Electronic Government Development Framework

Assessment, Research, Strategy, Implementation (UNEGOV.NET/FRAMEWORK)

Tomasz Janowski

Identity

Part of United Nations

Started

1969

Location

Headquarters – Tokyo

9 Institutes and 6 Programs – Worldwide

Mission

To contribute, through research and capacity development, to efforts to resolve the pressing global problems that are the concern of the United Nations, its Peoples and its Member States.

Roles

- An international community of scholars
- A bridge between UN and international academic community
- A think tank for the UN system
- A developer of capacity, particularly in developing countries
UNU STRUCTURE

- UNU Center, Tokyo
  - Institutes
    1) UNU-EHS - Environment and Human Security, Germany
    2) UNU-IAS - Sustainable Development, Japan
    3) UNU-IIGH - Global Health, Malaysia
    4) UNU-IIST - Software Technologies for Development, Macao
    5) UNU-ILI – Leadership Development, Jordan
    6) UNU-INRA – Natural Resources Management, Ghana
    7) UNU-INWEH - Water, Environment and Human Health, Canada
    8) UNU-MERIT - Socio-Eco. Impacts of Technologies, Netherlands
    9) UNU-WIDER – Development Economics, Finland
  - Programs
    1) UNU-BIOLAC - Biotechnology and Society, Venezuela
    2) UNU-CRIS – Governance and Regional Integration, Belgium
    3) UNU-FNP - Food and Nutrition Capacity Building, USA
    4) UNU-FTP - Fisheries research and development, Iceland
    5) UNU-GTP – Geothermal Research and Development, Iceland
    6) UNU-DPC – Water Capacity Development, Germany

UNU-IIST CENTER FOR ELECTRONIC GOVERNANCE

Identity: An International Center of Excellence on research and practice in Electronic Governance, part of United Nations University - International Institute for Software Technology, located in Macao, China.

Mission: To support governments in developing countries in strategic use of technology to transform the working of public organizations and their relationships with citizens, businesses, civil society, and with one another.

Activities: Applied and policy research, capacity building, and various forms of development – strategy development, software development, institutional development and development of communities of practice.
UNU-IIST-EGOV – MODUS OPERANDI

Research
Conduct applied and policy research in strategic use of technology for public administrations, turning research results into instruments for practitioners.

Practice
Equip government agencies with the instruments and build their capacity for engaging in the practice of Electronic Government development to address local needs.

Development
Deliver assistance to governments in developing countries towards strategic use of IT in government, transferring the outcomes of Research and Practice activities.

UNU-IIST-EGOV – SELECTED PROJECTS

<table>
<thead>
<tr>
<th>NO</th>
<th>TITLE</th>
<th>TYPE</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Strategic IT Planning for Public Organizations</td>
<td>Strategic</td>
</tr>
<tr>
<td>2</td>
<td>Alignment between e-Government and Public Sector Reform</td>
<td>Strategic</td>
</tr>
<tr>
<td>3</td>
<td>Software Infrastructure for Electronic Government</td>
<td>Technical</td>
</tr>
<tr>
<td>4</td>
<td>Semantic Interoperability for Electronic Government</td>
<td>Technical</td>
</tr>
<tr>
<td>5</td>
<td>e-Macao - Building a Foundation for e-Government in Macao</td>
<td>Program</td>
</tr>
<tr>
<td>6</td>
<td>UNeGov.net – Community of Practice for e-Government</td>
<td>Community</td>
</tr>
<tr>
<td>7</td>
<td>IEGOV – Conference on Theory and Practice of e-Governance</td>
<td>Community</td>
</tr>
<tr>
<td>8</td>
<td>South-South Collaboration on Software Technology</td>
<td>Survey</td>
</tr>
<tr>
<td>9</td>
<td>International Government Fellowships</td>
<td>Educational</td>
</tr>
<tr>
<td>10</td>
<td>Electronic Governance in Afghanistan – Assessment, Strategy, Program (EGOV.AF)</td>
<td>Development</td>
</tr>
<tr>
<td>11</td>
<td>Electronic Governance in Cameroon – Assessment, Strategy, Program (EGOV.CM)</td>
<td>Development</td>
</tr>
</tbody>
</table>
ELECTRONIC GOVERNMENT

DEFINITION
Technology-enabled transformation of government organizations and their relationships with citizens, businesses and other arms of government.

AIMS
Customer orientation
Business-like management
Quality public services
Citizens engagement and trust

ENABLERS
Processes
Reengineering administrative/business processes
Technology
ICT environment to support organizational change
Policies
Well-defined direction for technology-supported change
People
Public workforce trained in leadership, management and technical skills

RISKS
1) Over-reliance on technology
2) Inadequate public consultation
3) Insufficient collaboration in government
4) Lack of emphasis on building human capacity
5) Absence internal ownership, vision or strategy
6) Direct adoption of solutions designed for other contexts
7) Insufficient learning and research to precede implementation
8) Insufficient administrative reform to accompany e-Government, etc.

