benefits. Traditionally, much of the effort to improve the effectiveness of government services has focused on increasing the level of resources devoted to them.

Performance measurement provides one means of shifting the focus from the level of resources to the use of those resources. Performance measurement can:

- ❑ help clarify government objectives and responsibilities

- ❑ promote analysis of the relationships between agencies and between programs, allowing governments to coordinate policy within and across agencies
- ❑ make performance more transparent, allowing assessment of whether program objectives are being met
- ❑ provide governments with indicators of their performance over time
- ❑ inform the wider community about government service performance
- ❑ encourage ongoing performance improvement.

The three main reasons for reporting comparative performance information across jurisdictions are:

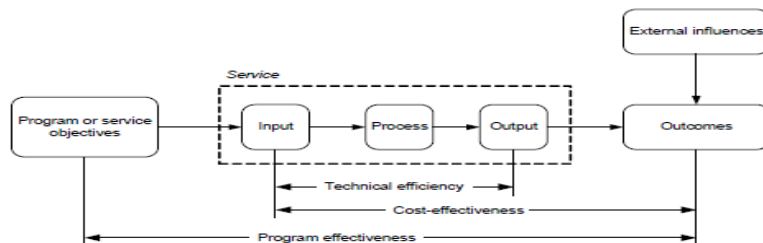
- ❑ to verify good performance and identify those agencies that are ‘getting it right’
- ❑ to allow agencies to learn from peers that are delivering better or more cost effective services
- ❑ to generate additional incentives for agencies to address substandard performance.

The service process:

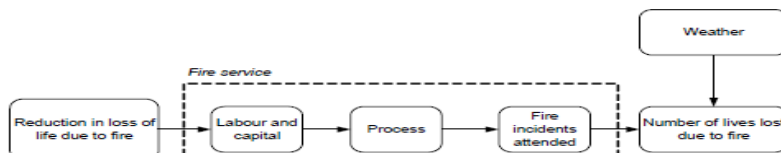
The general framework reflects the service process through which service providers transform inputs into outputs and outcomes in order to achieve desired objectives. For each service, governments have a number of objectives that relate to desired outcomes for the community. To achieve these objectives, governments provide services and/or fund service providers. Service providers transform resources (inputs) into services (outputs). The rate at which resources are used to make this transformation is known as ‘technical efficiency’. The impact of these outputs on individuals, groups and the community are the outcomes of the service. In this Report, the rate at which resources are used to generate outcomes is referred to as ‘cost effectiveness’. Often, outcomes (and to a lesser extent, outputs) are influenced by factors external to the service. Figure 1.3 distinguishes between program efficiency and program effectiveness, and notes the influence of factors external to a service.

Figure 1.3 Service process

Example: general model



Example: fire services



Objectives:

A number of the objectives (or desired outcomes) for each government funded service are similar across jurisdictions, although the priority that each jurisdiction gives to each objective may differ. The Steering Committee's approach to performance reporting is to focus on the extent to which each *shared* objective for a service has been met. In each chapter, the objectives for the service are outlined, and performance indicators that measure the achievement of those objectives are reported.

Distinguishing outcomes and outputs:

Outcome indicators provide information on the impact of a service on the status of an individual or a group, and on the success of the service area in achieving its objectives. Outputs are the actual services delivered. Outcomes may be short term (intermediate) or longer term (final). A short term police random breath testing 'blitz', for example, may achieve the intermediate outcome of fewer drunk drivers and lead to a short term reduction in road deaths. The longer term outcome of a permanent reduction in road deaths is more likely to reflect external factors such as the design quality of cars and capital investment in improved roads or additional permanent random breath testing units.

The approach in the Report is to:

- ❑ use both short term (or intermediate) and long term (or final) outcome indicators as appropriate
- ❑ make clear that government-provided services are often only one contributing factor and, where possible, point to data on other factors, including different geographic and demographic characteristics across jurisdictions.

While the aim of the Review is to focus on outcomes, they are often difficult to measure. The Report therefore includes measures of outputs, with an understanding that there is a correlation between those outputs and desired outcomes, and that the measures of outputs are proxies for measures of outcomes.

The indicator framework groups output indicators according to the desired characteristics of a service — for example, accessibility, appropriateness or quality — where outputs with these characteristics are linked to achieving desired outcomes (figure 1.2). By contrast, outcome indicators are not grouped according to desired characteristics. Outcomes depend on a number of the characteristics of a service as well as being subject to external factors.

Equity, effectiveness and efficiency:

There are inherent trade-offs in allocating resources and dangers in analysing only some aspects of a service. A unit of service may have a high cost but be more effective than a lower cost service, and therefore be more cost effective. Since its inception, the Report

has taken a comprehensive view of performance reporting, and frameworks incorporate indicators across all relevant dimensions of performance.

Equity:

The term ‘equity’ has a number of interpretations. Equity indicators in this Report measure how well a service is meeting the needs of certain groups in society with special needs. Indicators may reflect both equity of access, whereby all Australians are expected to have adequate access to services, and equity of outcome, whereby all Australians are expected to achieve similar service outcomes.

A number of criteria can be used to classify those groups who may have special needs or difficulties in accessing government services. These include:

- language or literacy proficiency
- gender
- age
- physical or mental capacity
- race or ethnicity
- geographic location.

Effectiveness:

Effectiveness indicators measure how well the outputs of a service achieve the stated objectives of that service. The reporting framework groups effectiveness indicators according to characteristics that are considered important to the service. For most chapters, these characteristics include access, appropriateness and/or quality.

Access:

Access indicators measure how easily the community can obtain a service. In this Report, access has two main dimensions, undue delay (timeliness) and undue cost (affordability). Timeliness indicators in this Report include waiting times (for example, in public hospitals and for aged care services). Affordability indicators in this Report relate to the proportion of income spent on particular services (for example, out-of-pocket expenses in children’s services).

Appropriateness:

Appropriateness indicators measure how well services meet client needs. An appropriateness indicator for the Supported Accommodation and Assistance Program, for example, is the proportion of clients receiving the services that they are assessed as needing. Appropriateness indicators also seek to identify the extent of any under servicing or over servicing (Renwick and Sadkowsky 1991). Some services have developed measurable standards of service need against which the current levels of service can be assessed.

Quality:

Quality indicators reflect the extent to which a service is suited to its purpose and conforms to specifications. Information about quality is particularly important when there is a strong emphasis on increasing efficiency (as indicated by lower unit costs). There is usually more than one way in which to deliver a service, and each alternative has different implications for both cost and quality. Information about quality is needed to ensure all relevant aspects of performance are considered.

The reporting framework includes quality as one aspect of effectiveness, and distinguishes it from access and appropriateness (figure 1.2). This distinction is somewhat artificial because these other aspects of service provision also contribute to a meaningful picture of quality.

Efficiency:

The concept of efficiency has a number of dimensions. Overall economic efficiency requires satisfaction of technical, allocative and dynamic efficiency:

- ❑ technical efficiency requires that goods and services be produced at the lowest possible cost
- ❑ allocative efficiency requires the production of the set of goods and services that consumers value most, from a given set of resources
- ❑ dynamic efficiency means that, over time, consumers are offered new and better products, and existing products at lower cost.

This Report focuses on technical (or productive) efficiency. Technical efficiency indicators measure how well services use their resources (inputs) to produce outputs for the purpose of achieving desired outcomes. Government funding per unit of output delivered is a typical indicator of technical efficiency — for example, recurrent funding per annual curriculum hour for vocational education and training.

Comparisons of the unit cost of a service are a more meaningful input to public policy when they use the full cost to government, accounting for all resources consumed in providing the service. Problems can occur when some costs are not included or are treated inconsistently (for example, superannuation, overheads or the user cost of capital). The Steering Committee approach, where full cost information is not available in the short term, is that:

- data should be calculated consistently across jurisdictions
- data treatment should be fully transparent.

Issues / Challenges Encountered:

The differing environments in which service agencies operate affect the outcomes achievable and achieved by the agencies. Any comparison of performance across jurisdictions needs to consider the potential impact of differences in clients, geography, available inputs and input prices. Relatively high unit costs, for example, may result from

inefficient performance, or from a high proportion of special needs clients, geographic dispersal, or a combination of these and other factors. Similarly, a poor result for an effectiveness indicator may have more to do with client characteristics than service performance.

The Report provides information on some of the differences that might affect service delivery to assist readers to interpret performance indicator results. The statistical appendix provides a range of general descriptive information for each jurisdiction, including the age profile, spatial distribution, income levels and education levels of the population, the tenure of dwellings and cultural heritage (such as Indigenous and ethnic status).

The Report does not attempt to adjust reported results for differences that may affect service delivery. Users of the Report will often be better placed to make the necessary judgments, perhaps with the benefit of additional information about the circumstances or priorities of specific jurisdictions.

Example:

Protection and Support Services - Framework of performance indicators for child protection and out-of-home care services

The framework of performance indicators for child protection and out-of-home care services is based on shared government objectives (box 15.4).

Box 15.4 Objectives for child protection and out-of-home care services

The aims of child protection services are to:

- protect children and young people at risk of harm within their family or in circumstances in which the family of the child or young person does not have the capacity to protect them
- assist families to protect children and young people.

The aim of out-of-home care services is to provide quality care for children and young people aged 0–17 years who cannot live with their parents for reasons of safety or family crisis.

Child protection and out-of-home care services should be provided in an efficient and effective manner.

The performance indicator framework shows which data are comparable in the 2009 Report (figure 15.3). For data that are not considered directly comparable, the text includes relevant caveats and supporting commentary.

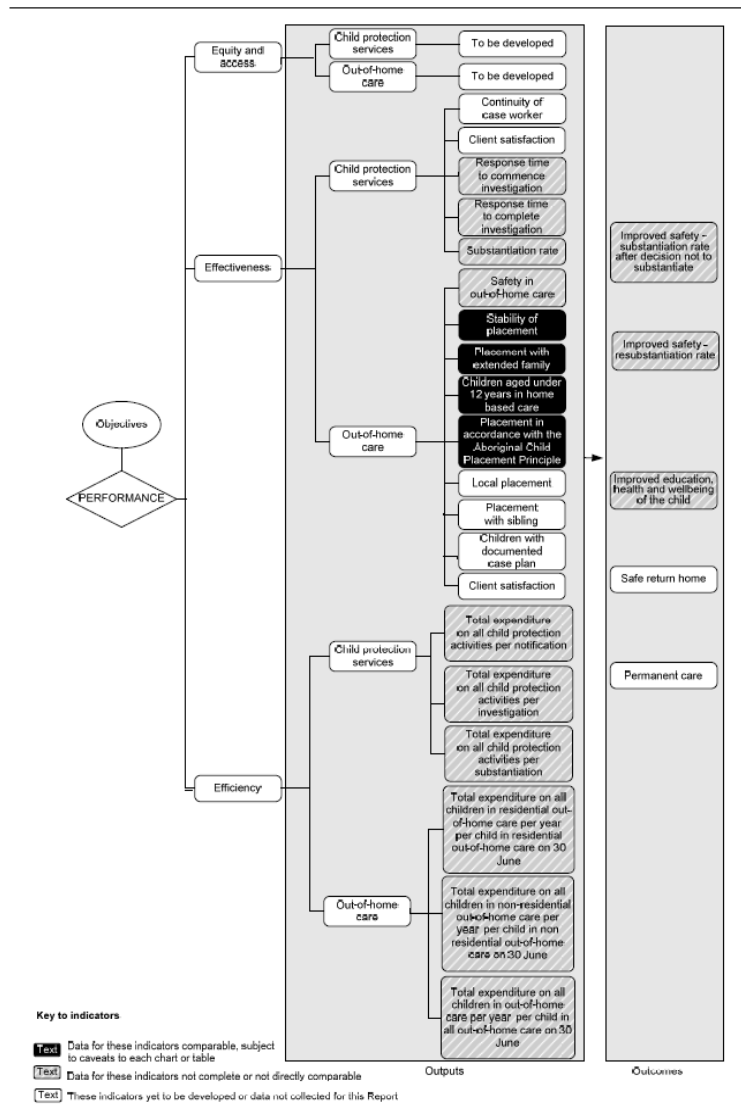
Data comparability:

For each service, the performance indicator framework and indicator interpretation boxes show which data are provided on a comparable basis and which are not directly

comparable. Where data are not directly comparable, appropriate qualifying commentary is provided in the text or footnotes. Data may not be directly comparable if:

- definitions or counting rules differ or are so broad that they result in different interpretations (for example, depreciation rules)
- the scope of measurement varies (for example, waiting times for elective surgery)
- the sample size is too small for statistical reliability.

Figure 15.3 Performance indicators for child protection and out-of-home care services



Contact Information: Not applicable

Case Study # 23 - Australia

Title of Innovation: *Intergovernmental Agreements*

Category of Innovation: Performance Measurement

Background on the Innovation / Rationale for the Innovation

Note: This information is drawn directly from the Council of Australian Government website at

http://www.coag.gov.au/intergov_agreements/federal_financial_relations/index.cfm

The Council of Australian Governments (COAG) has reaffirmed its commitment to cooperative working arrangements through an historic new Intergovernmental Agreement (IGA) that provides an overarching framework for the Commonwealth's financial relations with the States and Territories (the States).

The IGA is aimed at improving the quality and effectiveness of government services by reducing Commonwealth prescriptions on service delivery by the States, providing them with increased flexibility in the way they deliver services to the Australian people. In addition, it provides a clearer specification of roles and responsibilities of each level of government and an improved focus on accountability for better outcomes and better service delivery. This is accompanied by a major rationalization of the number of payments to the states for Specific Purpose Payments (SPPs), reducing the number of such payments from over 90 to five.

Each SPP is associated with a National Agreement that contains the objectives, outcomes, outputs and performance indicators, and clarifies the roles and responsibilities that will guide the Commonwealth and states in the delivery of services across the relevant sectors. COAG agreed to six new National Agreements – National Healthcare Agreement, National Education Agreement, National Agreement for Skills and Workforce Development, National Disability Agreement, National Affordable Housing Agreement, and the National Indigenous Reform Agreement.

The performance of all governments in achieving mutually-agreed outcomes and performance benchmarks specified in each National Agreement will be monitored and assessed by the independent COAG Reform Council and reported publicly on an annual basis. COAG agreed that the new National Agreements are central to achieving service delivery improvements and reforms.

Intergovernmental Agreements (IGAs) – The new IGA implements a new framework for federal financial relations that will provide a robust foundation for the Parties to collaborate on policy development and service delivery and facilitate the implementation of economic and social reforms in areas of national importance.

A Few Key Objectives:

- a) collaborative working arrangements, including clearly defined roles and responsibilities and fair and sustainable financial arrangements, to facilitate a focus by the Parties on long term policy development and **enhanced government service delivery**;
- b) enhanced public accountability through simpler, standardised and more transparent performance reporting by all jurisdictions, with a focus on the achievement of outcomes, **efficient service delivery and timely public reporting**;

Primary responsibility for service delivery:

The Parties recognize that the States and Territories have primary responsibility for many of the service sectors covered by the National Agreements appended as schedules to this Agreement. The primacy of State and Territory responsibility in the delivery of services in these sectors is implicit in the Constitution of the Commonwealth of Australia and it is not the intention of the Parties to alter the Constitutional responsibility or accountability of the Commonwealth, States and Territories.

Notwithstanding that, the Parties acknowledge that coordinated action is necessary to address many of the economic and social challenges that confront the Australian community. The intent of the Parties is that the National Agreements should clarify the responsibilities and accountabilities of the Commonwealth and the States and Territories.

Focus on improving the well-being of Australians:

The intent of the Parties in implementing the financial framework is to improve the well-being of all Australians through improvements in the quality, efficiency and effectiveness of government service delivery by:

- (a) reducing Commonwealth prescriptions on service delivery by the States and Territories;
- (b) clarifying the roles and responsibilities of the Parties in the delivery of government services that are the subject of National Agreements set out in schedules to this Agreement; and
- (c) enhancing accountability to the public for the outcomes achieved or outputs delivered under National Agreements or National Partnerships.

The Parties agree that there will be a rigorous focus on the achievement of outcomes — that is, mutual agreement on what objectives, outcomes and outputs improve the well-being of Australians.

Coordinated federal action:

The Parties have recorded their mutually agreed objectives, outcomes and outputs and performance indicators for each of the service sectors covered in National Agreements appended as schedules to this Agreement.

Accountability:

As improved accountability is a key objective to the framework for federal financial relations, the Parties commit to improve service delivery by ensuring that the appropriate government is accountable to its community — not just for its expenditure in delivering services, but more importantly for the quality and efficiency of the services it delivers and the outcomes it achieves.

The Parties commit to enhancing the accountability of governments to the community through simpler, standardised and more transparent public performance reporting for all jurisdictions, underpinned by clearer roles and responsibilities.

The Parties are committed to on-going performance reporting and to working together to improve performance reporting for the sake of enhanced public accountability. The performance reporting framework will focus on the achievement of results, value for money and timely provision of publicly available performance information.

The Innovation:

Note that a variety of Schedules exist in support of the IGAs e.g. Institutional Arrangements, Taxation Reform etc. This study extracts the Public Accountability and Performance Reporting Framework that underpins both IGAs and National Agreements.

Objectives:

The accountability of governments to the public will be enhanced through simpler, standardised and more transparent public performance reporting for all jurisdictions, underpinned by clearer roles and responsibilities.

The new framework for replaces Commonwealth prescriptions on state and territory service delivery with a new focus on the achievement by all levels of government of mutually agreed objectives and outcomes. As a consequence, the community needs to know which level of government is accountable for the delivery of a particular service, and whether that government's policies and programs are:

- (a) effective in contributing to the desired outcomes;
- (b) being implemented efficiently; and
- (c) reaching those people for whom they are intended.

The reporting framework will focus on the achievement of results, efficient service delivery and timely provision of publicly available performance information.

Reporting under the framework for federal financial relations will be in respect of:

- (a) the comparative performance of government achievement against objectives, outcomes, outputs and performance benchmarks in areas covered by National Agreements; and
- (b) the achievement by governments of objectives, outcomes, outputs and performance benchmarks in National Partnership agreements.

Performance Reporting for National Agreements:

The performance reporting framework for the National Agreements is based on:

- (a) high-level performance indicators for each National Agreement;
- (b) the Steering Committee for the Review of Government Service Provision (the Steering Committee) having overall responsibility for collating the necessary performance data; and
- (c) the COAG Reform Council publishing performance data relating to National Agreements, and National Partnerships to the extent that they support the objectives in National Agreements, within three months of receipt from the Steering Committee, along with a comparative analysis of this performance information that-
 - (i) focuses on the high level National Agreement performance indicators;
 - (ii) highlights examples of good practice;
 - (iii) highlights contextual differences between jurisdictions which are relevant to interpreting the data; and
 - (iv) reflects COAG's intention to outline transparently the contribution of both levels of government to achieving performance benchmarks and to achieving continuous improvement against the outcomes, outputs and performance indicators.

Performance indicators:

The purpose of the performance indicators is to inform the general public about government performance in making progress towards identified outcomes. Performance indicators will provide a clear picture of the achievement of governments in delivering services.

- Accordingly, the Parties will ensure that performance indicators will be meaningful, simple and comprehensible to members of the public, that there is underlying data to support the indicators, that the indicators meaningfully measure what they purport to measure and are reliable.

- ❑ The effectiveness of the reporting framework also depends on the quality of the data underpinning each indicator. The Parties agree that the underlying performance data should have the following characteristics:
 - (a) meaningful — to improve public accountability, data must be reported in a way that is meaningful to a broad audience, many of whom will not have technical or statistical expertise, and validly measures what it claims to measure;
 - (b) understandable — the data will be accessible, clear and unambiguous so that the community can come to its own judgements on the performance of governments in delivering services;
 - (c) timely — to be relevant and enhance accountability, the data published will be the most recent possible — incremental reporting when data becomes available, and then updating all relevant data over recent years, is preferable to waiting until all data are available;
 - (d) comparable — data must be comparable across jurisdictions and over time— where there are no comparable data for a particular performance indicator, the Parties will work together with assistance from technical experts to develop common definitions, counting rules and measurement standards so that data can be provided on a comparable basis;
 - (e) administratively simple and cost effective — the costs involved in collecting data will be proportionate to the benefits to be gained from the resulting information;
 - (f) accurate — data published will be of sufficient accuracy so that the community has confidence in the information on which to draw their analysis; and
 - (g) hierarchical — high-level performance indicators should be underpinned by lower level (more detailed but consistent) performance data where a greater level of sector specific detail is required for other purposes.

Data collation:

The Steering Committee for the Review of Government Service Provision is responsible for collating and preparing the National Agreement performance data.

The Steering Committee will provide the agreed performance information to the COAG Reform Council, desirably within three months and no later than six months after the reporting period to which the data relates.

To improve data quality, reduce delays in data collection and verification, and provide the COAG Reform Council with information to assess performance measures, the

Steering Committee will comment on the quality of the performance indicator data using quality statements prepared by the collection agencies which set out the quality attributes of the data using the Australian Bureau of Statistics' Quality Framework.

Data analysis:

Performance reporting should assist the public in assessing governments' progress against agreed objectives, outcomes and outputs.

The COAG Reform Council will provide annual reports to COAG containing the performance data. It will also report its own comparative analysis of the performance of governments in meeting the objectives of the National Agreements. The reports will also highlight examples of good practice and performance so that, over time, innovative reforms or methods of service delivery may be adopted by other jurisdictions. The Parties will provide to the COAG Reform Council the information necessary for it to fulfil its role, as directed by COAG.

The COAG Reform Council's reports on the performance information for all governments against National Agreement outcomes and performance benchmarks will be made public.

Performance reporting for National Partnerships:

The COAG Reform Council will be the independent assessor of whether pre-determined milestones and performance benchmarks have been achieved before an incentive payment to reward nationally significant reforms or service delivery improvements under a National Partnership reward payment is made. The final decision on payments will be made by the Commonwealth.

To assist the COAG Reform Council, the agreements underpinning each National Partnership reward payment will clearly set out the milestones and performance benchmarks that must be achieved for each jurisdiction to be eligible for a payment.

Next Steps:

Note that the next steps described here have been drawn from the Public Accountability and Performance Reporting Framework since they speak to the ongoing improvements in the area of performance measurement.

National Performance Reporting System:

The development of a new national performance reporting framework provides the opportunity to move, as far as possible, to a single, integrated, national reporting system that will reduce collection costs and confusion in interpreting performance.

The Parties agree to prioritise the new national performance reporting framework for reporting on government services and review aspects of existing data collection and

reporting requirements that may duplicate or be inconsistent with it. In reviewing reporting requirements and existing processes, consideration will be given to:

- ❑ identifying and addressing data gaps that prevent reporting on important performance indicators;
- ❑ identifying strategies for improving timeliness of data collection; and
- ❑ rationalising data collection processes where there is overlap and duplication.

Consistent with the move to a single, integrated, national reporting system, the Parties agree to improve national and state and territory data collection processes, including the development of:

- ❑ standard data definitions;
- ❑ standard data reporting benchmarks; and a program of performance indicator improvement where existing measures do not adequately provide the public with a comprehensive and meaningful set of performance measures.

Continual Improvement in Performance Reporting:

As the success of the new framework for federal financial relations depends crucially on the development of robust performance indicators and benchmarks, the Parties will continually improve performance data and commit to:

- ❑ on going involvement in performance reporting; and
- ❑ maintaining the national minimum data sets required to allow comparative reporting of governments' achievement against agreed objectives and outcomes.

The Ministerial Council for Federal Financial Relations will maintain a register of the national minimum data sets required to allow comparative reporting of governments' achievement against agreed objectives and outcomes. In undertaking this task, it will consult with other Ministerial Councils and data collection agencies.

The COAG Reform Council may advise on where changes might be made to the performance reporting framework.

Contact Information:

Council of Australian Governments (COAG)
COAG Unit
Department of the Prime Minister and Cabinet
1 National Circuit
Barton Act 2600

http://www.coag.gov.au/intergov_agreements/federal_financial_relations/index.cfm

Case Study #24 - New Zealand

Title of the Innovation: *Common Measurements Tool and Kiwis Count*

Category of Innovation: Performance Measurement

Background on the Innovation/Rationale for the Innovation:

New Zealand's approach to measuring the performance of external services can usefully be set within its recently articulated long-term Development Goals and its service goals for the public service. The Development Goals are:

- **Excellent state servants** - Develop a strong culture of constant learning in the pursuit of excellence
- **Networked state services** - Use technology to transform the provision of services for New Zealanders
- **Coordinated state agencies** - Ensure the total contribution of government agencies is greater than the sum of its parts
- **Accessible state services** - Enhance access, responsiveness and effectiveness, and improve New Zealander's experience of State Services
- **Trusted state services** - Strengthen trust in the state services, and reinforce the spirit of service
- **Employer of choice** - Ensure the state services is an employer of choice attractive to high achievers with a commitment to service

Its service goals are that “*New Zealanders have a high performing, trusted and accessible State sector, delivering the right services in the right way at the right prices.*”

In 2007 the State Services Commission (SSC), on behalf of the Government of New Zealand, acquired the rights to **Canada's Common Measurements Tool**, as well as the rights to replicate Canada's *Citizens First* Survey, which was rebranded as **Kiwis Count**.

New Zealand does not formally require the setting of service standards for the delivery of external services. The SSC recommends the use of the Canadian Common Measurements Tool across the public service, and has produced learning events and a CMT Guide, and has developed a community of practice for CMT users. More broadly, the SSC has issued guidance to departments: *Performance Measurement: Advice and examples on how to develop effective frameworks*.

<http://www.ssc.govt.nz/display/document.asp?NavID=114&DocID=7121>

The Innovation:

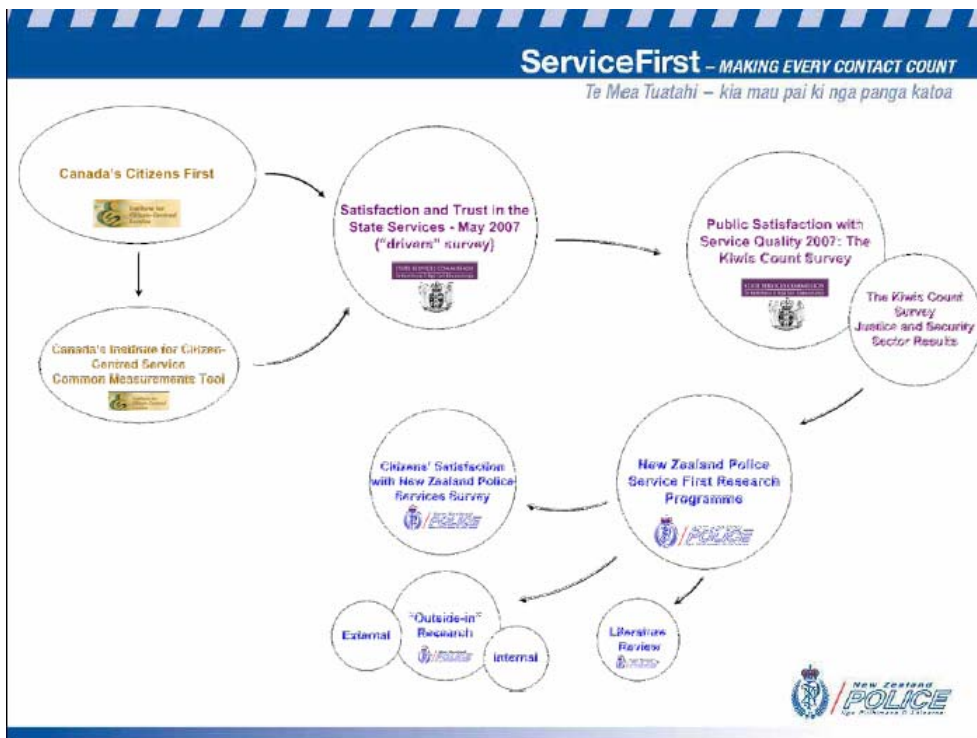
New Zealand measures at an individual agency and program level using the **Common Measurements Tool**, and at a whole-of-government level using the **Kiwis Count** national citizens' survey which is fielded every two years.

In 2007 over 6000 citizens were surveyed about their expectations for and satisfaction with government services. <http://www.ssc.govt.nz/display/document.asp?DocID=6554>. The results were reported in April 2008. A second round of Kiwis Count was completed in November of 2009 with results expected in April 2010. <http://www.ssc.govt.nz/display/document.asp?DocID=7378>

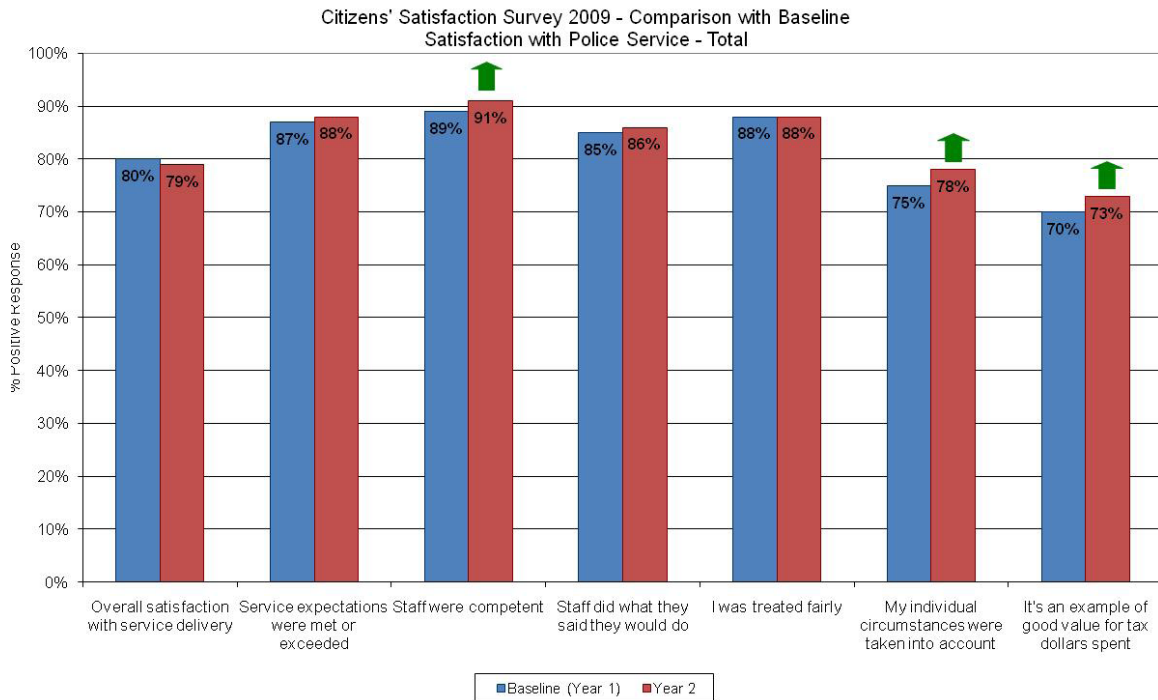
The Common Measurements Tool is available for use across the NZ public service through memoranda of understanding with the SSC. <http://www.ssc.govt.nz/display/document.asp?NavID=316&DocID=6658>

Also, through agreement with the ICCS a New Zealand version of the CMT Guide has been made available to all public service managers. The SSC worked with the ICCS in 2009 to create a government-wide community of practice for users of the CMT. Drivers of Service Satisfaction Research has been another important part of the NZ measurement program. <http://www.ssc.govt.nz/display/document.asp?DocID=7110>

The New Zealand Police was one of the first agencies to use the CMT to survey its clients and has now completed two rounds of surveys.



According to the 2009 survey results, service as well as public trust in the New Zealand Police have both improved since the first baseline CMT survey: <http://police.govt.nz/resources/2009/citizens-satisfaction-survey>



The NZ Police have reported that their focus on the drivers of satisfaction has been instrumental in achieving their improved results.

Next Steps:

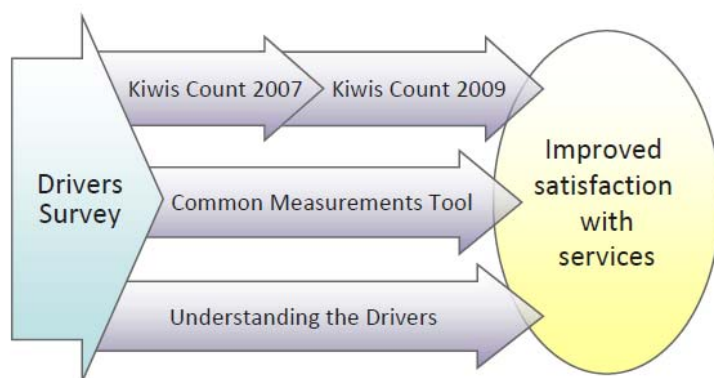
In preparation for this 2009 **Kiwis Count-2** survey, the SSC undertook a consultation with departments and agencies and as a result made some minor changes in the collection and reporting of data for the 2009-2010 survey.

As noted above, **Kiwis Count -2** was completed in November 2009 using mail and internet modes, and a 56% response rate was achieved. The results are being analyzed and will be reported in April 2010.

Additional Background Information and Research Findings:

The Canadian measurement system was adopted by NZ based on presentations by Canadian officials to the State Services Commission and the New Zealand Police in 2005 and 2006, and the return visit by Iona Holdsted, Deputy Commissioner of the SSC to the Lac Carling Conference and to the ICCS in 2007. The New Zealand Government also conducted a study to determine the “drivers” of service satisfaction with public sector services as a piece of foundational research.

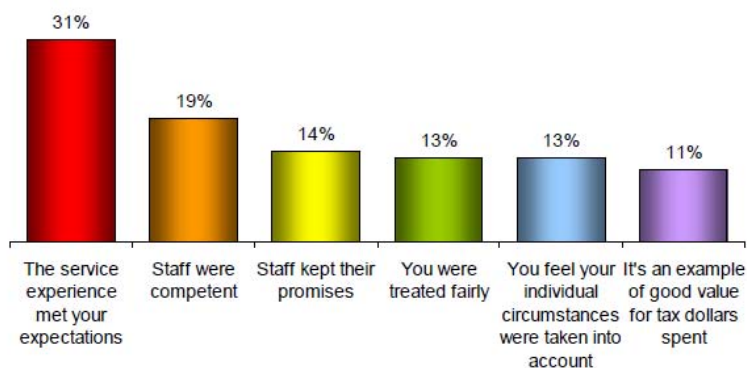
New Zealanders' Experience



NEW ZEALANDERS'
EXPERIENCE
RESEARCH PROGRAMME

The drivers identified by the NZ study are summarized in the graphic.

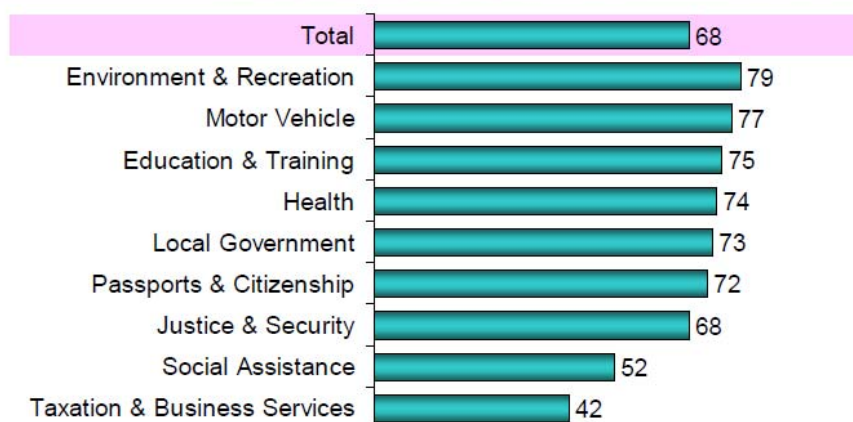
New Zealand Drivers



NEW ZEALANDERS'
EXPERIENCE
RESEARCH PROGRAMME

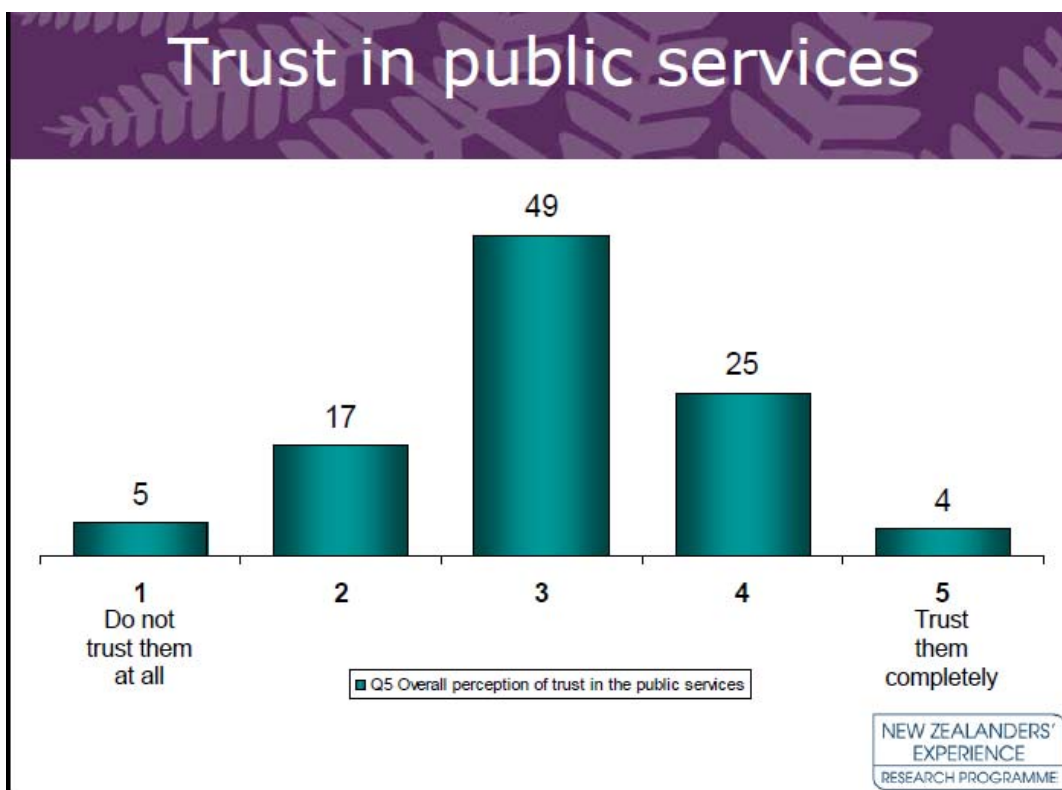
Kiwis Count 2007-2008 provided the Government of New Zealand with baseline measures of client satisfaction for a range of services as outlined in the graphic below.

Satisfaction – most recent



NEW ZEALANDERS'
EXPERIENCE
RESEARCH PROGRAMME

The **Kiwis Count** study also measured trust in public services and the results were as follows:



Case Study #25 – United Kingdom

Title of Innovation: *UK Customer Service Excellence Standard*

Category of Innovation: Performance Measurement

Background on the Innovation / Rationale for the Innovation:

In 2006, the UK Government published an *Independent Review of the Charter Mark Scheme and Measurement of Customer Satisfaction with Government Services*. (the Herdan Report). The Charter Mark Scheme had been in place for 14 years. The Herdan Report made the following recommendations:

Refocusing the Charter Mark

We recommend that the Charter Mark should be repositioned. It should be a comprehensive diagnostic tool that helps public services to achieve continuous improvement and enables them to demonstrate outcomes via the measurement of customer satisfaction. The new Charter Mark scheme should also continue to deliver the benefits of staff recognition and celebration of achievement. We also recommend that the development of Charter Mark is totally aligned with the key drivers of customer satisfaction. Any existing Charter Mark criteria not already directly relevant to the drivers should be dropped. Further work should be undertaken - with some urgency - to validate the above five key drivers in the context of UK public services.

Rigorous Customer Satisfaction Measurement

The re-defined Charter Mark should incorporate the introduction of a framework for more rigorous measurement of customer satisfaction with public services, which is built around the same set of validated drivers and hence the outcomes, which we know are important to the citizen. There should not be a central measurement of customer satisfaction; customer satisfaction surveys should be commissioned and owned by the organizations delivering the services to the public (whether in the public or private sector). Organisations should however be required to include certain core common questions and to comply with a survey framework and an approved robust methodology. This will enable benchmarking within sectors and provide a means to demonstrate the effectiveness of the new Charter Mark quality improvement tool. Care should be taken to limit strictly the numbers of core questions to avoid “survey fatigue”. We recommend that the combination of the redesigned diagnostic quality improvement tool and the application of new customer satisfaction measurement framework and methodology should form the new scheme to replace the existing Charter Mark with new branding. (http://www.uk.sgs.com/ssc_bernard_herdan_charter_mark_review_report.pdf)

The UK Government agreed with the Herdan Report’s main recommendations (http://www.cabinetoffice.gov.uk/media/cabinetoffice/chartermark/assets/gov_response_bernard.pdf) and it replaced the Charter Mark program with the new *Customer Service Excellence Standard* in early 2008.

The Innovation:

The Customer Service Excellence Standard (CSES)

(http://www.cse.cabinetoffice.gov.uk/UserFiles/Customer_Service_Excellence_standard.pdf) is a combination of: (a) an organizational capacity and service performance assessment tool (for self assessment or external assessment like the Charter Mark was for 14 years, but with more empirical underpinnings); (b) a client satisfaction measurement tool, linked to client needs, drivers of satisfaction, and continuous performance improvement; and (c) a skills development tool. According to the UK Government, the CSES is designed to operate on three distinct levels:

As a driver of continuous improvement. By allowing organisations to self assess their capability, using our [online self-assessment tool](#), in relation to customer focused service delivery, identifying areas and methods for improvement;

As a skills development tool. By allowing individuals and teams within the organisation to explore and acquire new skills in the area of customer focus and customer engagement, thus building their capacity for delivering improved services;

As an independent validation of achievement. By allowing organisations to seek formal accreditation to the [Customer Service Excellence standard](#), demonstrate their competence, identify key areas for improvement and celebrate their success

The CSES is built around the following framework:

UK Customer Service Excellence Standard 2008

Criterion 1: Customer Insight

- Do you have an in-depth understanding of your organisation's customers?
- Do you consult and engage with your customers?
- Do measure the levels of satisfaction with the service you provide?

Criterion 2: The Culture of the Organisation

- Do you have a customer focused culture within your organisation?
- Are you committed to putting the customer at the heart of policy development and service delivery?
- Do you value staff in customer service roles?

Criterion 3: Information and Access

- Do you provide accurate and complete information to customers?
- Do you make your services available to all of your customers?
- Do you work with other organisations in partnership to provide benefits for your customers?

Criterion 4: Delivery

- Do you have precise and measurable standards for your services which are met or exceeded?
- Do you deliver the service promised to the majority of your customers?
- Do you deal effectively with problems?

Criterion 5: Timeliness and Quality of Service

- Do you set and meet standards for the timeliness of response?
- Do you identify customer needs at the first point of contact and agree and overall time for response?
- Do you respond to initial enquiries promptly?
-

The Detailed CSE Standard

(http://www.cse.cabinetoffice.gov.uk/UserFiles/Customer_Service_Excellence_standard.pdf)

Who is Using the CSES? The CSES is being used not only within the national government but across the Public Sector in the UK. An example is the Rotherham Metropolitan Borough Council which was awarded the CSES designation in 2008: (<http://www.rotherham.gov.uk/graphics/YourCouncil/Council+Services/Neighbourhoods+and+Adult+Services/Customer+Service+Excellence+Standard.htm>)

Another is Brighton and Hove City Council: (<http://www.brighton-hove.gov.uk/index.cfm?request=c1136322>)

And the Cambridgeshire County Council: (<http://www.cambridgeshire.gov.uk/transport/strategies/Customer+Service+Excellence.htm>)

Measurable Impact in a Police Call Centre

The Cheshire Constabulary call centre had the lowest client satisfaction rating in the country according to a Home Office survey. Applying the CSES resulted in a dramatic increase in levels of customer satisfaction. When the Home Office survey took place, customer satisfaction stood at 73.7 per cent. Measured again exactly one year later, it had risen to 89.6 per cent. By January 2009, it had reached 92 per cent.

Improving a School Lunch Program through Customer Insight

“The project has shown that using customer insight techniques such as segmentation and customer journey mapping, can be very effective in identifying groups and individuals who are not receiving their full benefit entitlement,” Tim Rainey concludes. ‘As a result of improved accessibility and the speed and accuracy of online processing, the customer journey has been greatly improved, both in terms of the physical contacts and the emotional experience.’”

Issues / Challenges Encountered:

The UK Cabinet Office maintains a website of best practices in the use of the CSES, which includes some information on the experience of agencies in the implementation process. (<http://www.cse.cabinetoffice.gov.uk/getDynamicContentAreaHome.do?type=3>)

Critical Success Factors:

Regarding the effectiveness of tools like Charter Mark, the Herdan Review noted that:

Charter Mark holders are generally very positive about the scheme. They feel it is a valuable management tool in driving up standards and that it helps motivate members of staff. There is much anecdotal, but little hard evidence of the Charter Mark's effectiveness. The Charter Mark scheme continues to prosper, but percentage penetration of the whole public sector – and therefore overall impact – remains quite low.

Herdan argued that to be effective, the successor to the Charter Mark (i.e. the CSES) needed to be anchored to a greater degree in citizens needs and expectations, and in measurement of actual performance. In this regard, Herdan placed great emphasis on identifying and using the “drivers” of client satisfaction, just as Canada had in its improvement strategy. Herdan also argues that effective measurement of performance using the drivers has to be followed by improvement initiatives linked to the clients’ feedback.

Since the implementation of CSES, the UK Government has used training as one strategy for ensuring uptake and utilization of CSES, although training and use of the CSES appears to be voluntary. Thus, the National School of Government provides courses on the CSES in general as well as on specific subjects such as Customer Insight and Customer Journey Mapping:

(<http://www.nationalschool.gov.uk/programmes/programme.asp?id=19957>
(<http://www.nationalschool.gov.uk/programmes/topic.asp?id=2042>)

No formal report on implementation of the CSES and its success has been issued by the Cabinet Office, but on the other hand the scheme was only announced 20 months ago.

Next Steps:

No information is available on next steps. The CSES appears to have a slow but steady uptake across the public sector in the UK but it is not mandated like the Government of Canada’s Management Accountability Framework (MAF).

Contact Information:

Customer Service Excellence Team
Government Communications
Policy Projects Team
22/26 Whitehall

London
SW1A 2WH
t: 020 7276 1720 e: cse@cabinet-office.x.gsi.gov.uk

Case Study #26 - United States

Title of Innovation: *American Customer Satisfaction Index (ACSI) and E-Government Satisfaction Index*

Category of Innovation: Performance Measurement

Note: the information included in this case study is drawn mainly from the following report and supplemented with other published sources:

Foresee Results – E-Government Satisfaction Index – October 27, 2009

http://www.foreseeresults.com/Press_EgovQ32009.html.

Background on the Innovation / Rationale for the Innovation:

The American Customer Satisfaction Index (ACSI) was created at the University of Michigan in the 1990s. In 1999, the US federal government chose ACSI as its standard measurement tool for assessing citizen satisfaction. Since that time, more than 100 US federal government agencies have used the tool to measure citizen satisfaction. This usage represents more than 200 services and programs and more than 100 Web sites. ForeSee Results is a privately held company located in Michigan that collects and analyzes Web site satisfaction data on an ongoing basis and provides its reports to the US government quarterly. More information about ForeSee and the ACSI can be found at www.ForeSeeResults.com.

The Innovation:

ACSI is the only uniform, national, cross-industry measure of satisfaction with the quality of goods and services available in the United States, both in private and public sectors. The ACSI methodology identifies key drivers of online satisfaction (such as navigation, look and feel, search, site functionality, etc.) and quantifies their relationship to overall citizen satisfaction. This cause-and-effect methodology demonstrates the impact of website enhancements in these areas on overall customer satisfaction. In turn, customer satisfaction, as measured by ACSI, has been proven to predict how citizens will behave in the future. Improvements to customer satisfaction will make citizens more likely to choose to interact with an agency online (the most cost-effective channel), return to the site, and recommend it to others. Monitoring and improving customer satisfaction has tangible impact on citizen usage of the web channel and on the bottom line.

Issues / Challenges Encountered:

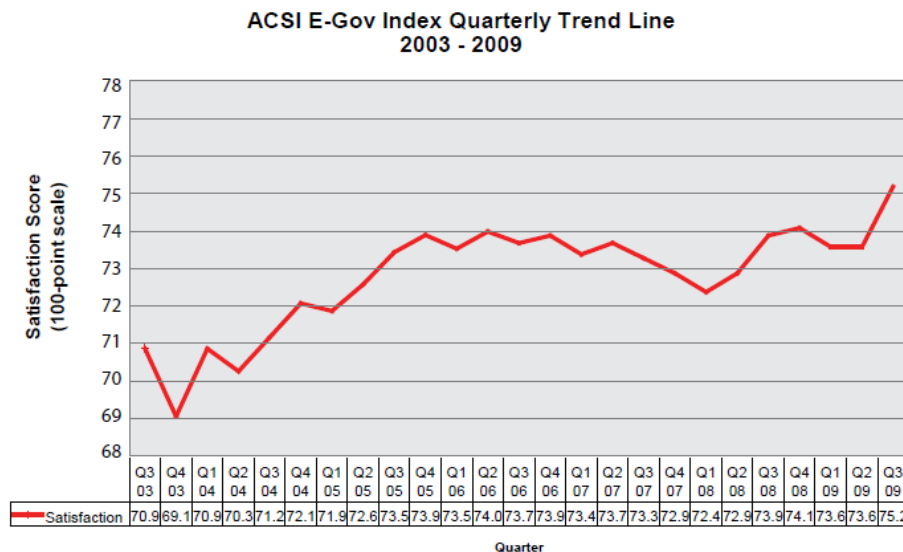
The US Government, as well as many other governments, is always striving to ensure that all of its citizens have easy access to accurate government information. The following is an excerpt from the ExpectMore.gov Web site's report on USA Services.

Demographics and socio-economic realities may predispose one group of citizens to favor one information channel over another and USA Services is designed to

allow citizens to use whatever channel works best for them. Staff and funding resources are allocated to the different information channels based on the levels of citizen usage of the different channels and the cost of operating the channels. While the cost to reach individual citizens through the web is relatively low, the audience is immense and growing and demands a significant allocation of resources. The costs per touch point for e-mail, telephone and print distribution are significantly higher than web access, but those channels have lower usage. Since the cost to reach citizens via the web is lower, USA Services seeks to guide as many citizens as possible to the web while maintaining efficient services via other channels. Reaching all citizens is the target of USA Services but special emphasis is also placed on maintaining channels that serve those who cannot afford internet access. The high levels of customer satisfaction reported for the different channels indicates that the program is successful in distributing its resources fairly to the different groups of citizens benefiting from USA Services. (Source: <http://www.whitehouse.gov/omb/expectmore/detail/10004385.2006.html>)

Critical Success Factors:

The use of ACSI's E-Government Index has allowed the US federal government to clearly and publicly demonstrate that, over time, it has been successful in improving its Web sites and the delivery of information and services to its citizens. The table below drawn from the most recent ACSI report demonstrates a marked increase in satisfaction since formal tracking began in 2003.



Of particular note from ForeSee's most recent report is the finding that satisfaction levels for US e-government Web sites are now catching up to satisfaction levels for private sector websites. For example, the report states that "...a larger proportion of e-gov websites score over 80 than do e-retail websites. Some sites from the Social Security Administration and from Health and Human Services surpass even those of the private sector stalwarts like Netflix and Amazon."

In addition to its measurement program, the USA Services, on behalf of the US federal government, has also put in place a substantial training program which offers affordable training for Web and contact centre managers from federal, state and local governments. The prime aim of the curriculum is to enhance the management and operations of government Web sites in order to improve services to citizens. In 2009, there were 5,128 students who participated in this training.

Additionally, USA Services is responsible overall for introducing the concept of being citizen-centered to all US federal government agencies. One way it supports this responsibility is by providing contracting vehicles to help agencies with customer service solutions.

Next Steps:

According to the OECD 2009 Report entitled *Rethinking e-Government Services – User-Centred Approaches*, governments need to move beyond the traditional metrics of website hits and page impressions. Clearly, the US federal government is already out in front of many other governments with its use of the ACSI measurement tool. While the ACSI tool does measure client satisfaction and its drivers, the OECD report suggests that all governments should also monitor and analyze the following items in order to understand how e-government services are being consumed and also to be able develop and deliver services that are better matched to user expectations:

- patterns of use and traffic volumes including seasonal variations
- audience breakdowns
- e-mails and feedback
- use of search terms
- accessibility – including compliance with international standards
- availability of information on alternative service delivery channels
- availability of media services or assistance if citizens have difficulties on-line

(OECD, *Rethinking e-Government Services: User-Centred Approaches*, Brussels, 2009.)

Contact Information: Not applicable.

Case Study #27 - Minnesota State Government

Title of Innovation: *Minnesota's Enterprise Lean Program*

Category of Innovation: Policies/Strategies/Guidelines

Minnesota's Enterprise Lean

Purpose+People+Process Improvement = Organizational Excellence

Background on the Innovation / Rationale for the Innovation:

Note: Much of the information included in this case study is drawn directly from Minnesota's Enterprise Lean Web site (<http://www.lean.state.mn.us/index.htm>) and is supplemented by an interview with Tom Baumann the initiative's Continuous Improvement Program Leader.

Minnesota launched its Enterprise Lean program in January 2008. As with other governments, Minnesota had seen many improvement processes come and go over the years. This time they hoped to introduce an initiative that would be self-sustaining and whose principal elements would stand the test of time. The Lean principles of management have existed in the private sector for many years. They were pioneered by the Toyota car company in the 1980s.

According to Charley Shaw's article in the Saint Paul Legal Ledger (July, 2008):


While private businesses have been working with and apparently finding efficiencies through Lean for a couple of decades, governments are just starting to go that route.

The Commissioner of the state's Administration department, Dana Badgerow, introduced the Enterprise Lean Program under the umbrella of Governor Tim Pawlenty's *Drive to Excellence* government reform initiative. In her own words:

My dream, my vision is that this culture of continuous improvement has taken such root that it will survive no matter who is the governor two years and five months from now."

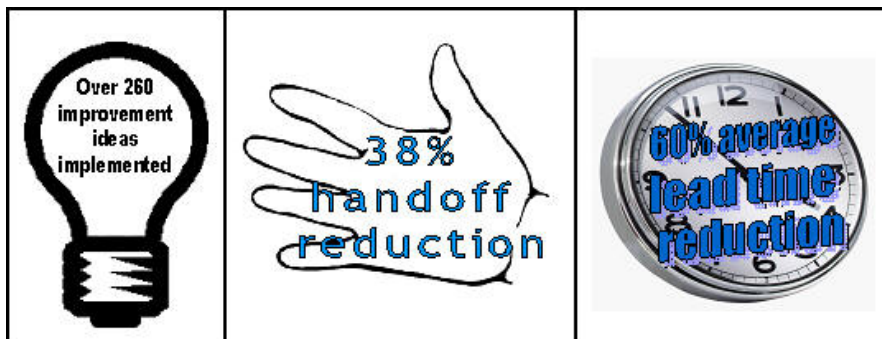
The Innovation:

Enterprise Lean is a coordinated state government initiative for improving the organizational performance and results in Minnesota's state government agencies. Using time-tested process Lean approach, while also embracing Six Sigma tools and total quality management philosophies, Enterprise Lean has a simple goal of helping state government work better for its customers and employees.

 <p>Kaizen, A combination of two Japanese symbols for “change” and “good,” most commonly translated as “change for the better.”</p>	<p>Lean is all about change - change for the better. Each week, state agencies are improving their operations by tapping into the knowledge of the employees who work in the process. Much of the success of Lean Kaizen events can be attributed to the teams of employees that are energized and motivated by the realization that they are in control of improving their work. The results below show the increasing involvement from Minnesota state employees. The improvements made with the Lean tools have streamlined government processes by reducing waste and enhancing the value-laden activities. An increase in the efficiency and quality of services is complemented by a significant reduction in the process time.</p>
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In the first year, much of the focus was on training state employees to be able to work with the Lean principles and process. To date, 200 employees from across the 24 different Cabinet State Agencies have received the Kaizen facilitator training so that they can lead the Lean process within their own organization. Approximately half of the 200 had already been involved with a Lean process event.

Twenty-one of the 24 Cabinet State Agencies have already directed some effort towards the Enterprise Lean Program. Their early success is demonstrated in the image below:



The Minnesota State Government's continuous process improvement results for 2008 can be found at: http://www.lean.state.mn.us/2008_results.htm

Issues / Challenges Encountered:

As Tom Baumann highlighted in a telephone interview on December 22, 2009, some of the state's agencies have dived in head first to the Enterprise Lean Program whereas others are still dipping their toes in the shallow water. At first, some agencies said that the program sounded good but that they were too busy to participate or that with budgets being slashed and employees being cut due to the depressed economy that they just didn't have the resources to undertake an improvement process. The team overseeing the Enterprise Lean program tries to help them see things differently. They suggest that the program is the only way that departments are going to be able to deal with growing public demands for process and service improvements especially when faced with declining staff and budget levels.

Not only are state agencies facing resource constraints, so to is the Enterprise Lean Program itself. In the first year of the program, there was a \$200,000 budget for hiring consultants to help train employees and to turn employees into program facilitators. In the second year, the program lost most of its contract dollars but luckily they had already managed to train 200 employees who could facilitate the Kaizen events.

Critical Success Factors:

In reading the materials on the Minnesota Enterprise Lean Program Web site and in speaking to Tom Baumann, a number of success factors became apparent.

The first success factor was strong leadership combined with a good sense of timing. Commissioner Dana Badgerow came into government from the private sector and brought her knowledge of the Lean principles with her. She also recognized the impact of demographics on the state's workforce (one in every two state employees is eligible for retirement by 2015) and also recognized the extent to which budget cuts would impact agencies' ability to operate. The Lean program was seen as a way to handle these pressures.

Secondly, there was a clear recognition of the important role state employees should play in any change process. By directly involving the employees who do the work and who care about their clients in the Lean program teams, the state has been successful in ensuring agencies follow through on their improvement plans and ensuring also that there is strong commitment to sustain any improvements introduced. The program has grown organically and did not have to rely on a push from senior leaders. The program started by going to groups where there was interest in improvement and a willingness to change.

Minnesota's Enterprise Lean program was also approached by General Mills which is headquartered in Minneapolis/St. Paul and which had been using the Lean principles for a number of years. General Mills was intrigued to learn that the Lean principles were being introduced in a government environment. The General Mills' CEO met with the

Governor and this was followed up by an Executive Symposium where 80 senior leaders from across the state government came together with private sector colleagues to discuss the program. This symposium helped to generate further interest in the program and encouraged State Commissioners and Deputy Commissioners to become more directly engaged.

Additionally, Minnesota's Enterprise Lean Program has built solid communications tools and strategies to support the program's roll-out. Their Web site is clear and instructive. It provides key documents and resources as well as up-to-date reporting of where individual agencies have been successful in achieving their desired results. For example by going through the Enterprise Lean Program, the Department of Corrections managed to reduce the number of days it took to fill staff positions from 87 days to 58 days. Also the Department of Health now processes requests for birth certificates in just 7.5 hours compared to the nearly six days it used to take. These are just two of the more than 200 improvement ideas that have been implemented. There is also an Enterprise Lean Program e-newsletter which publicly acknowledges milestone achievements, outlines training opportunities and reports on key events and initiatives related to the program.

The program also has a valuable steering team in place that meets regularly and that is charged with implementing the program by:

- Introducing and expanding continuous improvement methodologies into all of Minnesota's cabinet-level state agencies by the end of the calendar year 2010;
- Creating a network of process improvement 'experts' and practitioners across all agencies to sustain the effort over time; and
- Supporting managers and program leaders to fully utilize the tools and techniques of Enterprise Lean methodologies.

Finally, where appropriate, the program encourages the participation of actual clients and end-users in the improvement process and the Kaizen events.

Next Steps:

Minnesota's Enterprise Lean Program is still in its early days. Hopefully, it will survive any changes in political leadership. Programs such as this one are intended to go on for decades – it is a journey and it requires long-term effort.

Contact Information:

Tom Baumann
Continuous Improvement Program Leader
State of Minnesota
651-201-2560
tom.baumann@state.mn.us

Case Study # 28 – Missouri State Government

Title of Innovation: *State of Missouri Budget Request Performance Measurement*

Category of Innovation: Performance Measurement

Background on the Innovation / Rationale for the Innovation:

The State of Missouri is committed to being a well-performing government and delivering the best service possible to its citizens. This commitment is reflected at all levels of the state's organization. On his Web site, current Governor Jay Nixon indicates that the government will "...conduct a top-to-bottom performance review of every department, program and agency to find ways to make government smaller, more efficient and more responsive to the needs of Missouri families."

For state managers, there is a mandatory management training program in place that ensures that each manager completes a minimum of 40 hours of training in his/her first year and 16 hours of Competency Based Training on an annual basis. The training covers 24 key competencies including Customer Service as specified below:

Customer Service: The ability to remain focused on understanding, anticipating and responding to the internal and external needs of customers. Components of this competency can include the ability to see customer satisfaction as the number one priority and to maintain sensitivity to the requirements of customers through personal involvement and a continuous drive for feedback

For all state employees, as part of the State of Missouri's Personnel Law (36.031.4), there is a specific reference to encouraging state employees to improve the quality and efficiency of state services:

"To encourage all state employees to improve the quality of state services, the efficiency of state operations, and reduce the cost of state programs, the director of the division of personnel shall establish employee recognition programs, including a statewide employee suggestion system. The director shall determine reasonable rules and shall provide reasonable standards for determining the monetary awards, not to exceed five thousand dollars, under the employee suggestion system. Awards shall be made from funds appropriated for this purpose."

In addition to awards for service improvements and customer service training, the State of Missouri is also somewhat unique in that it includes customer related indicators in its performance measures that are tied to its departmental budget and planning processes.

As highlighted in Governing.com's *Measuring Performance -- State Management Report Card for 2008* written by Katherine Barrett and Richard Greene:

Missouri's work in results-based governance and the use of information has been solid for some time, and over the past few years, the state has reinforced its status as a leader by improving its strategic-planning and performance-measurement efforts. Agencies are asked to incorporate the governor's priorities into their strategic plans and report on progress once each quarter. The state has revised its budget-request forms for agencies to require three different levels of measures: broad outcomes, outputs and a middle measure capturing program effectiveness, efficiency and customer satisfaction.

The Innovation:

Missouri's innovation is seen in the performance measures that it asks agencies to report on each year as part of its budget-request forms. Here is an excerpt from the budget-request instructions for FY 2011:

Measures are broken out into four categories: effectiveness, efficiency, clients served, and customer satisfaction.

- a. **Effectiveness** – Departments should include at least one measure of effectiveness for each new decision item. An effectiveness measure is a measure of the program's success or impact. Effectiveness measures demonstrate what a department hopes to achieve if a particular decision item is funded. Some examples of different types of effectiveness measures include: return on investment, reduction in risk factors, change in behaviour, compliance with standards and regulations, proportion of clients or customers showing improved well-being, and success in a targeted population.*
- b. **Efficiency** – Departments should include at least one measure of efficiency for each new decision item. An efficiency measure is a measure of the ratio of outputs to inputs. Efficiency measures target how departments can produce a good or deliver a service with the least amount of expense and time and with the least number of errors. Common efficiency measures include cost per unit measure (how much did it cost to product the product or deliver the service?), cycle times (how long did it take to produce the product of deliver the service?), and accuracy rate (how many units of the product or service were produced without error; with no rework required?).*
- c. **Number of Clients/Individuals Served** – Departments should include a measure of the number of clients or individuals served, if applicable.*
- d. **Customer Satisfaction** – Departments should include a measure of customer satisfaction, if available.*

As seen in the table above, Missouri uses a combination of three objective measures and one output measure (number of clients served).

For core programs, departments are asked to supply three years of historical data, current data and two years of projected data for each measure. Obviously, for new programs or services, the measures are all forward-looking.

What the departments choose to include in the customer satisfaction measure is not mandated, that is, the measure does not necessarily have to be based on client surveys or any other direct feedback mechanisms. It is acceptable for a department to put a “Not Applicable” for this measure if it does not have significant customer interactions. For departments such as Revenue or State Parks, with high customer transactions, this measure is considered more important.

Issues / Challenges Encountered:

Government business is complex and intricate. Often public servants feel that they must improve everything at once. Missouri has recognized this conundrum and feels it is important to focus its improvements on significant programs and services. It appears that they have quickly come to understand the colorful phrase, “You can’t boil the ocean.”

Critical Success Factors:

A review of State materials and discussion with some State employees indicates that Missouri is not in the business of budget planning and measurement just to make cuts and savings. If they did this, there would be concern that departments would only report what they thought was necessary to get the money and not what was necessarily required to make effective changes and to evolve and improve government services. Missouri clearly puts more emphasis on the value that budget planning and measurement can bring in order to make improvements in citizen services.

Next Steps:

Not applicable.

Contact Information:

Marianne Mills
Budget and Planning
Office of Administration
573-751-9302
Marianne.mills@oa.mo.gov

Case Study #29 - Portugal

Title of the Innovation: *Performance Measurement in Portugal's Simplex Programs*

Category of Innovation: Performance Measurement

The Innovation:

Simplex is part of a general administrative simplification strategy of the Government of Portugal aimed at constantly assessing and correcting administrative rules, standards and practices. Simplex measures are monitored and evaluated through various approaches and evaluation criteria, including individual assessments of results, users' assessments, and independent external evaluations and qualitative targets based on an adaptation of the Standard Cost Model (SCM) methodology, among others.

(1) Individual assessments of results for citizens and businesses. These assessments reflect users' take up as well as the benefits and estimated savings of a selected set of measures. For example, thanks to the "On the Spot Firm" initiative (*Empresa na Hora*, a Simplex program aimed at alleviating the bureaucratic burden of setting up an enterprise). It is now possible to incorporate a company without any form at a single counter in less than one hour (the average time in July 2009 was 36 minutes). Prior to this initiative, it took about 1 month, 20 forms and going back and forth from one service counter to another to set up a business. In the scope of this evaluation, more than 76,000 businesses have been incorporated "on the spot", with estimated savings of 13M€(as of September 2009).

(2) Users' assessments that reflect citizens' and businesses' level of satisfaction with services provided. A pilot study was launched in 2006 in partnership with the Institute of Statistics and Information Management from the University of Lisbon, and based on the methodology of the National Customer Satisfaction Index (ACSI), aimed at creating an independent satisfaction evaluation system of public service users. The study allowed identification of the factors that are related to users' satisfaction and the importance of each of them.

After the study revealed that "complaints" was the most negative area experienced by users of public services, a new system was launched to modernise the procedures for receiving complaints and suggestions related to public services, replacing the current "Public Administration Claiming Book, and admitting complaints and suggestions on-line. The system will allow users to follow up their processes, and will allow administrators to monitor all complaints and their answers more easily.

With this same methodology, a study was recently launched in 2009 on the "*Evaluation of the Perception of Quality of the New Register and Industrial Property Services of the Ministry of Justice*", which assesses six new services provided at a single counter and seven new services provided on-line.

(3) Independent external evaluations. In support of the commitment at the European Union–level to reduce 25% of administrative burdens (AB) on businesses, the Portuguese Administration has introduced qualitative targets based on an adaptation of the Standard Cost Model (SCM) methodology. This process was launched in 2008, after a pilot phase that took place in 2007 to test the methodology. The office of the Secretary of State for Administrative Modernization coordinated the pilot measurements, and the Agency for Administrative Modernization followed up with further assessments, in collaboration with the national SCM network which includes representatives from eight ministries.

The pilot measurements showed that SCM did not deal efficiently with programs such as de-materialisation and the use of ICT. The SCM methodology was adapted to focus the process (life event) as the object of analysis for the identification of information obligations rather than the legal diplomas and measures. Two new administrative activities were also adapted to capture the full effects of ICT and e-government initiatives (e.g. time spent going to public services and waiting times).

The aim of this project is to include full compliance costs and to cover burdens for citizens. If implemented, the program will have a larger scope than the “traditional” SCM.

The measurement of AB before and after the implementation of each simplification measure, through inquiries and interviews with different companies, has allowed evaluation of the reduction of burdens in relation to the reduction of former unnecessary formalities and obligations.

(4) Other methodologies are occasional used to evaluate the performance of services, including mystery clients and focus groups.

Contact information:

Sofia Carvalho
Gabinete da Secretária de Estado da Modernização Administrativa
Presidência do Conselho de Ministros
Rua Prof. Gomes Teixeira, 5º andar
1350-265 Lisboa, Portugal
sofiac@mp.gov.pt

Case Study #30 - Australia

Title of Innovation: *Delivering Australian Government Services: Access and Distribution Strategy*

Category of Innovation: Service Policies, Strategies and Guidelines, and Channel Integration

Background on the Innovation / Rationale for the Innovation:

Note: The information for this case study is drawn directly from the Australian Government Web site.

The *Access and Distribution Strategy* describes the federal government's whole-of-government service delivery vision and provides the conceptual and practical tools to enable integrated multi-channel service delivery. While the strategy promotes whole-of-government transformation, it also advocates that agencies assess and improve their current capability to deliver services. The enablers promoted by the strategy have been developed to facilitate a move from 'agency-centricity' to 'customer-centricity'.

The strategy is supported by resources and tools that describe in more detail the processes for putting the strategy into practice. The strategy is enforced by a set of whole-of-government service principles (see the figure shown as Figure 4 below) and various frameworks.

Introduction

Australian citizens expect government information and services to be delivered seamlessly and through multiple channels. Citizens are not concerned about which agencies or levels of government deliver the services they require; they increasingly expect coordinated responses that they can access in any way they choose.

There are three stages of evolution towards networked or integrated service delivery:

Stage 1 – represents silo-based approaches where customers, information, access, distribution and governance models are owned and controlled by a single agency. Service improvements or collaborations generally arise opportunistically through agency initiatives.

Stage 2 – is evidenced by ad hoc collaboration between agencies and some sharing of infrastructure. Although information and capability is still agency-based, variable governance arrangements and inconsistent customer experience exist.

Stage 3 – reflects a service delivery network and a whole of government service delivery environment based on the premise of 'standardise' not 'centralise'. Culture change, involving innovative planning and a collaborative approach to the stewardship of

information, infrastructure and business processes, leads to seamless multichannel, multi-agency customer-centric (networked) service delivery.

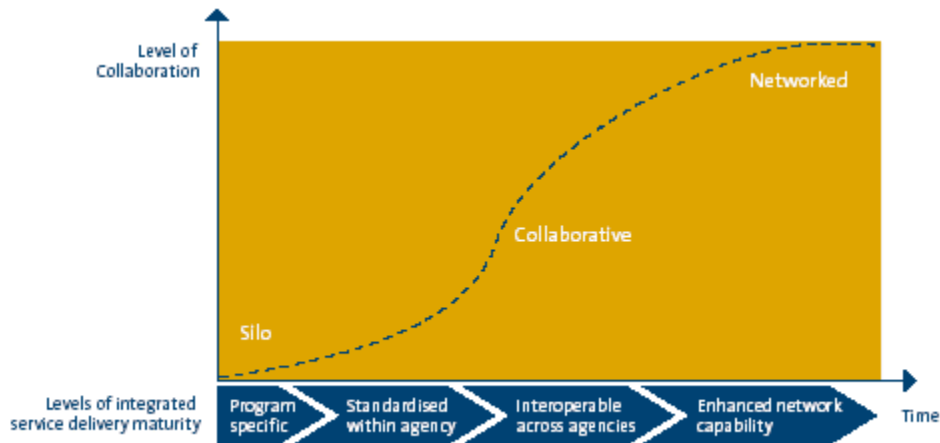


Figure 1: The three stages of service delivery for the Australian Government

Agencies are currently at differing levels of service delivery evolution.

The Innovation:

The Access and Distribution Strategy provides Australian Government agencies with a road map to working together to improve service delivery. In recognition that agencies face unique service delivery challenges, the Strategy provides strategic direction and conceptual frameworks to assist agencies to map against the E-Government Strategy for the Australian Government.

The Department of Finance and Administration, through the Australian Government Information Management Office, has been working closely with other agencies to develop and test tools that improve agencies' ability to work together, such as the whole-of-government Service Delivery Principles and the Australian Government Interoperability Framework.

Released with this Strategy are three supporting resources: *Managing Multiple Channels* (a guide for the strategic assessment and development of service delivery channels); *Channel Management Strategy* and the *Service Delivery Capability Model* (a guide for mapping an agency's capability to deliver multi-agency, multi-channel and citizen-centric services). Implementation of the Strategy will also be supported through the development and delivery of training programs. This is the era of government agencies working together and sharing responsibility for improving service delivery.

The Strategy provides an Australian Government Service Delivery Framework, which offers a high-level roadmap for service reform and integration initiatives. The Strategy addresses key areas of the Framework in more detail and contains references to tools and resources, developed in partnership with other agencies, to fast-track transition to the service delivery environment promoted in the Strategy. These areas are shaded in the Framework below and include:

- The **Australian Government Service Delivery Principles** – a set of standards for the design, development, deployment and evaluation of government service delivery
- **Distribution and access models** – a conceptual overview of models for planning and delivering government services utilising community and business delivery mechanisms where appropriate
- The **Service Delivery Capability Model** – a guide for mapping an agency's capability to deliver multi-agency, multi-channel and customer-centric services
- The **Australian Government Interoperability Framework** – consisting of chapters on business process, information and technical interoperability, and highlighting the standards and protocols for greater connectivity across these domains.
- **Managing Multiple Channels** – a guide for the strategic assessment and development of service delivery channels (web, shop-front, telephone etc.).

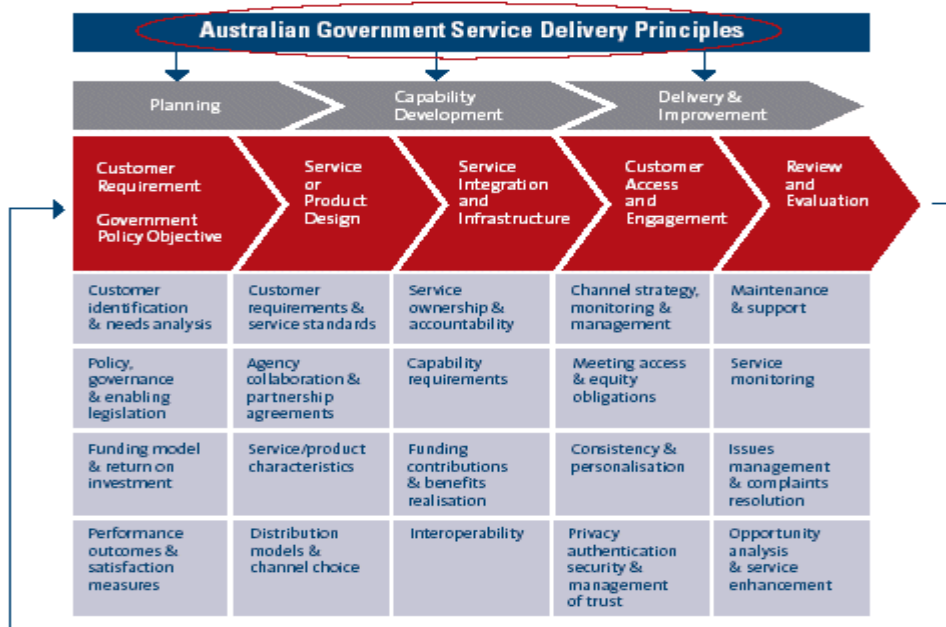


Figure 4: The principles highlighted in the Service Delivery Framework

Service Delivery Capability Model

The Capability Model provides a common framework within which policy developers and implementation planners from across agencies can identify and describe the key elements required to deliver services. The model provides a comprehensive way of

ensuring that all elements that comprise capability are considered. In addition, the Capability Model enables agencies to describe their service delivery capability in the same way. This facilitates communication and collaboration, and agency readiness to participate in multi-agency service delivery.

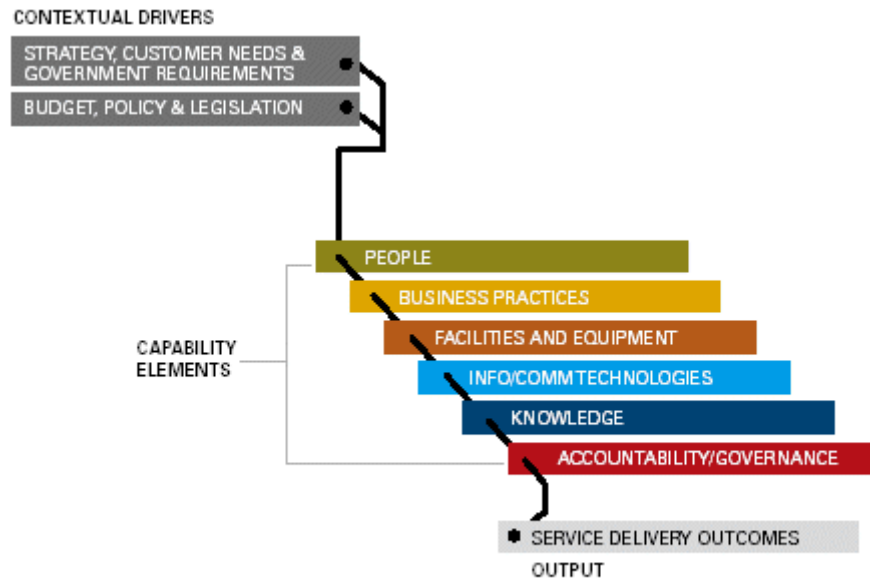


Figure 9: Australian Government Service Delivery Capability Model

Australian Government Interoperability Framework (There are also three other frameworks briefly outlined below in support of this: Business; Technical; Information)

The Australian Government Interoperability Framework addresses the information, business process and technical dimensions of interoperability. It sets out the principles, standards and methodologies that support the delivery of integrated and seamless services.

Interoperability describes the ability to work together to deliver services in a seamless, uniform and efficient manner across multiple organisations and information technology systems. Promoting interoperability between agencies is a key focus to achieving whole-of-government collaboration.

Interoperability improves government's ability to design policies and services to the needs of clients and to derive efficiencies as a result of streamlined interactions both within and across agencies.

To be interoperable, agencies need to actively engage in a process of ensuring that their systems, information and business planning activities are managed to maximise opportunities for exchange with and reuse by others.

To achieve this, agencies need to grapple with diverse issues including:

- legal and commercial agreements;
- policy and business requirements;
- process alignment;
- data discovery;
- security;
- messaging; and
- channel management.

1) Business Process Interoperability Framework

The Business Process Interoperability Framework provides agencies with a methodology to map the business processes that drive service delivery, with a view to identifying areas of commonality and opportunities for integration or collaboration with other agencies. This enables agencies to embark on new ways of delivering services, and for the business planning processes of agencies to be increasingly standardised.

2) Information Interoperability Framework

The Information Interoperability Framework provides a set of guiding principles for information management that enable agencies to understand and analyse the issues involved in information interoperability. It identifies the activities involved in improving information interoperability and approaches for tackling aspects of information management across multiple agencies, including common methodologies, definitions and structures for information, along with shared services for information retrieval and management.

3) Technical Interoperability Framework

The Technical Interoperability Framework provides the first step in establishing interoperability at the technical level, for the exchange of data and harmonisation of business transactions within a trusted environment. The framework covers common methods and shared services for the communication, storage, processing and presentation of data.

Together, the three interoperability areas encompass:

- harmonisation of common service delivery business processes
- the development of a framework to improve the ability to access, share and reuse information
- the development of technical standards to ensure that information and data can be shared

Managing Multiple Channels (There is also a guide available on this.)

A channel strategy can illustrate the best method to engage customers, the type of engagement best supported by each channel and the way channels interact with each other. A channel strategy should focus on ensuring the following:

- **Information and experience consistency** – although customers may want to continue to use a variety of channels, they expect consistency in their experiences when interacting with the government, no matter what channel they use.
- **Cross-channel insight** – customers expect each channel to be attuned to recent interactions and transactions that were initiated through alternate channels.

The benefits of a channel strategy include:

- the alignment of customer needs, services, channels and agency priorities
- improved cost efficiency of service delivery across multiple channels
- seamless, integrated and consistent delivery of services across channels
- informed and prudent future channel investments
- achievement of government policy outcomes.

What does success look like?

For customers

- Increasing number and diversity of multi-channel, multi-agency services
- Reduced complexity in navigating service pathways
- Increasing satisfaction with the service continuum

For agencies

- Increasingly sophisticated methods and tools to promote multiagency, multi-channel service delivery.
- Identified critical success factors as a result of evaluation of projects promoting innovative business models and multi-channel service delivery.
- Demonstrated return on investment from increased collaboration and reduction in end-to-end service delivery costs.
- Recognised requirements and resources to address key barriers and Legislative/policy gaps relating to multi-channel service delivery

For government

- Policy proposals designed and developed with a whole of government multi-agency, multi-channel focus
- Increased investment in interoperable, rather than agency-specific, approaches and programs.
- Recognised relevant achievements, work in progress and

- opportunities to promote innovative delivery of government services across the Australian Government
Iterative strategy development

Next Steps: Not available.

Contact Information:

<http://www.finance.gov.au/publications/delivering-australian-government-services-access-and-distribution-strategy/index.html>

Case Study #31 – Germany

Title of Innovation:

Focussed on the Future: Innovations for Administration

Category of Innovation: Service Policies, Strategies and Guidelines

Background on the Innovation / Rationale for the Innovation:

*Note: The information for this case study is drawn directly from the German publication entitled **Focused on the Future: Innovations for Administration**, and it is supplemented by other published materials including a Fact Sheet prepared in November 2009 by the European eGovernment Services (epractice.eu).*

In September 2006, the German federal government introduced a strategy entitled **Focused on the Future: Innovations for Administration**. The document, which was produced by the German Federal Ministry of the Interior, had three overarching objectives:

- Modernizing the German Federal State Administration
- Downsizing of bureaucracy
- Improving the quality and efficiency of public sector services

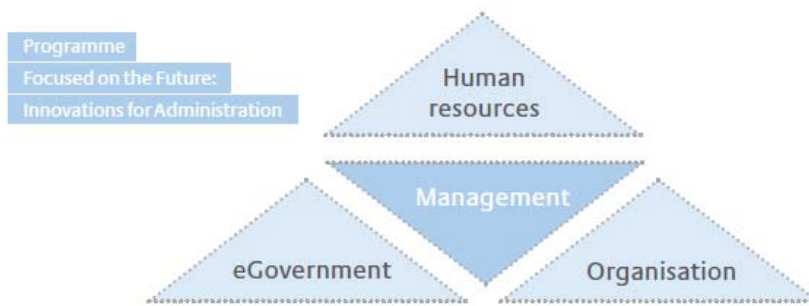
In April 2009, the German federal government approved the **Implementation Plan 2009** that sets out the strategy for further modernization of Germany's administration. This new implementation plan details the progress achieved in 2008 and the objectives for 2009 with respect to 36 specific projects belonging in the fields of human resources, management and organization.

Germany's E-Government 2.0 program is interrelated with both the plan and strategy.

The Innovation:

The following are excerpts from the **Focused on the Future: Innovations for Administration** strategy document.

What is required is a comprehensive, coordinated and cross-departmental modernization strategy for the Federal Administration, focusing on human resources, management, organization and eGovernment.



The German strategic document outlines the following proposed action measures:

Human resources:

- *Reform of public service law for federal civil servants and creation of modern collective bargaining legislation including the amendment of the fundamental principles of public service law (development of performance-based pay elements and mobility-oriented civil service career regulations).*
- *Training analytics in the Federal Administration.*
- *Advanced training for executives.*
- *Securing and passing on knowledge within organizations.*

- Management:

- *Modernizing the state accounting and budgetary system.*
- *Strengthening competencies in respect of strategic management within public authorities.*
- *Promoting agreements on goals (managing via goals).*
- *Promoting project and quality management.*
- *Optimizing technical supervision.*

Organization:

- Further grouping and standardization of internal services (for instance in the areas of procurement, human resources management, including fixing of pensions and information technology)
- Electronic transaction processing (Coordination of and assistance with the cross-departmental introduction)
- Process-oriented organization (planning and pilot projects)
- Optimization of Citizens' Services (creation of common structures for service centres that are tailored to meet specific requirements)

eGovernment:

- *Reviewing existing electronic services and Internet offerings with the aid of demand analysis*

- *Benefit-oriented expansion and qualitative optimization of the key services provided by the Federal Government*
- *Reducing access barriers as well as creating additional incentives aimed at increasing usage figures*
- *Identification and technical and organizational implementation of suitable process chains*
- *Reviewing the existing legal framework in order to determine improvement options*
- *Establishing a federal government eGovernment Competence Centre to assist public authorities and companies in identifying further improvement options and ways of implementing them*
- *From 2008 onwards, issue of an electronic identity card with online authentication functionality for eGovernment and eBusiness*
- *Development of a comprehensive e-identity concept that fosters inter-agency cooperation in the eGovernment area*

Issues / Challenges Encountered:

As with other countries, Germany has recognized that its citizens' and businesses' expectations for higher quality and faster public services have become increasingly complex and demanding. The government also notes that the country is experiencing demographic changes that will *"not only influence social and economic development, it will also have an impact on the tasks, structures and finances of public administrations."*

The Germany strategy document cites two additional challenges: dealing with a difficult federal budget situation and society's rapid development and implementation of new forms of information technology. Furthermore, the German government comments on what it sees as "signs" that changes are taking place in government and society that are *"driving the need for innovative and future-oriented administrative solutions."*

- *Public administrations must be capable of responding competently, swiftly and reliably to citizens' concerns. Under the European Services Directive, uniform points of contact, where swift access to the necessary information and the skills to process this information will need to be available, are to ensure that this occurs.*
- *More complex problems call for new types of cross-organizational cooperation between institutions from different areas. Process-oriented and networked working will increasingly determine the day-to-day work of public authorities.*
- *State tasks will be organized in seamless process chains based on the results and effects that need to be achieved and will be linked efficiently to cooperation partners, particularly in the business community.*
- *The Internet creates a location-independent communication area that provides everyone with the necessary information at all times. Information and knowledge management based on this foundation enhances the quality of decision-making.*
- *The electronic record has partly become reality. Standardisable transactions can be processed and bundled more professionally. Traditional paper records and*

Critical Success Factors:

The German government believes that to be successful it needs to re-orient its public service towards being more flexible, more innovative and more efficient.

The government also believes strongly that everyone - from the political level to the front-line agent as well as citizens and business - must be involved in identifying and implementing change. It also suggests that *“Innovation is always the result of individual commitment. Hence, every individual bears a responsibility.”* There are a number of references in its strategy document to the success of administrative modernization resting on the staff.

Next Steps:

The German Government's *Focused on the Future: Innovations for Administration* program appears to be in place until 2010 (particularly the eGovernment portion) so it is assumed that a new strategy will emerge over the coming year.

Contact Information:

Not available.

Case Study #32 - Portugal



Title of the Innovation: *Portugal's Simplex Programs*

Category of Innovation: Policies, Strategies and Guidelines/ Access / Service simplification

Sources:

- (1) *OECD Making Life Easy for Citizens and Businesses in Portugal*
- (2) Simplex website: <http://www.simplex.pt/downloads/2008ProgramSimplex.pdf>
- (3) European Union website <http://www.epractice.eu/en/document/288342>
- (4) *Answers to questionnaire*

Background on the Innovation / Rationale for Innovation:

Simplex is part of a general administrative simplification strategy of the Government of Portugal aimed at constantly assessing and correcting administrative rules, standards and practices and making sure that when new rules are imposed or increase a burden, they eliminate or reduce at least one rule somewhere else. The intent is to lead public departments and services to constantly review their interactions with individuals and enterprises, to assess the costs of each of those interactions and the burdens they impose, and to ask whether they are useful and relevant.

Simplex is the product of an effort involving the whole government. Under the Prime Minister's personal political direction, representatives from every Ministry, the Office of the Secretary of State for Administrative Modernisation and the Agency for Administrative Modernisation (AMA) are responsible for systematising the proposed measures and coordinating the Public Consultation process. In future they will also be charged with monitoring and assessing the measures included in the Program and especially their impacts.

Simplex initiatives are selected following a bottom-up approach, based on proposals by various stakeholders (including government and the private sector). To a large extent, the priority areas for burden reduction are not decided top-down, and only a strategic direction is provided by the overall stated goals of the program. This approach has worked well to date for removing some key bottlenecks rapidly.

Simplex was launched in March 2006 and is revised annually. Some of the ideas underlying the Simplex programs had already been under preparation before their first launch, but by establishing and launching the programs, the initiatives were given political priority, a common organizational and governance framework, and a common direction.

The Innovation:

The Simplex programs' main focus is on improving front-office-oriented public sector business processes with direct impact on users (citizens and businesses) and how these simplification activities can make users' interaction with public authorities less burdensome. This is done *inter alia* by providing prompt and effective responses to the needs of these groups and by enabling businesses to obtain permits and other public certificates faster, which in turn will lead to improved trust in the public administration and increase the overall competitiveness of the private sector.

Simplex goals cover a number of key areas, including:

- More trust in public departments and civil servants on the part of the Portuguese people - Bring in a new system for providing public services, which is adapted to and in tune with people's needs and the rate at which their lives are constantly changing.
- More competitive businesses - Foster transactions, investment, competitiveness and wealth creation by reducing and removing obstacles to economic development. Make it possible to obtain licenses and authorizations faster and either make it easier to fulfill other necessary formalities, or do away with them when they prove useless.
- More rationalization and efficiency in the Public Administration - Make it easier to share information and resources, by promoting networked cooperation between departments with the same mission, while also ensuring that the privacy and security of personal data are fully safeguarded. Rationalize means and resources. Simplify and dematerialize procedures within departments by doing away with duplication. Promote an efficient management of human resources to be based on the motivation and re-adaptation of civil servants to tasks for which they are better qualified and equipped.
- More public service culture - Build a modern State based on a new public service culture – simplification, more speed and flexibility, lower costs, dematerialization (eliminate paper) and process innovation.

The first wave of simplification programs (in 2006) were selected by looking at the main factors and instruments that would serve the simplification process. Using an instrumental criterion as the basis, six major groups were identified: the elimination of certificates, dematerialisation (elimination of paper; de-bureaucratisation, deregulation, making access to public services easier.

The following year aimed at turning Simplex outwards. The intended qualitative leap responded to the challenge of getting both individual people and enterprises involved in the Program. In order to achieve this goal, before the Program was approved the Agency for Administrative Modernisation (AMA) held a public consultation process. The veil of ministerial office secrecy that surrounded the future Program was lifted and revealed the simplification measures that were being worked on to the interested parties – ordinary

people and civil society organisations – by holding a public consultation process designed to enable them to take part in the formulation of the Program.

AMA also organised an independent external monitoring process. A Monitoring Panel was formed with the task of accompanying the Program's execution and systematically interacting with the whole Simplex network as it prepared the 2008 edition. The Panel members were chosen for their professional experience, competence and independence.

For Simplex'07, a functional criterion was adopted to replace the previous year's instrumental criterion. The functional criterion intended to make the following two statements a reality within the Program:

“Simplex will make a positive contribution to increasing people's trust in public institutions and political decision-makers if it makes their daily lives easier, pays attention to their life events, reduces the likelihood of disputes, strengthens the oversight of fundamental rights, and does away with useless processes and procedures.”

“Simplification measures will be good for enterprises whenever, without undermining the legal security of people and property, they make it possible to detect, reduce and remove obstacles to the pursuit of economic activities, thereby facilitating trade, investment, competitiveness and consequently the creation of wealth.”

Simplex'07 programs were organised in terms of individuals and enterprises' needs and life events, particularly studying and learning, researching and teaching, culture and knowledge, employing and working, licences, agriculture and forestry, tourism, ports and logistical platforms.

Simplex'08 responded to two key new challenges. First, to consolidate and develop existing simplification measures; second, to make simplification measures work as part of a whole and assess them. For this purpose, AMA created various framework groups for the different simplification measures, so as to make it possible to bring measures together under politically significant headings and assess them as a whole. For example: the simplification of a licensing process is not just to be assessed in its own right, but also in terms of the contribution it makes to the company formation process.

Some of Simplex'08 key initiatives include: making it possible to electronically apply for the revalidation of a driving licence or the issue of a replacement one, inform the authorities of a change of address, and pay fees; and improving user contacts with the social security system by creating a national Social Security Contact Centre based around a telephone service, but also including the e-mail, fax and Internet channels..

A key benefit of implementing Simplex has been the rationalization of resources by developing a new model for public services delivery. Ten years ago, a new public services delivery concept was introduced in Portugal, the so called “Citizen's Shops”. Based upon partnership and cooperation agreements between several public departments

and private institutions; it aimed to deliver a wide range of public and private services in one place.

This 1st generations of citizen shops inspired accuracy and modernity. But it was not more than a large shared area where Public Sector: Taxes, Social Security, Emigration, Passport, or Drivers License and Private Sector: Utilities, Mail, Bank, and Transportation, delivered their services. In the back-office there was poor integration and on the front-office, despite a new environment, there was still a lot of bureaucracy. In 2007, a new generation of [Citizen's Shops](#) (*portal do cidadão*) began to be developed. This 2nd generation is based upon a modular concept that allows the design of different shops with different sizes and scopes, thereby adjusting the network to the real needs of the population in each location. It includes new concepts and types of service, such as:

- **The Integrated Counters** that offer services organised according to daily life events with a one-stop shop approach (buying/selling a home, replacing stolen documents, etc.);
- **The Multi-services Counter** that provides a generalist and multifunctional service delivery. It is used for services with a low level of specialisation that can be provided in a single, quick interaction;
- **The Assisted Self-Service Kiosks** that provide access to on-line services with assisted support by a member of staff.

The main benefits of the development of this new public service delivery model are:

- **To rationalise - geographically and financially - the public service delivery**, ensuring proximity to people and savings in terms of setup and operating costs;
- **To try out new service delivery models underpinned by ICTs**, which enable an integrated multi-channel approach, thereby giving citizens a larger choice to interact with government and the possibility of combining them;
- **To make the new generation of Citizen's Shops the preferred face-to-face channel to interact with government**, by gathering a range of different services in one place and by adjusting its supply to the local demand;
- **To transform public services, traditionally divided into silos and supply-oriented, into integrated and user-led services**, organised in helpful packages that respond directly to the tasks citizens and businesses face in their daily lives.

The next steps, in this new model for public services delivery, are: (1) to extend the concept to all the country, a strong political compromise with almost 40 new locations approved within the former 2 years; and (2) to adapt, in small locations where demand justifies it, the offer of these 2nd generation Citizens Shops to mobile Citizen shops.

Issues/Challenges and Critical Success Factors:

Delivering better and more efficient public services involves organizing information and departments around citizens' and business' needs (life events), and promoting integration. This implies ICT foundations like **multi-channel integration** but also **government cooperation**.

The main barrier to the implementation of Simplex initiatives were, not surprisingly, the relative independence of the services ("silos"); no systems integration; lack of trust in others' service delivery; and no tradition on sharing resources. In terms of major challenges and what has been learned in the whole process, Portugal identifies the following as the most important:

- putting together simplification and e-government,
- political backing at the highest level,
- creating a strong brand, and
- identifying critical points and quick wins to gain the trust of citizens and businesses.

Important horizontal initiatives such as the [Citizen's card](#), the [One-Stop House](#), the [On-the-Spot Firm](#), or the [On-Line Company](#) in the Business Portal are good examples of strong co-operation and networking across ministries. These initiatives have helped to break silos and have led to the creation of integrated services organized according to the user's needs. Administrative modernisation is not only about knowing whether a Public Administration is more or less electronic or about whether there are more or less services available online. It is about finding out if departments deliver their services in a convenient way centred on citizens' needs,

To make this possible the Public Administration organisation should be more transversal. It should promote single contact points and integrated services, either in person or by telephone or internet; None of this would be possible without information sharing, joint project management, and a networking culture. This was one of the main SIMPLEX achievements. A critical success factor has been the continued political support at the highest level from the outset, including the Prime Minister's strong personal commitment and political guidance. The involvement of the whole government, which in turn means that within its own area, means that each and every Ministry shares a common sense of responsibility.

Contact Information:

Sofia Carvalho
Gabinete da Secretária de Estado da Modernização Administrativa
Presidência do Conselho de Ministros
Rua Prof. Gomes Teixeira, 5º andar
1350-265 Lisboa, Portugal
sofiac@mp.gov.pt

Case Study #33 - South Korea

Title of Innovation:

***Happy People – Safe Society –
Ministry of Public Administration and Security***

Category of Innovation: Policies, Strategies and Guidelines

Background on the Innovation / Rationale for the Innovation:

Note: The information for this case study is drawn directly from the South Korean Government Web site and other published sources.

Source :

<http://www.mopas.go.kr/gpms/ns/mogaha/user/nolayout/main/english/userEngMainDisplay.action>

According to a message from the Minister of Public Administration and Security, “*Since the inauguration of the new government in February 2008, the Republic of Korea has started an exciting voyage to becoming a country that stands tall in the world through advances in governance. The Ministry of Public Administration and Security (MOPAS) is at the frontline in meeting public demand, creating new growth mechanisms and transforming the government into a more capable and efficient organization.*”

The Innovation:

The Korean government’s overall strategy encompasses the following:

- ***A Government Serving the People*** – providing more convenient administrative services to the public.
- ***A Lively Market Economy*** – promoting an effective market economy to stimulate business.
- ***Active Welfare*** – realizing the goal of a welfare state through active investment.
- ***A Country Rich in Talent*** – improving the quality of public education and fostering global talent.
- ***Global Korea*** – contributing to global peace and prosperity.

One specific element of the Korean government strategy is *A Smaller and More Efficient Government*. The description of this work shows that the Korean government’s aim is to create an agile government that will serve its people and its businesses in a flexible manner. In keeping with the vision of a smaller and more efficient government, eight specific items are listed.

1. To establish a more capable government.
2. To foster trustworthy civil servants.
3. To ensure a safe and secure society.

4. To realize an advanced knowledge-based information society.
5. To grant great local autonomy to local governments.
6. To build an accountable fiscal management system for local governments.
7. To promote stabilization of people's livelihood by revitalizing local economies.
8. To enhance the government's organizational capacity.

The Korean government has specific plans to move towards its goal of "Fostering dedicated civil servants to serve citizens and businesses". To achieve this overarching goal, it intends to:

- Build an administrative system for the benefit of the people including a central-local processing system (On-nara System) that will handle public documents electronically, ensuring prompt and efficient services.
- Build an open and transparent government that actively listens. This includes a citizen suggestion program to allow citizens to participate in government policy development as well as steps to increase the transparency and accountability of the government.
- Establish a civil service system that will effectively adapt to the changing environment. The Korean government has put in place a "customized recruitment system" which identifies potential candidates to fill specific minister job openings.
- Provide a sound personnel management system based on individual performance.
- Cultivate a transparent civil service culture.
- Provide employment opportunities for the socially vulnerable.

At the centre of South Korea's steps to put in place a smaller and more efficient bureaucracy lies their e-government strategy. At the beginning of 2010, South Korea was named the number one e-government country in the world. The tagline in English for their e-government is "*Offering administrative services anytime, anywhere.*"

In the *E-government of Korea Best Practices* document, an impressive and lengthy history in the e-government field is summarized:

After laying the groundwork for e-Government, including the National Basic Information System (NBIS) computer networks in the 1980s and streamlining of applicable laws and institutions in the 1990s, the Korean government made the implementation of e-Government a major national agenda for the 2000s. It has concentrated on 11 major tasks for e-Government (2001-2002) and 31 major tasks for the e-Government roadmap (2003-2007). As a result, e-Government has become firmly established in all areas of the Korean government.

According to the Internet World Statistics, Korea's Internet penetration rate is 77.3% which is higher than the Internet penetration rate that they report for Canada (74.9%) and the United States (74.1%). Korea sites the following e-government achievements:

- Improvement of efficiency and transparency of administrative work

- Provision of people- and company-focused administrative services
- Strengthening of communications with the people about government policies
- Increased efficiency of information resource management

Korea's e-government strategy is set to span the years 2008 to 2011. At its core is a goal to increase the usage rate of e-government services through increased public awareness and public satisfaction levels. Their aim is to reach 86% user awareness of their e-government services initially and by Phase IV in 2011 they hope to have 90% awareness, 60% user take-up and 80% service satisfaction.

Among other innovations, the Korean government is also starting to offer services via television services available on the Internet. In December 2009, it was reported at futuregov.net that the Korean government was about to conduct a trial run with 600 households that subscribed to an Internet Protocol TV services so that they could receive public service content in their homes.

Finally, it is interesting to note the Administration Service Charter for the Ministry of Public Administration and Security which takes a very unique attitude towards service delivery:

All of our MOPAS employees hereby commit ourselves to provide the best services possible, to be the government employees with love and trust from our customers.

First – All civil services shall be processed in kind, prompt and fair manner with the consideration of the customer and treat our customers as our family members.

Second – To satisfy the right to know of customers, we shall provide the information promptly and guarantee the confidentiality of any civil complaints raised by customers.

Third – In the event that we caused dissatisfaction or inconvenience to our customers with not kind posture or unfair administrative process, we shall make immediate correction with genuine apology as well as the fair compensation.

Fourth – We shall be evaluated with the degree of satisfaction from our customers and make public of such a result to our customers, and respect the opinion of our customers in humble attitude and open mind.

In order to achieve such our goals, we promise herein to establish the detailed “Standard of Service” and duly practice the service.

Issues / Challenges Encountered: Not available.

Critical Success Factors: Not available.

Next Steps:

South Korea is intent on widening the reach of its e-government services to beyond the more Internet-savvy members of its population. In particular, it is striving to make its e-government services easy to use and available to the general public as well as seniors and disabled citizens. South Korea also has making a large push on the “greening” of government services through green IT.

Contact Information:

Not Available

Case Study #34 – Spain

Title of the Innovation:

General Framework for Quality Improvement in Central Government Administration

Category of Innovation: Policies, Strategies and Guidelines

Background on the Innovation / Rationale for Innovation:

Spain's National Agency for the Evaluation of Public Policies and Quality of Services (AEVAL)) is a public organization created under the *2006 Central Government Agencies Act* (Ley 28/2006). It was formally created on January 1, 2007 following the recommendation of an Expert Panel on Analysis and Evaluation, which included academics, highly regarded professionals in several disciplines and relevant public managers.

AEVAL aims at:

- Improving public services, public policies and programs;
- Promoting more rational public spending and optimal use of resources;
- Supporting the productivity and competitiveness of the Spanish economy by removing red tape; and
- Enhancing accountability to citizens and reinforcing democratic quality by promoting transparency and participation.

AEVAL abides by the principles of the public interest, impartiality, effectiveness, economy, and service to the public. Specifically, it adheres *inter alia* to the principles of independent judgment, transparency and participation, autonomy and responsibility, interdepartmental and institutional cooperation, quality and continuous improvement, professional ethics and public accountability.

The Royal Decree 951/2005 of July 29, 2005 laid out a “general framework for quality improvement”, articulating a range of programs to drive public service quality improvement in Spanish central government. AEVAL's role is to drive, shape and catalyze the workings of that general framework.

The creation of AEVAL was a key step in the process of institutionalizing evaluation in Spain. Institutions conducting evaluations existed previously, but they were generally confined to individual sectors or tied to spending policies.¹² AEVAL articulates a wider

¹² The main evaluation experiences of Spanish central government have addressed social, health, educational and technological policy, with a focus on their social impact and/on the quality of the provided services, always on a sector-specific approach. This is the case of the evaluation conducted in education by the Spanish Agency for Quality Assessment and Accreditation in Higher Education and the Spanish Institute for Evaluation and Quality of the Education System), in healthcare by the National Health System Quality

global model within a common framework from which all government divisions and levels can draw benefit.

The Innovation:

The General Framework for Quality Improvement in Central Government Administration combines six programs to drive the continuous improvement of public services in central government administration by involving key stakeholders: policymakers and senior bodies, managers, and civil society.

The Framework's six quality programs are:

1. Expectation analysis and customer satisfaction measurement program
2. Service charters program
3. Complaints and suggestions program
4. Organization quality assessment program
5. Recognition program (certificates and awards)
6. Observatory for the Quality of Public Services program

To implement these quality Programs, a range of practical guides have been produced to set out the relevant methodological and management criteria.

1. Expectation analysis and customer satisfaction measurement program

To ascertain customers' opinions and improve quality of services, central government administration bodies will conduct studies to analyze expectations and measure customer satisfaction with their services using qualitative and quantitative research techniques.

The Guide on the performance of expectation analysis and customer satisfaction surveys

Agency), in employment matters by the Public Employment Service, in public-sector science, technology, research and development by the Spanish Agency For Evaluation And Prospective Assessment, and in international cooperation for development by the Directorate General of Development Policy Planning and Evaluation. Other experiences include:

- evaluation of allocation and use of Community funds by the Ministry of Finance, pursuant to the applicable Community law;
- service quality evaluations instituted by the Ministry for Public Administration in an effort to raise satisfaction among citizens as customers of public bodies, and the role of the service inspectorates in all territorial ambits of government;
- budget, accounting and legal control and evaluation of spending and subsidies policy carried on by the directorate general of budget and the central government comptroller general at the Ministry of the Treasury;
- the audit and jurisdictional functions of the Spanish Court of Audit for external oversight of the economic and financial affairs of the public sector; and
- ex ante evaluation and impact analysis of interventions set out in briefing papers and economic memoranda written in support of government legislative proposals.

sets out the social research techniques thought to be best suited to the task.

The data produced by these studies and drawn from other sources will be used by the Observatory for the Quality of Public Services to analyze the quality of public services and provide citizens with broad-ranging information about them.

2. Service charters program

A citizen charter is a document in which a Central Government Administration body informs citizens and costumers about the services it is designed to provide, about its quality commitments and about costumers' rights.

The Guide on the development of citizen charters provides a description of citizen charters, their various kinds and their contents, explains how to draw up a citizen charter and how its implementation is monitored, and describes the procedure for certification of a citizen charter.

After a Central Government Administration body has approved its citizen charter, it publicizes it so as to make it known to costumers at all its offices open to the public, at the relevant ministry's public information and citizen service office, and over the Internet.

Certification of a citizen charter involves a process of evaluation whereby AEVAL issues a certificate stating that the charter meets the requirements of the certification protocol.

The certification process goes beyond the charter contents to address its underlying methodology and development work, compliance with quality commitments, the indicators designated in the charter, and the criteria laid down for regular review.

3. Complaints and suggestions program

Central Government Administration bodies must have mechanisms in place to receive and process consumers' complaints about services. They must undertake initiatives to improve quality of services in response to citizens' complaints and suggestions and publicly report all actions and measures taken.

The Guide on handling complaints and suggestions sets out methodologies, the minimum content of forms, code structures and process diagrams.

The Ministry for Public Administration's Directorate General of Organization and Service Inspection is the body in charge of overseeing the complaints and suggestions Program.

4. Organization quality assessment program

To improve the quality of services provided to the public, it is necessary to know how they are provided, what the best practices are, and which aspects need to be changed to

improve the performance of those units which manage and provide services The quality assessment of public services offered by the Administration has therefore become a key requisite to achieve an Administration that can rise to the challenges of changes in society and in citizens' expectations, placing citizens at the heart of decision-making.

There are several different kinds of feedback mechanism, depending on the size of an organization or the point of view of assessment, including financial control, management supervision and quality/excellence assessment. Quality/excellence assessment is based on a comprehensive diagnosis of the organization's processes and results across all stakeholder groups.

Central Government Administration bodies will submit their activities and results to assessment in accordance with the quality management models set forth in the decision of 6 February 2006 of the Secretariat General for Public Administration, introducing guidelines for the implementation of the Programs under the General framework for quality improvement laid down in Royal Decree 951/2005 of 29 July 2005, so as to obtain information on the quality level offered to the public. Assessment takes place on two levels: self-assessment and external assessment.

- For its performance, there are several recognized management models:
- The EFQM Excellence Model
- The Common Assessment Framework, CAF
- The EVAM assessment, learning and improvement model designed by the Spanish Ministry for Public Administration (MAP), and developed by AEVAL.

Central Government Administration bodies and their attached autonomous bodies and social security management entities and common services can assess their quality on the basis of whichever of the above three models they think best fits their situation and needs.

5. Recognition program (certificates and awards)

This program uses recognition of organizations' achievement to enhance quality and innovation in public management. It is divided into two sub-programs or actions:

- Recognition of Excellence
- Awards for quality and innovation in public management

6. The Observatory for the Quality of Public Services

The programs for continuous improvement of services includes the Observatory for the Quality of Public Services, whose objectives are the regular analysis of quality of public services and the creation of a space for public information and citizen involvement.

The Observatory for the Quality of Public Services reports regularly on the quality level provided by public services. It publishes an annual report on quality of public services that sets out the results of the other five Programs under the General framework for quality improvement in Central Government Administration, and of programs in support of the knowledge society and improved competitiveness. It also releases the results of

surveys of public perceptions of how well public services work, and provides an in-depth case study of a highly demanded or socially crucial service.

The Observatory for the Quality of Public Services is a platform for citizen information and engagement in the design of public services. Its role is to:

- Analyze public service quality from the standpoint of citizens and propose general initiatives for improvement;
- Conduct in-depth studies of the public services most in demand or of greatest social significance at the given time;
- Provide the public with an overview of quality of services; and
- Articulate a forum for citizen engagement.

The Observatory is intended to provide a broad-ranging view of how public services work, put together with the involvement of the various agents concerned and circulated to all stakeholders, especially citizens.

The Observatory will thus compile information generated by the implementation of the programs under the General framework for quality improvement, data on the extent of implementation, and the impact of horizontal programs under the *Plan Moderniza* (electronic government, government simplification, reduction of red tape for the creation of new companies, etc.). The Observatory also collects data relating to the knowledge society and competitiveness improvement, data from public organizations' providing the public services most highly in demand or of greatest social significance for more detailed analysis, information provided by social and economic agents and organizations and associations related to management quality and excellence, public opinion polls on public services conducted by agreement with CIS (the Spanish social research centre), and other data relevant to evaluating performance and quality in the provision of public services.

The Observatory also addresses citizens' concerns about current public service issues raised in various forums, especially in the citizen engagement space created on this website. Finally, the information obtained will be used to prepare a report on quality across all public services. The report, released annually, is intended as an information tool for decision-makers in this field, and will set out conclusions, recommendations and proposed improvements regarding public services.

The General Quality Framework and its various measures have been developed in consultation with different groups. In the case of the Spanish National Agency for the Evaluation of Public Policies and Quality of Services, for example, the initiative began during the first Government of President Rodriguez Zapatero, as it was a promise in the electoral program. Its launching benefitted from the advice of academic experts. Once launched, the Agency has developed a plan of alliances that includes other institutions of the General Administration of the State, other regional and local Governments, academia, the private sector and civil society. Perhaps one of the most interesting initiatives within the Agency's framework has been the launching of the Inter-Administrative Network of Quality in Public Services, with the participation of representatives from the General Administration of the State, the administrations of regional governments as well as of the local administrations by means of the Spanish Federation of Municipalities and Provinces

(FEMP). This network develops operative decisions of the Conference of Public Administration Sectors, summoned in its present format for the first time in June of 2006. The Inter-Administrative Network of Quality in the Services Public also developed the Letter of Commitment with Quality of the Spanish Public Administrations (2009), with the following objectives: to define a common approach to quality in public management; to promote inter-administrative cooperation in the delivery of public services; and to establish common values, objectives and strategies to embed Quality Management in the public administrations.

In addition, the Letter of Commitment with Quality of the Spanish Public Administrations aims to:

- Determine support structures or mechanisms to establish quality in the public administrations.
- Adopt organizational approaches and inter-administrative coordination to guarantee the effective execution of modernization and quality policies.
- Promote the exchange of experiences and the management of the knowledge.
- Encourage management innovation by means of infrastructure, instruments and technologies aimed at serving citizens.
- Apply the analysis and permanent evaluation of norms, programs, plans and public policies.
- Develop recognition approaches to organizations and people, including incentives related to performance evaluation.
- Render accounts to the society.
- Prepare or publish service charters.
- Integrate quality in government programs.
- Establish the appropriate mechanisms to follow up and review the letter.

From an intergovernmental perspective, the Spanish public administrations have also developed interest in the matter of quality. In particular, two State Conferences on Quality in Public Services were held in November of 2007 and November of 2009.

Key benefits: The General Quality Framework facilitates the integration of a quality culture in the management system of organizations, which could be translated into the following benefits:

- It facilitates a global, objective vision, as well as the assumption of responsibility by managers inasmuch as it proposes models that contribute to forging an integral consensus approach in the organizations and establish common criteria for the development of mechanisms that improve the administration approach for citizens, service charters, satisfaction surveys or the management of complaints and suggestions. Thus, thanks to the common models and criteria, managers perceive how the plans, programs, processes and activities under their responsibility are integrated with the rest of the organization's activities.
- The specific development of excellence models that see in the General Framework and in other tools oriented to a certain number of key people (political

level, managers and main technicians of management) as the bases for the development of common management language.

- Facilitates the research and analysis of high-priority organizational areas, with the aim of identifying the main causal relationships between decisions, processes, programs and achievements.
- As a result of the above, the General Framework provides criteria to address management aspects that until that moment lacked a global approach and that were managed in an unstructured way, independent from the rest of the organization, promoting the integral consensus in public organizations.

Other contributions of the evaluation and recognition systems proposed by the General framework include:

- The integration of environmental analyses (studies and research) with the institutional analysis (internal diagnosis). The Evaluation of Quality guide published by AEVAL is an example of the integration of both perspectives.
- The development of a strategic culture in organizations that apply them.

Issues/Challenges and Critical Success Factors:

It is much too soon to be able to affirm that these policies have been a success or a failure. Little by little they are being introduced in the administration but it is too soon to speak of success.

The main challenge has been the necessity of change in the administrative culture for both public managers and operating personnel. Problems persist regarding public employees accepting that they will be evaluated and that the evaluation results will be published. Risk aversion also persists. Finally, there is still need to adapt the knowledge of public employees who in Spain still have predominantly a legal formation and lack social sciences knowledge, which is essential to understand the present world.

Contact information:

Eloisa del Pino

Head of the Observatory for the Quality of Public Services (AEVAL)

Spanish Agency for the Evaluation of Public Policies and Quality of Services (AEVAL)

Tel: 00 34 91 273 28 28

eloisa.delpino@aeval.es

Calle Príncipe de Vergara, 108 - 3rd floor

E-28002 Spain

Case Study #35 – Wales

Title of Innovation:

Making the Connections – Building Better Customer Service

Category of Innovation: Policies, Strategies and Guidelines

Background on the Innovation / Rationale for the Innovation:

Note: The information for this case study was drawn directly from the Welsh Government Web site and was reviewed by Welsh government personnel who work in the Welsh Government's Making the Connections Division.

Source : <http://wales.gov.uk/topics/improvingservices/?lang=en>

Better public services are at the core of the Welsh Assembly Government's *One Wales* agenda to make Wales a self-confident, prosperous, healthy nation which is fair to all and based on the principles of equality, fairness, social justice, human rights and sustainability.

According to the government Web site: *The "One Wales" vision of a dynamic economy, better health, high quality lifestyles and sustainable communities in a diverse and bilingual Wales, requires further and faster improvement across public services.*

In 2004, the Welsh Assembly Government set out its policy for public service reform in a document entitled *Making the Connections: Delivering Beyond Boundaries*. The Web site notes that “[t]he Making the Connection programme guides the transformation of public services and promotes the delivery of top quality services in Wales by 2010. It supports continuous improvement in the delivery of public services to citizens and communities in Wales.” The Web site also states that the Welsh Assembly Government has “set out a compelling vision of the future of public services in Wales in our *"Making the Connections"* policies and strategies. That vision is encapsulated in four simple but profound principles:

- *Putting people first*
- *Working together to deliver improved public services*
- *Achieving better value for money*
- *Improving and engaging the workforce*

The Making the Connections document also sets out a five year action plan *to transform the way in which public services are delivered and perform*. Clear milestones will be set and monitored and annual progress will be reported. Delivering the program is considered one of the most important challenges to the Assembly Government and public services in Wales over the coming years..

How Wales got to where it is now:

Below are summaries of the key documents issued as part of the Making the Connections agenda to improve public service delivery.

- *Delivering the Connections: From Vision to Action* : Published in 2005. Five year action plan for taking forward its vision for public services - setting out the improvements needed in how public services were to be delivered.
- *Beyond Boundaries: Citizen-Centred Local Services for Wales*: Published in 2006. One of the Top Ten commitments from the action plan was to undertake a review of local service delivery.
- *Delivering Beyond Boundaries: Transforming Public Services in Wales*. Published in 2006. Response to the above review, setting out the programme for taking forward the transformation of public services in Wales. There were five key action areas in the report
 - Putting citizens first
 - Working together to deliver
 - World class workforce
 - Better value for the Welsh pound
 - Driving the change: government, resources and performance
- *Building Better Customer Service*: Published in 2007. A policy framework for driving forward improvements in customer service, complementing the wider plans for improvement set out in *Delivering Beyond Boundaries*.

The Innovation:

Over the past decade The Welsh Assembly Government has gone through a broad, reflective and structured process in order to drive forward its vision for public service reform. From establishing an action plan, undertaking a review of local service delivery, and setting out the programme for improvement in Wales to conducting a national survey of citizens' experiences of public services in Wales and establishing Local Service Boards where the leaders of local public and third sector organisations come together to take collective action to ensure public services are effective and citizen focussed.

More recently, The Welsh Assembly Government, recognizing the unprecedented challenge Public Services face over the next few years, set out seven areas for action in *Better Outcomes for Tougher Times*, published in 2009.

1. ***Lining up around outcomes for citizens and communities*** – by concentrating resources and energy on those actions which will make a difference, aligning public services round commonly agreed priorities to achieve better outcomes.
2. ***Offer public services that are more responsive to citizens*** – by using the voice and experiences of citizens to drive change.
3. ***Greater operational efficiency*** – through improved procurement and commissioning, re-engineering business processes, asset and property management and exploiting the potential of ICT.
4. ***Collaborating locally and regionally*** – by developing the role of Local Service Boards, regional consortia and Spatial Plan Groups.

5. ***Improving performance*** – by moving away from targets to focus more on outcomes.
6. ***Better information and evidence*** – by using an enhanced Living in Wales survey and other measures to tell us how services in Wales are performing and improving.
7. ***Incentivising and enabling improvement across public services*** – by establishing an Efficiency and Innovation Partnership and developing a stronger Wales Social Partnership.

Issues / Challenges Encountered:

The Welsh Assembly Governments vision for public services, first set in *Making the Connections* in 2004 set outlined the challenges to developing and delivering public services for the twenty-first century. These included:

- Rapid social and technological change mean that the public services of the twenty-first century will need to look very different from those of the last century.
- Organisations need to be working much more closely with each other to create service delivery arrangements which produce the best results for the public.
- Deliver services with people, young and old. Allowing individuals to have the opportunity to shape the services they need. It means communities involved in decisions about the structure of services in their area. This means organisations allowing citizens to actively be part of the service development process.

More recently, according to the Web site: *Public services in Wales are facing an unprecedented challenge: there is growing pressure on public finances following the global recession and an increasing demand for services and action (for example as older people grow in numbers, social needs become more complex and environmental imperatives more urgent).*

At the core of that challenge is the need to deliver improved services and better outcomes for the people of Wales with the same or less. To meet this challenge and continue to build on the significant progress made in improving Public Services in Wales, the Welsh Assembly Government has committed to taking action to:

- *Concentrate our resources and action on better and sustainable outcomes for citizens and communities, especially the most vulnerable and disadvantaged;*
- *Deliver consistently high standards of service;*
- *Transform our efficiency and productivity;*
- *Provide better, more accessible information to the public about performance;*
- *Innovate, identify and implement good practice, empowering citizens and releasing the energy of front-line staff.*

Critical Success Factors:

The Welsh Assembly Government commitment to putting people first and involving them in the design of public services is central to achieving radical change and improvement to public services. Real improvements can be delivered by engaging people in shaping and scrutinising public services:

- **Better citizen insight:** The Welsh Assembly Government's national survey of citizens' experiences of public services in Wales is a significant pillar in its overall approach to develop and support citizen centred services.
- **Better customer service:** The Building Better Customer Services - A framework for Improvement document is aimed at all public service organisations in Wales. It sets out a clear vision, a comprehensive policy framework and complementary supporting actions to improve the customer service provided by all public services.
- **Better community consultation:** Giving people a stronger voice in public services is at the heart of Making the Connections.

Note, for example, the initiative entitled Funky Dragon.



The aim of Funky Dragon is:

..... to give 0 – 25 year olds the opportunity to get their voices heard on issues that affect them. The opportunity to participate and be listened to is a fundamental right under the United Nations Convention Rights of the Child. Funky Dragon will try to represent as wide a range as possible and work with decision-makers to achieve change. Funky Dragon's main tasks are to make sure that the views of children and young people are heard, particularly by the Welsh Assembly Government, and to support participation in decision-making at national level.

Young people in Wales can connect to the Funky Dragon through the Web site (<http://www.funkydragon.org/>) and local youth forums. It has established a Grand Council which is made up of more than 100 young people from across Wales. Furthermore, they have produced a document entitled *Beyond Barriers - Identifying conditions for embedding effective public involvement*.

Other actions:

The development of good practice and innovation in public engagement through *Making the Connections* is supported in a number of other ways. For example:

- Local Service Board development activity currently includes projects on improving consultation and engagement across local public services.
- Funding under the current round of the Making the Connections Improvement Grant, some collaborative and innovative projects improving public engagement.
- Public Services Management Wales has launched, in collaboration with the North West Wales NHS Trust, and Monmouth County Council, two Citizen Pilots, intended to act as a catalyst for enabling organisations and teams to create citizen centred change.

Next Steps:

The *Better Outcomes for Tougher Times: The Next Phase of Public Service Improvement* document mentioned above concludes with an identification of five priorities for the Welsh Assembly Government the coming years:

1. Line up government and public services in Wales around common goals – building on a new understanding with local government, the opportunities of our streamlined NHS structures, the commitment to joint working energized through local service boards or other collaborations and the Wales Social Partnership;
2. Give citizens a stronger voice in shaping and delivering services through innovation in service design and customer service, empowering staff to meet citizens’ needs, better information and stronger accountability;
3. Shift resources from bureaucracy to the front line of service delivery by transforming the efficiency of government and public services, through better procurement, smarter business processes, collaborating where it will reduce costs and making better use of public assets;
4. Drive high performance by stimulating the transfer of good practice and targeting more effectively the support for public services to improve their performance, efficiency and effectiveness.
5. Building the future, more sustainable economy by using our investments to best effect.

Contact Information:

Making the Connections
Welsh Assembly Government
Cathays Park
Cardiff
CF10 3NQ

Email: improvingpublicservices@wales.gsi.gov.uk

Case Study #36 – Georgia State Government

Title of Innovation:

Faster, Friendlier, Easier Service to Georgians -Improving Customer Service in Georgia State Government

Category of Innovation: Service Policies, Strategies and Guidelines; Performance Measurement

Background of the Innovation:

The Governor's Customer Service Initiative in Georgia is a unique effort to engage all state and university employees in improving service to citizens through a three-pronged strategy to become ***faster*** (speeding up services); ***friendlier*** (developing a customer-focused culture); and ***easier*** (adopting an enterprise approach to managing call centres). This program encompasses a statewide communications strategy; uniform customer and employee job satisfaction surveying; customer service focused employee orientation, training and performance measurement; and creation of a central point of access for state services by telephone and the internet.

Upon election in 2002, Governor Sonny Perdue set the goal for Georgia to become the best managed state in the nation. He established the Commission for a New Georgia to engage a public/private partnership in achieving that goal. Among the findings was the need to elevate the level of customer service Georgians experience when dealing with state government.

Faster, Friendlier, Easier Service to Georgians – The Governor's Customer Service Initiative is a response to some common negative perceptions about government: that Government is too slow; it takes too long to get anything done; employees are not always helpful and Government is confusing; and it is difficult to figure out who to contact for service.

Because citizens tend to view all agencies collectively as “state government,” the program had to involve every state agency. The Governor’s Office of Customer Service (OCS) was established in January 2006 to guide all state agencies through a change process. Rather than doing it for them or using outside consultants, the goal is to provide tools and techniques to empower agencies to create and sustain a long-term transformation in how state government serves Georgians.

The Innovation:

The state of Georgia's Customer Service Initiative encompasses all state services and fosters a culture change throughout state government. The Initiative sets a new direction and system-wide expectations for employees of the executive branch. Agencies have never before been expected to view themselves as a single entity: “Team Georgia.” The unified approach is evident in a) a focus on the customer’s point of view; b) consistent

performance measures; c) standard messages to employees; and d) the centralized point of contact for services by phone or internet.

Implementation of these goals requires some creative strategies.

Uniting state agencies as one "Team Georgia": Team Georgia engages agencies with 110,000 employees and 1900 different services. Participation includes 50 state agencies and 35 campuses of the University System of Georgia.

Agency and employee involvement: The point of synergy for this program is the Agency Customer Service Champion, who is appointed by the agency head and is responsible for implementing customer service improvements. The expectations for service are identical, whether a program involves education and human services or law enforcement and regulatory agencies. Large agencies with regional locations and small single-function offices share the same goals, values and commitments to customers.

State-wide communications: Employees are united around the goal of having the best customer service of any state in the nation. Twice each month email messages featuring an employee or team providing exemplary customer service are sent to employees. These are supported by a Web site, www.GeorgiaCustomerService.com that provides tips, stories and print collateral.

Uniform training: “The Art of Exceptional Customer Service” instructs employees in *Helpful, Courteous, Accessible, Responsive* and *Knowledgeable* service to customers. The two-day program is offered in 41 agencies, and a computer-based course is available for employees in field locations who are unable to attend in person. More than 24,000 employees have been trained through 2009.

Customer and employee satisfaction surveys: These provide a common measure for success. Common customer expectations are measured across programs based on common values and metrics. The same is true of employee workplace satisfaction (exclusive of pay and benefits). State-wide scores and benchmarks for improvement are established in each area.

Rapid Process Improvement (RPI): Processes that directly impact citizen services are selected for RPI, which is a streamlined version of Lean management practices. Applying an industrial “rapid process improvement” allows programs with complex or lengthy processes to empower teams of employees and managers who focus on separate processes that can show significant improvement in a short amount of time – weeks, not years.

Call Centre Solutions: A team comprised of representatives from the state’s 27 call centres has worked together since January 2006 to establish common goals and objectives, review industry standards, and recommend call centre performance standards in technology, processes, and metrics for state call centres. Key Performance Indicators are reported each month.

Effectiveness and Results across Agencies:

The following results are selected from the many achievements made by state agencies and universities. In most cases, these results have been accomplished without additional revenues.

Serving more citizens faster and easier:

- Georgia drivers statewide now wait an average of 6 minutes for service at Driver Services Centres, reduced from up to 2 hours thanks to both call centre and rapid process improvement projects.
- Same-day service for preparing child support orders for court (once averaging 71 days) has been replicated in all 159 county offices.
- PeachCare for Kids/Medicaid approvals are now processed in 15 days, no longer 113 days, at the Department of Community Health (DCH).
- Financial aid applications are answered in one month, down from 3 months, at the University System's Abraham Baldwin Agricultural College. Students are able to make college choices much sooner.
- Low-income pregnant women have access to critical prenatal care two months sooner through DCH. This improves birth outcomes and reduces delivery and postnatal costs.
- Department of Behavioral Health & Developmental Disabilities now certifies community-based care providers 74% faster, moving from 515 days to 96 days.
- Motor vehicle titles are now processed in 5 days, rather than 6 weeks.
- Teleworking call centre agents for Child Support answer 36% more calls with a decrease in talk time and an increase in employee satisfaction.
- The Workers' Compensation Board provides electronic access to case files for claimants and attorneys, who no longer have to await delivery of paper files.

Performance ratings for all state services:

Report card from August 2009 surveys of citizens, businesses, local governments, internal customers and employees:

- Customers rate overall service quality at 76% (up from 74% in 2007). For comparison, Wal-Mart rates at 70%, Nordstrom at 80%.
- Employee job satisfaction is now 75%, up 10% in 2 years.
- Survey findings are being used to prioritize and drive future improvement work.

This is the first time all state agencies have been measured using the same standards, supporting data-driven decision-making. Georgia created and validated a standard instrument for rating customer satisfaction in 2007. Service satisfaction was measured across 18 different services ranging from education and law enforcement to health and human services.

In 2008, their latest ranking of the best-managed states, the Pew Center on the States and *Governing Magazine* **raised Georgia's grade** from a "B" to a "B+" based on

performance over the past two years. (The grade in 1999 was a C+.) This is the highest grade awarded to any state in the Southeast, and only three states in the nation scored higher with "A-" grades. In their report, Pew and *Governing* acknowledged Georgia's "intense focus on customer service and on managing for results."

Improving citizen access to services:

- The state's 33 call centres meet the statewide performance goals of no more than 60 seconds hold time and no more than 9% of calls not answered (abandoned). Three years ago, no call centre met these goals. In 2009, call centres consistently met these standards.
- An enterprise-wide approach to call centre technology permits management to meet industry standards around service and cost. Global partners Nortel and Oracle offer a vendor-hosted solution that ensures continuous updates of technology at no extra charge. State agencies benefit from minimal up-front investments and no increase in annual operating costs. The state's call centre contract enables "work away" programs, adjustment to seasonal call fluctuation, and disaster preparedness. Call tracking capabilities help agencies understand customer needs and assist them more effectively.

One Number to Call for State Services—1.800.georgia and 1.800.georgia.gov:

- The Governor's Office of Customer Service launched 1.800.georgia in January 2008. It is especially for Georgians who seek state services and don't know who to call. When a citizen calls 1.800.georgia, a trained agent connects the caller to the person or place responsible for the service needed. When possible, the agent stays on the line until the person who can help answers. A citizen relationship management tool reports on what citizens call about and where they call from.
- In 2009, agents answered more than 800,000 calls, an increase of 90% over the prior year. Agents helped callers seeking general information and provided "back-up" support for other agencies during periods of peak demand (e.g., states of emergency, stimulus money accountability, annual business licensing, requests for tax forms).
- Customer satisfaction with 1.800.georgia's service consistently rates 98%.
- The Contact Centre is supported by a statewide directory of services. This database is available to the public at www.1.800.georgia.gov.

Keys to Success: Partnerships and Collaboration:

Governor's leadership: Governor Sonny Perdue launched the Initiative in January 2006 with a Customer Service Summit attended by all agency heads and commissioners. Not only did he create the Governor's Office of Customer Service (OCS) within his own Office to direct customer service improvement, but he also remains personally involved and committed, leading a second Summit in 2007 and participating in the annual recognition program.

Strong partnerships among agencies: 50 state agencies and 35 University System campuses have designated Customer Service "Champions" to lead improvement efforts

within their respective organizations. More than 95% of state employees are engaged in this effort. Employees view themselves as a single entity – “Team Georgia” – sharing in improving services to all citizens. The Governor's Office of Customer Service (OCS) leads the transformation as the resource of choice for agencies, taking a team approach and working along side agency partners. Employee-led teams are trained in rapid process improvement methodologies and empowered to make decisions and lead customer service improvements. OCS monitors and assists their progress.

Guidance from university experts: Engineers from Georgia Tech adapted Lean Management principles into a "rapid process improvement" methodology, which yields fast, visible results in weeks and months, not years. Georgia Tech experts work with OCS and agencies to teach these methods to state employees. Faculty from Georgia State University created research-based and validated customer and employee survey instruments and processes.

Measuring and keeping score: The state has collected baseline data on service quality and customer/employee satisfaction. Agencies are tracking progress and using data to set priorities around future work. The state's call centres report performance each month.

Using existing resources: These results do not require significant additional expenditures of funds. Most are achieved using existing resources more effectively, particularly important in years of shrinking public budgets.

Continuity and Institutionalization:

Embedding customer service into state culture: Georgia's “Faster, Friendlier, Easier Service” will continue beyond this administration. State leaders are embedding customer service into the organizational culture to truly enhance the experience of individuals as they interact with state government.

- Georgia's Office of Planning and Budget requires customer service improvement goals and implementation plans to be part of each state agency's three-year strategic plan.
- The state's Personnel Administration has incorporated customer service commitments as a required competency for each employee. In annual performance appraisals, employees must achieve satisfactory evaluations for being *Helpful, Courteous, Accessible, Responsive* and *Knowledgeable* in order to be eligible for a salary increase.
- Georgia has standardized customer service training across agencies. A statewide training program, “The Art of Exceptional Customer Service,” has been embedded through a “train-the-trainer” approach.

Recognizing and rewarding exceptional service: The first Annual Governor's Awards for Excellence in Customer Service were awarded in 2007. In addition, quarterly commendation events recognize exceptional individuals and teams. In 2009 the statewide program received 1,100 nominations from 42 different agencies. Most agencies and university campuses also have their own internal recognition programs.

Next Steps:

The emphasis going forward is to sustain the advances made in all aspects of the citizen's interaction with state government. The goal is to continue to reinforce and embed the customer service focus within agencies so that the momentum achieved so far continues despite future changes in leadership.

Georgia state government has undergone a “quiet revolution,” consistently focusing on ways to improve its service to citizens. Because state leaders and employees have taken critical actions to knit customer service into the fabric of government—through strategic planning, employee performance appraisal, uniform training, and enterprise-wide technology—the Governor's Customer Service Initiative has been positioned as a long-term and continuous effort.

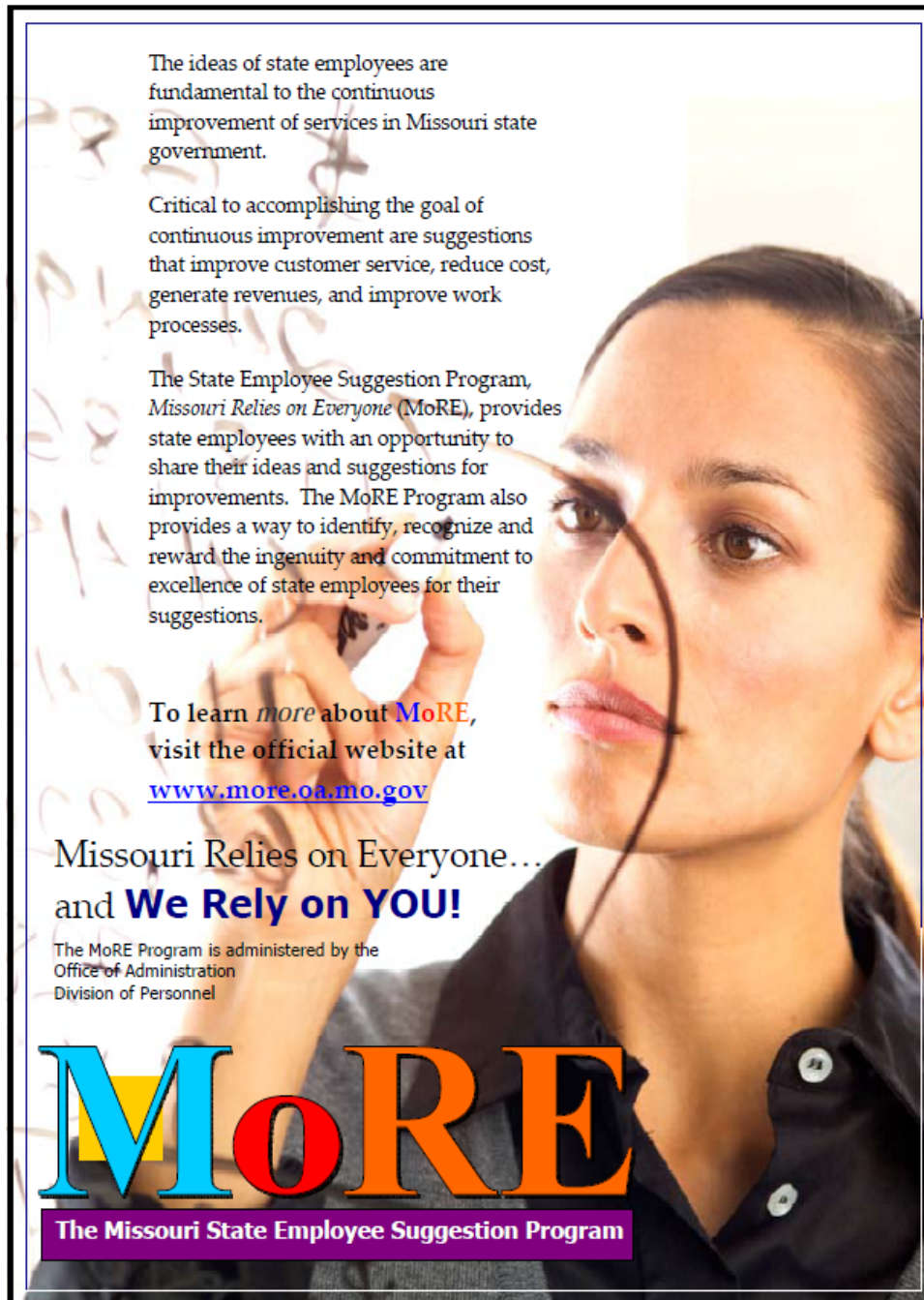
Contact:

Katie Christopherson
Director of Continuous Improvement
Governor's Office of Customer Service
200 Piedmont Avenue
Suite 1702 West Tower
Atlanta, Georgia 30334
KChristopherson@OCS.GA.GOV

Case Study #37 - Missouri State Government

Title of Innovation: *Missouri Relies on Everyone (MORE)*

Category of Innovation: Service Awards



The ideas of state employees are fundamental to the continuous improvement of services in Missouri state government.

Critical to accomplishing the goal of continuous improvement are suggestions that improve customer service, reduce cost, generate revenues, and improve work processes.

The State Employee Suggestion Program, *Missouri Relies on Everyone (MoRE)*, provides state employees with an opportunity to share their ideas and suggestions for improvements. The MoRE Program also provides a way to identify, recognize and reward the ingenuity and commitment to excellence of state employees for their suggestions.

To learn *more* about **MoRE**, visit the official website at www.more.oa.mo.gov

Missouri Relies on Everyone...
and **We Rely on YOU!**

The MoRE Program is administered by the
Office of Administration
Division of Personnel

MoRE

The Missouri State Employee Suggestion Program

Background on the Innovation / Rationale for the Innovation:

The State of Missouri is committed to being a well-performing government and delivering the best service possible to its citizens. This commitment is reflected at all levels of the state's organization.

On his Web site, current Governor Jay Nixon indicates that the government will *"...conduct a top-to-bottom performance review of every department, program and agency to find ways to make government smaller, more efficient and more responsive to the needs of Missouri families."*

For state managers, there is a mandatory management training program in place that ensures that each manager completes a minimum of 40 hours of training in their first year and 16 hours of Competency Based Training on an annual basis. The training covers 24 key competencies including Customer Service as specified below:

Customer Service: The ability to remain focused on understanding, anticipating and responding to the internal and external needs of customers. Components of this competency can include the ability to see customer satisfaction as the number one priority and to maintain sensitivity to the requirements of customers through personal involvement and a continuous drive for feedback

For all state employees, as part of the State of Missouri's Personnel Law (36.031.4) there is a specific reference to encouraging state employees to improve the quality and efficiency of state services:

"To encourage all state employees to improve the quality of state services, the efficiency of state operations, and reduce the cost of state programs, the director of the division of personnel shall establish employee recognition programs, including a statewide employee suggestion system. The director shall determine reasonable rules and shall provide reasonable standards for determining the monetary awards, not to exceed five thousand dollars, under the employee suggestion system. Awards shall be made from funds appropriated for this purpose."

The State of Missouri recognition program has four components:

- **The Governor's Award for Quality and Productivity (GAQP)** – this award is awarded to teams (minimum of two people) in five major categories including: Customer Service, Efficiency, Innovation, Process Improvement, and Technology in Government. The goal of this award is to establish clear winners that will serve as a model of efficiency, quality, and effectiveness for other Missouri state government work teams.
- **MORE (Missouri Relies on Everyone)** – is a system that provides state employees with an opportunity to share their ideas, suggestions or recommendations. The program also provides a way to identify, recognize and

- **State Employee Recognition Week** – as with our Canadian Federal Public Service Week the Missouri State Employee Recognition Week is time set aside to better inform people about the wide variety of services provided by state employees. It is also a time to show appreciation to the employees who have performed particularly well over the past year.
- **State Employee of the Month** – is a program that recognizes individual state employee contributions in the area of providing outstanding service for the citizens of Missouri.

The focus of this case study is on the state's MORE system - <http://www.more.oa.mo.gov/> .

The Innovation:

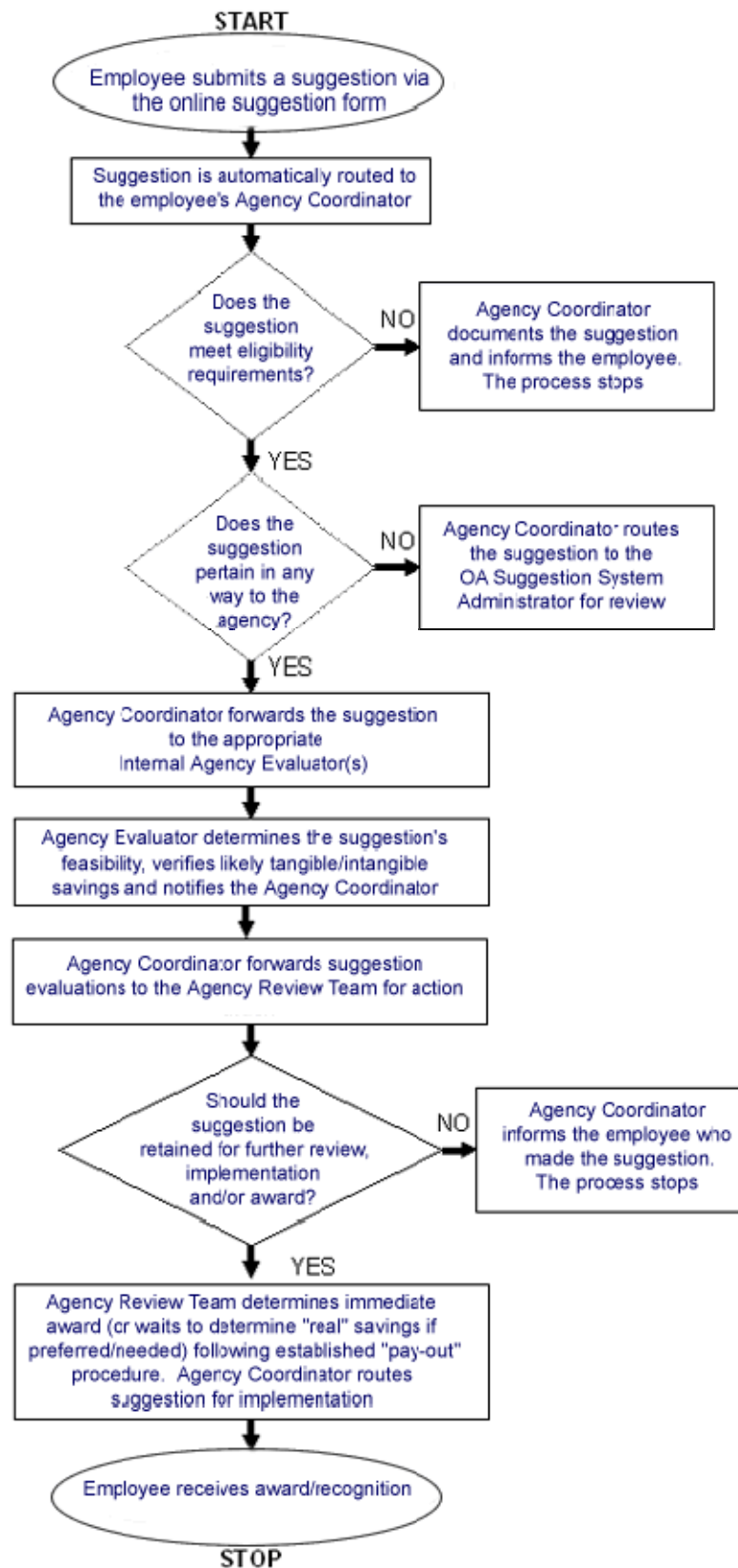
While the MORE program itself has been in place in Missouri for more than 10 years now, more recently a decentralized and on-line process for this program was established. While the state's Office of Administration oversees the program, each agency monitors and controls its own innovative employee suggestion system.

The MORE process flowchart is provided on the next page. The process starts with an employee submitting a suggestion using an online suggestion form. Eligible suggestions relate to improving customer service, reducing cost, generating revenues and/or improving work processes. The suggestions are reviewed by the employee's own MORE agency coordinator who determines if the suggestion meets the program's eligibility requirements. Once eligibility is established, the suggestion is processed by the agency's evaluator and review team. At the end of the process, the agency review team and the agency coordinator are responsible for rewarding the employee and implementing the suggestion.

Notes:

Agency Coordinators may forward suggestions that could be of interest to other state agencies to the OA Suggestion System Administrator to post on the MoRE "Suggestion Bulletin Board." State agencies can review the Board periodically to see if a suggestion could help them.

Every year, each agency may submit one nomination for "Suggestion of the Year" to be recognized during the annual State Employee Recognition Day Ceremony.



Of particular interest, the MORE Web site includes a ***Suggestion Bulletin Board*** that other State agency employees can review to see if a posted suggestion might help their organization. Additionally, the most recent ***Winning Suggestions*** are posted online and organized by agency so that the suggestions can be of benefit to all state employees. An example of a winning suggestion from the Missouri Department of Social Services is included below:

Utilizing Voice Mail System: *For offices that have auto attendant capabilities when a client calls the Family Support Division office, if they know the name of their worker they can use the company directory and it will connect their call to their worker. However, the directory does not communicate the extension number of the worker to the caller so when they call in, they have to go through the directory each time. It was suggested for each worker in these offices to record their name, followed by their extension number in the company directory. This will provide better customer service and will free up the switchboard by leaving more open lines available. (Submitted by: Kathleen Farley)*

Issues / Challenges Encountered:

One challenge is that there has been no specific appropriation for the monetary awards due to budgetary issues. As a result, when/if an employee does receive a monetary award; it's up to the employee's agency to "find" the money from another internal funding source. To ensure some money can be paid to employees when appropriate and to encourage agencies to use the system, the monetary awards are currently set lower (\$300 maximum) than the actual amount of \$5,000 that is allowed as per the policy.

Interestingly, however, lower monetary awards is not believed to be an impediment to participation as many state employees are more concerned about service improvement or process improvement and, in turn, providing improved service to the citizens of the state than they are about receiving financial compensation for their suggestion.

Additionally, there are some departments who are heavier users of the MORE program than others. While the MORE submission, eligibility and participation processes are consistent across the different state agencies, take up is not.

Critical Success Factors:

Unlike many employee recognition programs, the MORE system has a formal and documented process and there are coordinators in each agency who serve as contact points for employees about the program.

Additionally, all the necessary information so that an employee can participate in the MORE program is provided online. This includes detailed program criteria and examples of what are eligible or ineligible suggestions.

Approximately 70% of the employee suggestions are routed through agency review processes. Last year there were about 200 submissions to MORE and eleven of these were implemented.

Next Steps:

Not applicable.

Contact Information:

Allan Forbis
Division of Personnel
Office of Administration
Allan.Forbis@oa.mo.gov
573-751-1665

Innovation Note #1: Australia

– Guide to Managing Multiple Channels

Note: This information was taken directly from *Delivering Australian Government Services: Managing Multiple Channels* (Department of Finance and Administration, 2006). See <http://www.finance.gov.au/Publications/delivering-australian-government-services-managing-multiple-channels/docs/mmc.pdf>

Purpose:

The purpose of this guide is to provide Australian Government agencies with:

- insight into the strategic considerations for developing a robust channel strategy
- guidance for aligning customer needs, services outcomes and channel mix.

The need for this approach is confirmed by recent studies of the effectiveness of e-government services and customer satisfaction.

Definition of ‘channel’

In this document, ‘channel’ refers to the access mechanism used by both government and customers to interact.

Examples of channels include:

- On-site – shop-fronts, appointments etc.
- On-paper – letters, brochures, reports etc.
- On-call – call centres, hotlines etc.
- On-line – website, e-mail etc.
- On-air – radio, TV etc.
- On-the-go – personal digital assistants (PDAs), short messaging service (SMS), video messaging

Managing multiple channels:

Channel evolution

The changing service delivery landscape and rapid proliferation of communication channels requires government agencies to consider the following in their service delivery design:

- understanding the strategic significance of channel decision making (i.e. cross-functional impact and long-term implications)
- analysing channel economics in order to estimate current and future channel costs
- ensuring back-end channel processes are adequately resourced
- recognising customers needs and preferences
- implementing a robust plan to integrate new channels into existing channel operations

- implementing a robust change management plan to influence customer behaviour and assist customers to migrate from one channel to another
- constantly monitoring customer satisfaction, changes in service expectations, environmental development (i.e. policy changes), channel usage patterns and overall channel performance
- providing consistent content and a consistent message across all channels
- encouraging information flow and customer feedback through each channel
- ensuring that agencies continually forecast and assess channel development.

Developing a channel strategy

A 'channel strategy' is a set of business driven choices aimed at delivering services to customers efficiently and effectively using the most appropriate mix of channels for the customer and the agency. The channel strategy can enable agencies to manage service delivery to customers through the most appropriate channel. It can illustrate the best method for customer interaction, the most appropriate type of interaction and the method of interaction best supported by different channels. Research by Gartner Pty Ltd recommends that a channel strategy focuses on ensuring:

- Information and experience consistency – although customers may want to continue to use a variety of channels, they expect consistency in their experiences when interacting with government, no matter which channel they use.
- Cross channel insight – customers expect each channel to be attuned to recent interactions and transactions that were initiated through alternate channels.

Benefits of a channel strategy include:

- the alignment of customer needs, services, channels and agency priorities
- improved cost efficiency of service delivery across multiple channels
- seamless, integrated and consistent delivery of services across channels
- informed and prudent future channel investments.

Channel strategy

The following elements are the foundation for a channel strategy. They also detail possible considerations for the agency in relation to business objectives and priorities:

Phase One: Situation analysis

Purpose: To understand and process information an agency currently possesses regarding services, channels and customers.

Phase Two: Channel design

Purpose: To align channels with customer needs, service characteristics and agency priorities.

Phase Three: Measurement design

Purpose: To determine the measures of success.

Phase Four: Implementation

Purpose: To develop a plan for implementation of a channel strategy.

Phase Five: Refinement

Purpose: To evaluate and refine the channel strategy.

Critical Success Factors:

There are a number of critical success factors that assist with the implementation of a channel strategy:

- a structured approach to managing the strategic channel mix/portfolio
- support and leadership from executive management
- strong lines of communication between channel management groups
- a good understanding of the costs associated with channel changes
- a commitment to integrating new channels into existing channel operations
- a commitment to adapting and changing business models and channels
- a commitment to adapting internal systems to implement new channel strategies
- education of customers about the various channel options.

Innovation Note #2: Singapore

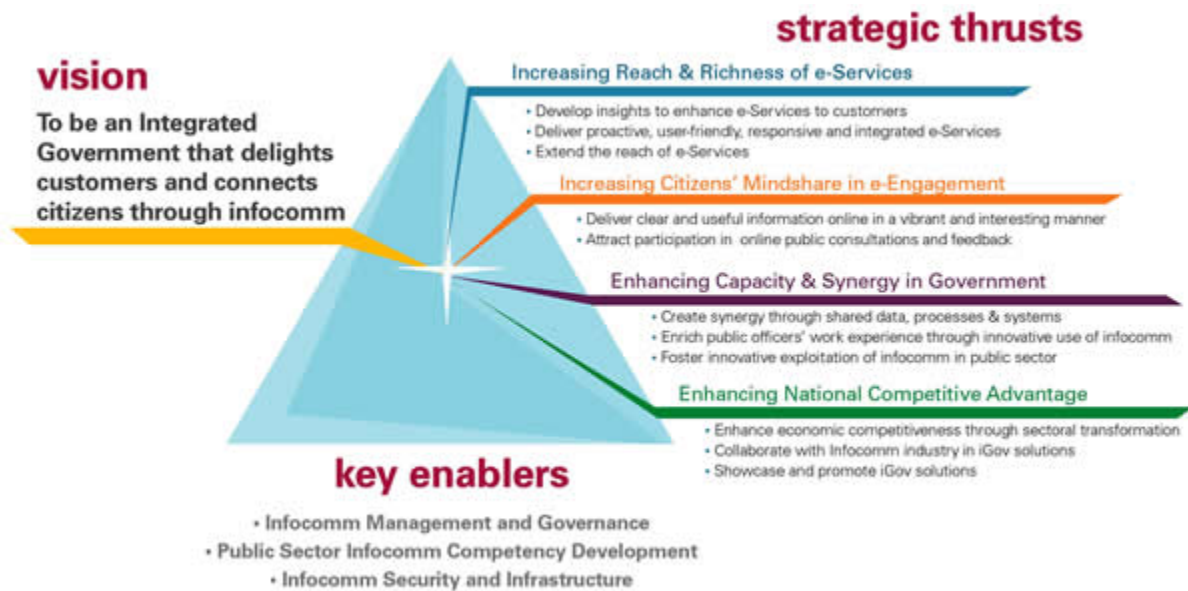
- iGov2010 – Whole of Government IT Transformation

Vision

Our vision is to be an Integrated Government (iGov) that delights customers and connects citizens through the use of infocomm technology.

In 2010, we envision a Government that intelligently addresses customers' needs and delivers quality services that delight them. We aim to engage citizens in policy formulation and provide information that is interesting, relevant and useful. Above all, we aspire to be innovative in creating new value within the public sector as well as for the economic sectors.

This work will be done through 4 strategic thrusts as outlined in the diagram below:



The iGov2010 vision is to be an Integrated Government (iGov) that delights customers and connects citizens through infocomm.

It is a Government that works as one, across organizational boundaries, to reap synergies and exploit new opportunities in all aspects, whether in providing information that engages citizens, or being intelligent and interactive in fully understanding customers' needs to deliver quality services that delight them.

By 2010, we aim to have at least:

- 8 out of 10 users who are very satisfied with the overall quality of e-services;
- 9 out of 10 users who would recommend others to transact with the Government through e-services; and
- 8 out of 10 users who are very satisfied with the level of clarity and usefulness of information published online on Government policies, programmes and initiatives.

As part of Singapore's iGov initiative a lot of partnerships have been formed with infocomm companies of few examples of these initiatives can be found below:

Biz File

<https://www.psi.gov.sg/NASApp/tmf/TMFServlet?app=RCB-BIZFILE-LOGIN-1B>

Is a groundbreaking service that allows members of the public to file all legally prescribed business and company forms online without the need for signatures. It is the first government project in the Asia Pacific to go fully electronic. Payments are also done online via a secured platform.

Before the implementation of BizFile in 2003, customers had to visit the Accounting & Corporate Regulatory Authority to submit forms for manual processing or to purchase information on registered businesses. The workflow was time-consuming and prone to human error.

Today, these processes are carried out electronically, significantly reducing the processing time for applications. For example, company incorporation now takes 15 minutes, down from the previous five working days. The time taken for business registration has also been reduced from 24 hours to 15 minutes, and databases are updated within 30 minutes instead of the previous 21 days.

These improvements in efficiency have resulted in operational cost savings which have been passed on to customers. For example, the company incorporation fee has been reduced from a range of S\$1,200 to S\$35,000 to a flat fee of S\$300, and the business registration fee has been halved from S\$100 to S\$50.

Innovation Note #3: Spain

- *The National Agency for the Evaluation of Public Policies and Quality of Services*

Spain's National Agency for the Evaluation of Public Policies and Quality of Services (AEVAL) was created on January 1, 2007 with the objectives of:

- Improving public services, public policies and Programs;
- Promoting more rational public spending and optimal use of resources;
- Supporting the productivity and competitiveness of the Spanish economy by removing red tape; and
- Enhancing accountability to citizens and reinforcing democratic quality by promoting transparency and participation.

Approaches to measuring performance

AEVAL distinguishes three levels for measuring performance and results of public policies and services: (1) the macro level (the entire central administration); (2) the “meso” level (ministries and other public organizations); and (3) the micro level (services-specific).¹³

Performance of the central administration

At the **macro level**, there is no publication or objective indicator that summarizes the overall performance of Spain's central administration. This is due to the heterogeneous nature of public policies and services. However, from the user perspective (satisfaction indicators), there are surveys that quantify the level of public satisfaction with the activity of the government as a whole. The body responsible for conducting these surveys is the Centre for Sociological Research (*Centro de Investigaciones Sociológicas*, CIS), an

¹³ AEVAL is aware of the many families of indicators for public activity, such as **diagnostic indicators** (which measure the social or economic conditions to which public policies are applied), **resource indicators** (budget, staff, facilities... sometimes broken down by the number of real or potential users), **coverage indicators** (which measure public access to services), **product and service indicators – outputs** (number of services provided by public administrations), **performance indicators** (which usually refer to the extent to which a public intervention complies with specific criteria/standards/guidelines or obtains results in accordance with established goals or programs), **results indicators – outcomes** (which refer to the effects of public policies; this group sometimes includes welfare indicators (e.g. child mortality, illiteracy...) which are products of various factors, including public activity), **equity indicators**, **user satisfaction indicators**, etc. In Spain, databases and publications on the key indicators of major policies or public services usually include all (or several) of these kinds of indicators, since their purpose is usually to give an overview of how a given policy or public service is working. See OCDE (2002): *Glossary of the main terms involved in assessment and results-based management*, available online:

<http://www.oecd.org/dataoecd/29/21/2754804.pdf>

independent agency with its own funding attached to the Ministry of the Presidency. The surveys are sometimes designed in coordination with other government agencies, which add their specific perspective to the studies.

AEVAL's Service Quality Observatory's (*Observatorio de Calidad de los Servicios*) reports on public perception of public services and satisfaction with these services and monitoring reports under the General Quality Framework programs, do measure performance at the whole-of-government level. The Observatory has agreements with CIS to periodically produce reports on public perception of public services. The Report on the Perception of Public Services (*Informe sobre Percepción de los Servicios Públicos 1985-2008*), published in late 2009, is an *inventory document* that looks at over fifty surveys on public satisfaction with major public services (welfare services such as education, health, etc., administrative services, etc.), and with modernization measures put in place by the government (electronic administration, complaints and suggestions programs, service charters, etc.), focusing both on public understanding of these programs, and on public attitudes to them and appreciation of them. This report also looks at the factors that determine satisfaction with the various public services.

The Observatory 2010 Report is based on a survey designed by the Observatory itself to obtain statistically representative information on public satisfaction with public services in Spain's 17 autonomous regions ("autonomous communities"). The sample size is over 8,000 respondents. This survey covers various public policies: Education, health, unemployment benefits, social security pensions, public safety, transportation, infrastructure and municipal facilities, including libraries and sports centres. The survey considers the following for each policy sector:

- Satisfaction with specific services that belong to each policy sector.
- Which public service (within each sector) is in greatest need of reform.
- Which aspect of the public service identified as most needing reform is the one that the public believes is in greatest need of reform.

Performance of organizations

Some aggregated indicators are published at the **meso level**. However, most of these indicators are not exactly indicators of the performance of administrative services, but rather more generic indicators of results, coverage, etc. For example, the National Statistics Plan (PEN) "includes all statistics that must be produced in the four-year period by the statistical services of the Spanish Public Service and all other agencies attached to it. Under the Plan, statistics are categorized in 25 sectors or topics, according to the issue being dealt with." The National Statistics Plan covers the 2009-2012 period. It includes the general principles, objectives and methodology of the statistical databases to be developed during the period.

Every year the PEN develops an annual program for the fiscal year, which includes the forecasts to be included in the national budget. The National Statistics Institute (INE) plays a very important role in developing this plan and in establishing common statistical criteria. INE is also responsible for carrying out large-scale statistical operations (census,

economic and social indicators, etc.). PEN is important because it contains all the surveys and databases to be developed for each ministry for each current period.

Some sector-specific measuring initiatives at the ministerial level and for specific services include:

- Each month the National Social Security Institute (INSS) publishes a document titled “Monitoring of Indicators and Objectives” (“*Seguimiento de Indicadores y Objetivos*”), which includes data on budgets and staff, information from user satisfaction surveys, performance indicators (such as the average time for processing files, etc...), indicators on pension coverage, etc. The document is available at the Social Security website. The latest available report includes data from September 2009. http://www.seg-social.es/Internet_1/Estadistica/PresupuestosyEstudi47977/InformacionContableFinancieraPruebas/seguimienindicaobjetivos/index.htm
- The Ministry of Health and Social Policy (MSPS) publishes a report titled “Key Indicators of the National Health System” (“*Indicadores Clave del Sistema Nacional de Salud*”), which contains a huge number of indicators of the health conditions of the Spanish people (life expectancy, prevalence of certain illnesses, etc.) as well as indicators on the National Health System itself (ratio of health workers and facilities per 1,000 inhabitants, waiting time for operations, etc.). The latest available report includes data for 2007. It is available at the MSPS website. <http://www.msc.es/organizacion/sns/planCalidadSNS/t01.htm>
- The National Public Employment Service (SPEE) publishes data on the efficiency of its work (placement rates), performance data on training activities (courses for unemployed workers) and general information on unemployment and labour contracts, based on administrative records. Unemployment data is available on a monthly basis. The latest available report is for November 2009 and can be found at <http://www.mtas.es/estadisticas/presenta/index.htm>
- Since 1990, the Ministry of Education has had an Education Assessment Institute (*Instituto de Evaluación de la Educación*) that runs the National Education Indicators System, which provides indicators on context, resources, school attendance rates, processes and results. The most recent available data is for 2007 and can be found at <http://www.institutodeevaluacion.mec.es/>
- The Spanish Observatory for Innovation and Knowledge (*Observatorio Español de la Innovación y el Conocimiento*), which is attached to the Ministry of Science and Innovation, prepares a wide range of indicators on R+D in Spain. Most of the published figures are

indicators of resources (spending on R+D, staffing, etc., with a broad breakdown by sector and institutional players, including private sector data). However, there are also indicators on results, such as number of publications, number of doctoral theses, etc. Indicators for 1996-2007 are available online at <http://icono.fecyt.es/>

Additional examples include the Defense Statistics Yearbook (*Anuario Estadístico de Defensa*), the Report on Spain's Environmental Profile (*Informe Perfil Ambiental de España*), the *CULTURABase* project, periodic collections of housing statistics, reports by the Rental Housing Observatory (*Observatorio de la Vivienda en Alquiler*), economic/financial reports on pensions, etc. All these sources contain context indicators, resource indicators (public budget, staff and technical measurements), welfare indicators (sometimes used to represent the effects of public policies), service production indicators (output), results indicators (outcomes), and also performance indicators of the efficiency and quality of public policies and services.

Performance of specific services

As organizations progressively include quality program policies, a performance measurement "culture" is developing in the national public administration at the **micro level** (performance of specific units that provide services). In this regard, it is very important to emphasize the role of the service charters, which include a mandatory system of indicators to determine the degree to which commitments have been met in terms of service standards, as well as an evaluation program for each organization, since the use of reference models requires a system of performance indicators for self-evaluation in each case.

However, there is still no set of common indicators for all public agencies. In their management contract, government agencies are committed to developing a set of performance indicators for their work. The Social Security services (offices and branches of the National Social Security Institute and of the Social Security Treasury) also make extensive measurements of their performance, including average case processing times, waiting times, etc. Branch offices of the Revenue Ministry do likewise, in particular the offices of the National Tax Administration Agency (AEAT). As for the rest of public services, performance indicators are developed essentially on the basis of the existence of service charters that require (as we have mentioned) the development of a system of indicators of the degree to which commitments have been met. There are also certain rules common to the public service as a whole that require individual performance indicators to determine productivity bonuses for public employees, as is the case in some national agencies such as the Higher Council for Scientific Research (CSIC). It should also be pointed out that many services and units of the three territorial levels of the public administration (central, regional and local) have begun a quality certification process based on reference models (EFQM, EVAM, CAF, etc.), as has been mentioned in previous sections of this questionnaire. Implementation of these models and of regulatory frameworks for quality standardization (e.g. based on ISO standards) means the development of a set of indicators on the performance of each service.

It should be kept in mind that, given Spain's decentralized structured, many specific services are now managed by the autonomous communities (regional administrations), for example health, education and active employment policies, which have not been included in this summary.

The development of performance measurement systems is mostly sector-specific

Indicators used in Spain to measure results and performance are sector-specific. This is in part due to the decentralized structure of the Spanish government, in which the autonomous communities have taken on the management of the main welfare policies (education, health, active employment policies, etc.).

Examples of inter-administrational coordination aimed at defining concepts, establishing indicators and gathering and exchanging information between the Ministry of Health and the seventeen regional administrations include the REBECA project (Basic Directory of Health Information Statistics and Systems of Autonomous Communities) and the Key Health Indicators System. An additional example of this type of cooperation is the Public Employment Service's information system (mentioned above), which was designed by mutual agreement with the regional employment services and which enables the real-time exchange of unemployment data among employment offices.

As previously discussed, the extent to which performance indicators have been developed varies from one policy area to another, making it difficult to describe a whole-of-government process. In any case, it is important to highlight the following bodies, which are playing a key role in this process:

- The National Statistics Institute (INE), which establishes common statistical criteria and conducts the biggest statistical operations (such as the Active Workforce Survey – EPA).
- The *statistical services* of the ministries and regional agencies, which produce statistics and sectoral indicators.
- The different *statistical institutes* and departments of the autonomous communities.
- The Agency for the Evaluation of Public Policies and, within this agency, the Service Quality Observatory.
- The different observatories and evaluation centres at the various ministries (e.g. the Educational Evaluation Institute or the Women's Health Observatory at the Ministry of Health).

There are various mechanisms that coordinate these institutions:

- The Higher Council on Statistics: a consultative body on whole-of-government statistical services and on participation by informants, producers and users of official statistics.
- The Inter-Ministerial Commission on Statistics is the body in which the statistical services responsible for this activity at the whole-of-government level participate.

- The Inter-territorial Committee on Statistics is a body with joint body with equal representation by agencies of the national administration and regional governments.

The different criteria and plans for the development and dissemination of performance measurement at the ministerial and whole-of-government levels are established through these inter-related institutions.

At the micro level, there is no unified system to measure the performance of specific services. Therefore, the quality managers at the offices in each department play the key role.

Nevertheless, in terms of subjective indicators of user satisfaction, a set of common criteria does exist. These criteria are stated as mandatory in the aforementioned Royal Decree RD 951/2005 and given as guidelines in the orientation guide used for carrying out demand analysis studies and satisfaction surveys, prepared by the Service Quality Department¹⁴ of the former Ministry of Public Administrations in 2006.

The use of service standards

Service standards are established in the service charters of the different bodies and agencies. As has been explained, the service charters are regulated by Royal Decree RD 951/2005, which establishes the Framework for Quality Improvement in National Public Administration. Article 9 of this Royal Decree, which regulates the structure and content of the service charters, makes it mandatory for service quality commitments to come with indicators that measure the degree to which they have been met. The results of these measurements must be published in an annual monitoring report that is sent to the inspection services of the various ministries.

As has been commented, the AEVAL Observatory prepares an annual monitoring report on the framework programs, which includes a section on the fulfillment of the quality commitments stated in the service charters.

For the moment, there is no generalized practice of external publishing or dissemination of the results of the indicators (fulfilled commitments and quality standards) among the various services. However, there are service charter projects that include the commitment to regularly publish these indicators for the purpose of public information.

It should be noted that in Spain a good part of public services are delivered by the autonomous communities and by local bodies. This means that these services are beyond the scope of this study, which is limited to the central administration.

¹⁴ The General Office for Quality of Services (attached to the Ministry of Public Administrations) in 2007 became the National Agency for Evaluation of Public Policies and Quality of Services (AEVAL), to which we have made reference on several occasions in this questionnaire.

Reporting performance measurement results

Law 12/1989 (May 9) on the Public Statistical Service (LFEP) encodes the principles that govern statistical activities; it also regulates data collection, data storage and the dissemination of results, establishes the conditions in which an answer is mandatory, regulates State secrets, introduces the planning of statistical production and regulates the actions of executive and consultative bodies that produce statistics.

At the macro level, as has been indicated, there is no set of summarized, objective performance indicators at the whole-of-government level. However, the results of AEVAL reports on *public satisfaction* with public services as a whole are published. These reports are published at the AEVAL website.

At the *meso* level, indicators on the performance of ministries and public agencies, as well as the indicators mentioned above (e.g. key health system indicators, national education indicators, etc.) are public and can be found at the websites of the corresponding agencies.

At the micro level, there is less external dissemination of performance indicators. As has been mentioned, some service charters in the planning stage include an obligation to publish and disseminate the results of indicators of their level of compliance with established standards. Some organizations also regularly publish the results for their different offices, as is the case of certain bodies and agencies attached to the Social Security apparatus. However, this is not a general practice throughout the Spanish national public service.

Innovation Note #4 - New Zealand

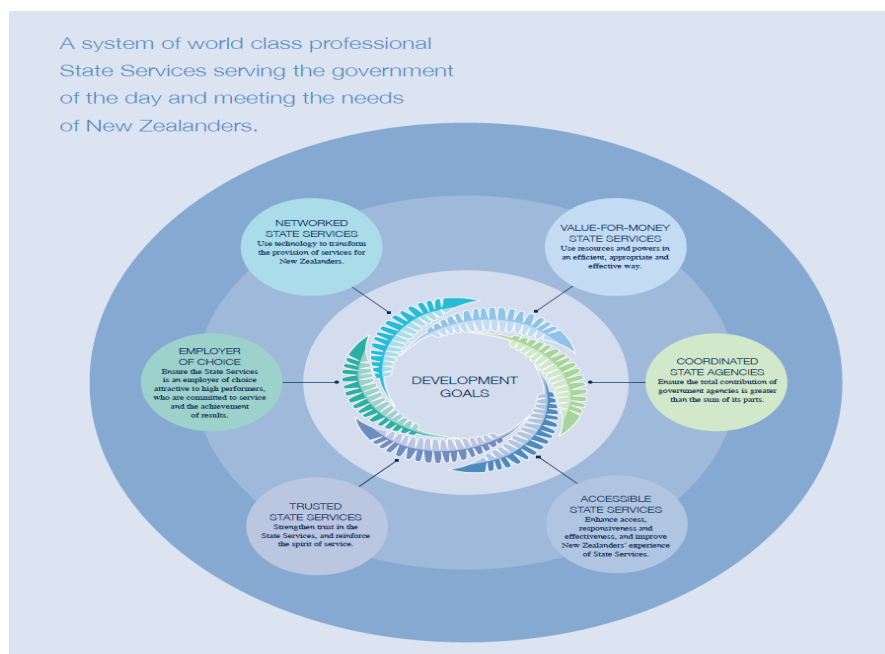
– Service Policy and Strategy

The Big Picture: the Six New Zealand State Development Goals

In **2005**, the New Zealand State Services Commission (SSC) proclaimed six over-arching goals for improved public management performance. In **2007**, these goals were modified to include one on people management (**Employer of Choice**), and five related to service delivery and trust, namely

- Networked State Services
- Value for Money State Services
- Coordinated State Services
- Accessible State Services
- Trusted State Services

The new Development Goals framework



In **2009** the SSC decided to downplay (but not abandon) the development goals and refocus its strategy on one composite overall strategic goal and **three priorities**.

GOAL: New Zealanders have a high performing, trusted and accessible State sector, delivering the right services in the right way at the right prices.

“To achieve this outcome the State Services Commission will focus on delivering the priorities the Government has identified for the wider State sector, at the same

time ensuring its core activities deliver the priorities of the Minister of State Services.

An efficient and productive State Services is a key element in the Government's plan for a faster-growing economy. The Government expects the State sector to focus on providing better and more effective front line services for New Zealanders while using taxpayers' money wisely in a time of fiscal constraint. To deliver the Government's direction, the three central agencies - the State Services Commission, the Treasury and the Department of the Prime Minister and Cabinet - must lead by example and exhibit high standards of professionalism, efficiency, and effectiveness."

The three key priorities identified by the Government in 2009 are outlined below.

1. Capping the size of the core government administration

The Government has applied a global cap, effective from 31 December 2008, to the size of the core government administration to ensure that priority is given to front line services that directly benefit New Zealanders. It wants to see people and funding move into areas that will deliver the best value for money, and the best improvements to front line services.

2. Setting new expectations for pay and employment conditions in the State sector

Given the current economic climate, it is essential that there is restraint in pay and conditions within the State sector. The State Services Commission will exercise a greater level of oversight and involvement across a range of employment related areas, based on the following principles:

- *Any changes to pay must not lead private sector movements and must take into account the total cost and value of employment conditions.*
- *State sector agencies that are required to consult with the Commission regarding changes to conditions of employment are expected to demonstrate that changes in pay and employment conditions are fiscally sustainable within baselines, responsible, and demonstrate value for money.*

3. Strengthening trust in the State Services

Through the [New Zealanders' Experience](#) research programme we have identified and understand the key drivers that have the greatest influence on New Zealanders' satisfaction with, and trust in, public services. State servants have also responded on their experience of integrity and conduct in their workplaces.

This evidence is informing the Commission's continuing role in leading, articulating and reinforcing standards and values, to maintain the appropriate

levels of integrity and conduct among employees in the State Services. A code of conduct for the State Services, [Standards of Integrity and Conduct](#), was issued by the State Services Commissioner and came into effect on 30 November 2007. “

Thus service delivery continues to be one of the three government management priorities, balanced by the need for fiscal restraint. Note that the New Zealand Experience programme is the citizen and client satisfaction measurement and improvement program adopted from Canada through the *Kiwis Count* national citizen surveys at the whole of government level, and the Common Measurements Tool at the program level.

The New Zealand E-Government Strategy

One of the original six Development Goals was **Networked Government**. Therefore, the State Services Commission has consistently had an e-government policy as part of its overall service transformation strategy. According to the CIO, the SSC's role includes:

- Strategy:** To develop and manage the delivery of an overarching [e-government strategy](#), as well as supporting [policies](#) and [standards](#);
- Leadership:** To facilitate uptake by government agencies of the [e-government vision](#);
- Coordination/ collaboration:** To identify opportunities for collaboration across government agencies; leverage existing information management and technology investment, and provide coordination for multi-agency e-government projects;
- Policy:** To provide e-government policy advice to the Minister of State Services; and
- Monitoring:** To monitor progress toward achieving the [e-government vision](#).

This work is being done in harmony with the Development Goals for the State Services, launched in 2005, to provide a way to achieve a transformed State Services.

The last State Services E-Government Strategy Document was released in 2006, and contained goals for 2010 and 2020. <http://www.e.govt.nz/about-egovt/strategy>. This document had the following objectives

- It clarified what the goal of transformation by 2010 means for service delivery and collaboration;
- It matched the measurement of success in achieving this goal to the indicators for the Development Goals for the State Services;
- It confirmed the key role of collaboration, standards and interoperability, and an enterprise architecture for government in achieving the Strategy's goals;

- It provided an updated and high-level outline of the work being undertaken across government to achieve the goals;
- It established a new goal for 2020 for how government uses technology to engage with people.

The most recent goals for the e-government strategy were as follows:

<http://www.e.govt.nz/>

By **2007**, information and communication technologies will be integral to the delivery of government information, services and processes. By **2010**, the operation of government will be transformed as government agencies and their partners use technology to provide user-centred information and services and achieve joint outcomes. By **2020**, people's engagement with the government will have been transformed, as increasing and innovative use is made of the opportunities offered by network technologies.

No update of the e-government strategy has been released since the State Services Commission revised its strategic direction in 2009.

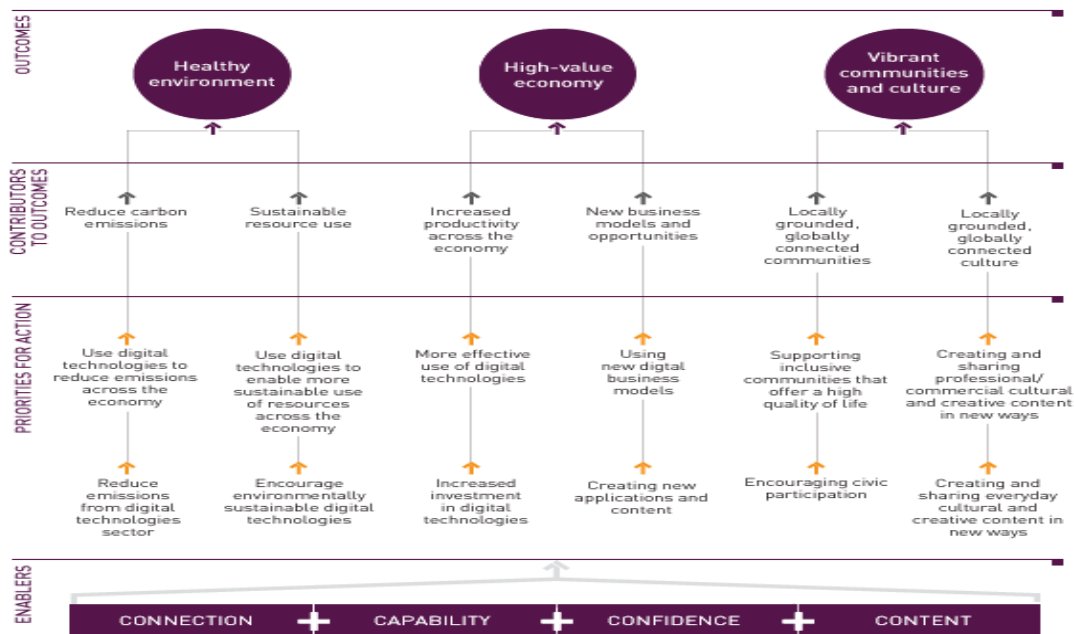
The 2008 Digital Strategy (harnessing the Internet beyond government)

<http://www.digitalstrategy.govt.nz/>

In 2005 the New Zealand released a digital strategy aimed at positioning the country to benefit from the build-out of the Internet. In 2008 the SSC released a new “Digital Strategy”. It had three main objectives:

1. A high-value economy
2. A healthy environment
3. Vibrant communities and culture.

The plan for achieving these overall objectives is captured in the following graphic.



Annex: the Original New Zealand 2005 Development Goals and Plan

NOTE: The original 2005 State Services Goals and implementation plan is appended in the annex below.

Overall Goal

A system of world class professional State Services serving the government of the day and meeting the needs of New Zealanders.



The overarching goal is supported by six Development Goals for the State Services

Development Goals	By June 2007	By June 2010
Employer of Choice Ensure the State Services is an employer of choice attractive to high achievers with a commitment to service.	A comprehensive guide to good employment practice developed with input from State Services employers and unions, in place for use across government agencies.	Measurable improvement in the proportion of talented job seekers aspiring to join the State Services.
Excellent State servants Develop a strong culture of constant learning in the pursuit of excellence.	A framework for learning and development across government agencies.	All government agencies have a strong commitment to developing skills and knowledge across all staff.
Networked State Services Use technology to transform the provision of services for New Zealanders.	Networks and Internet technologies are integral to the delivery of government information, services and processes.	The operation of government has been transformed through the use of the Internet.
Coordinated State agencies Ensure the total contribution of government agencies is greater than the sum of its parts.	Government agencies demonstrating improvement through Managing for Outcomes, including joint outcomes and other shared accountabilities cross clusters of agencies.	Measurable results are evident from the joint pursuit of joint outcomes.
Accessible State Services Enhance access, responsiveness and effectiveness, and improve New Zealanders' experience of State Services.	No wrong door – any New Zealander accessing government services will be referred appropriately to the organisation best able to address their concerns.	Right doors in the right places – government agencies work together to coordinate the availability of services across the country using co-location, joint services and management of different physical and electronic channels.
Trusted State Services Strengthen trust in the State Services, and reinforce the spirit of service.	Agencies of the State Services demonstrate their commitment to earning trust by working with the State Services Commissioner to develop and promote codes of conduct.	Measurable improvement in New Zealanders' trust in the agencies of the State Services.

APPENDIX B

INPUT FORM

INTERNATIONAL INNOVATIONS IN PUBLIC SECTOR EXTERNAL SERVICE DELIVERY



Appendix B – Input Form

International Innovations in External Public Sector Service Delivery

To support the sharing of information on leading edge practices and to inform Canada's next generation of service transformation, the Treasury Board of Canada Secretariat wishes to gather information on innovative external public service delivery. Of particular interest are external service transformations that involve new, ground-breaking service delivery models and/or service management practices.

We intend to share the results of our work with those who assist with this study. Your help in providing input on innovations that have taken place in your jurisdiction would be greatly appreciated. In addition, since it is likely that innovations are occurring in your jurisdiction that are beyond your own mandate, we would be very grateful if you would **pass along this form** to other service managers with the request that they describe innovations with which they are associated. The strength of what we are able to share from our work will depend on the quality and quantity of the input we receive. To make the sharing of information on innovations as rich as possible, this form asks about many aspects of innovations. Please provide as much of this information as possible. If you are unable to answer all of the questions, please return the form with as much of it completed as possible.

If you have any questions about this project please contact Cathy Ladds, Senior Communications Strategist, Research and Analysis, Treasury Board of Canada, Secretariat, Ottawa (phone: 613-946-3048; email: Ladds.Cathy@tbs-sct.gc.ca) or Brian Marson, Senior Advisor, Treasury Board of Canada, Secretariat, Ottawa (phone: 613-946-9882; email: Marson.Brian@tbs-sct.gc.ca).

We would appreciate your returning the completed input form by **December 10, 2009** to (**researcher's name**) by email at (**researcher's email address**). In addition, if you are willing to share any materials or reports related to your innovation, we would be very pleased to receive them at the same time as you return the input form.

Thank you for participating in this important project.

INPUT FORM: INNOVATIVE EXTERNAL PUBLIC SERVICE DELIVERY

Name of Organization:

Country:

Contact for additional information:

Name:

Position:

Phone:

Email:

Mailing address:

Name of the external service summarized here:

This service is (please check one): ☐ Voluntary ☐ Regulatory/Mandatory
☐ Other (please describe):

Brief summary of the external service and to whom it is delivered:

Brief summary of what makes this external service innovative (i.e., what makes the delivery of this service transformational or ground-breaking, how is it different from how the service was previously delivered):

The main factors that motivated this innovation were (please check all that apply):

- ☐ Desire to improve client satisfaction
- ☐ Need to achieve cost savings
- ☐ Opportunity to streamline processes in order to make the service operate more effectively
- ☐ Opportunity to leverage new technologies
- ☐ Need to deliver service with fewer staff
- ☐ Changes in client needs or requirements
- ☐ Legislative change(s)
- ☐ Desire to achieve public policy goals
- ☐ New political direction
- ☐ Reorganization
- ☐ Desire to achieve environmental goals (e.g., Green Agenda)
- ☐ Desire to become an employer of choice
- ☐ **Other** (please describe):

The best way of describing the service delivery model used in this innovation is (please check one):

- ☐ Alternative Service Delivery (ASD)
- ☐ Integrated Service Delivery (ISD)
- ☐ Single Window / One-stop Shopping
- ☐ Service Utility (Front-end service integration)
- ☐ Public-Private Partnership (P3)
- ☐ Internal Horizontal Partnership: Crossing boundaries within my Province/Territory
- ☐ External Horizontal Partnership: Crossing boundaries with other levels of government and/or the non-profit sector
- ☐ Multi-party Partnership: Simultaneously crossing internal, external, and cross sector boundaries
- ☐ **Other** (please describe):

If this external service is delivered through a partnership within your government, with another level of government or with the private/not-for-profit sector, please briefly describe the partners, how the partnership is governed and what, if any, elements of the partnership are innovative. In addition, please explain why a collaborative arrangement was used and whether cost savings were a driver to the use of this arrangement.

The service delivery channel(s) used to deliver this service include (please check all that apply):

- ☐ In-person / counter service
- ☐ Phone
- ☐ Online
- ☐ Email
- ☐ Fax
- ☐ Kiosk
- ☐ **Other** (please describe):

If applicable, how have any external service delivery channels been integrated?

Do you currently utilize any innovative strategies/tactics to migrate clients to lower cost service delivery channels? ☐ Yes ☐ No

If yes, please briefly describe what is done and how it is innovative:

Describe any elements of the management of this service that are innovative (central government policies, award or recognition programs that celebrate innovation, cooperative management arrangements, etc.). How did they improve service delivery?

Describe the measures you use to assess/track the performance of this service (e.g., results based accountability, benchmarking, assessment of client satisfaction, tracking of service standards, etc.). Please expand the table below as needed.

Description of the Performance Measure	Frequency of Measurement
1.	1.
2.	2.
3.	3.
4.	4.

Note: If you would be willing to share copies of any client satisfaction instruments, service standard documents, service charters, etc – please submit them by email with this completed input form to Ken Kernaghan at kkernaghan@brocku.ca.

Please elaborate on any innovative aspects of the above performance measures (i.e., type of measure, how the information is collected, how the information is used, etc.):

Please explain how the measures are used (i.e. how accountability is upheld).

How has this innovation improved the service experience of your external clients?

What (if any) cost savings have been achieved through this innovation?

What other benefits have you realized through this innovation?

What has been the greatest challenge in implementing this innovation?

What has been the most important factor(s) driving the success of this innovation?

If you have any plans to further develop this service in innovative ways please briefly describe what you hope to accomplish:

Any other comments that help describe this external service delivery innovation