ELECTRONIC GOVERNMENT NEEDS

<table>
<thead>
<tr>
<th>Developing Countries</th>
<th>Developed Countries</th>
</tr>
</thead>
<tbody>
<tr>
<td>Policy-Strategy Gap</td>
<td>Fiscal Sanity</td>
</tr>
<tr>
<td>Strategy-Implementation Gap</td>
<td>Crisis of Competence</td>
</tr>
<tr>
<td>Enabling Inter-Agency Cooperation</td>
<td>Information Overload</td>
</tr>
<tr>
<td>Weak Implementation and Delivery</td>
<td>Governing without boundaries</td>
</tr>
<tr>
<td>EGOV in Resource-Constrained Environment</td>
<td>e-Government is only the beginning</td>
</tr>
<tr>
<td>Human Resource Development</td>
<td>Governing by contractors</td>
</tr>
<tr>
<td>Leadership and Coordination</td>
<td>Results really matter</td>
</tr>
<tr>
<td>Scaling up from national to local government</td>
<td>Green leadership</td>
</tr>
<tr>
<td>Financial constraints</td>
<td>Security and peace in a flat world</td>
</tr>
<tr>
<td>Lack of research/analysis to precede implementation</td>
<td>Expect surprises</td>
</tr>
</tbody>
</table>

[Courtesy: UNU International Government Fellows]
[Courtesy: IBM Center for Business of Government]
### FOCUS
- Policy-Strategy Gap
- Strategy-Implementation Gap
- Enabling Inter-Agency Cooperation
- Weak Implementation and Delivery
- EGOV in Resource-Constrained Environment
- Human Resource Development
- Leadership and Coordination
- Scaling up from national to local government
- Financial constraints
- Lack of research to precede implementation

### AIM
Present an Electronic Government Development Framework (UNEGOV.NET/FRAMEWORK) to systematically construct a high-quality Electronic Government program through:
1) Assessment
2) Research
3) Strategy Development
4) Program Development

and to build human, organizational and networking capacity of the local institutions to execute this program.

A generic framework, well-suited to address typical needs facing developing countries, such as those listed on the left.
UNEGOV.NET/FRAMEWORK aims to:

1) define an implementation strategy,
2) to construct a government program to realize this strategy, and
3) to build the capacity of the local institutions to implement and benefit from the program

towards the development of Electronic Government for a given Public Administration (PA),
OBJECTIVES

<table>
<thead>
<tr>
<th>OBJECTIVE</th>
<th>DESCRIPTION</th>
</tr>
</thead>
<tbody>
<tr>
<td>READINESS ASSESSMENT</td>
<td>Identify the state-of-practice and state-of-readiness for Electronic Governance in the Public Administration (PA), including existing initiatives and studies.</td>
</tr>
<tr>
<td>RESEARCH</td>
<td>Identify relevant international best practices and adapt them to the conditions in the PA, taking into account the results of READINESS ASSESSMENT.</td>
</tr>
<tr>
<td>STRATEGY DEVELOPMENT</td>
<td>Agree on the vision for the future of Electronic Governance in the PA and define a set of goals, strategies and targets to realize this vision, taking into account the results of the READINESS ASSESSMENT and RESEARCH activities.</td>
</tr>
<tr>
<td>PROGRAM DEVELOPMENT</td>
<td>Define a concrete government program through which the goals and strategies defined during STRATEGY DEVELOPMENT could be implemented.</td>
</tr>
<tr>
<td>HUMAN CAPACITY DEVELOPMENT</td>
<td>Raising the capacity of the public workforce in the PA, covering a range of leadership, management and technical skills, to be able to lead, implement and benefit from the program developed during PROGRAM DEVELOPMENT.</td>
</tr>
<tr>
<td>ORGANIZATIONAL CAPACITY DEVELOPMENT</td>
<td>Establishing a Center of Excellence on Electronic Governance in the PA, on the basis of existing institutions, and raising organizational capacity of this Center to play the role of central coordinator for Electronic Governance in the PA.</td>
</tr>
</tbody>
</table>

OVERVIEW

1 AIM

2 OBJECTIVES

3 ACTIVITIES

3.1. READINESS ASSESSMENT
3.2. RESEARCH
3.3. STRATEGY DEVELOPMENT
3.4. PROGRAM DEVELOPMENT
3.5. HUMAN CAPACITY BUILDING
3.6. ORGANIZATIONAL CAPACITY BUILDING

4 PLANNING

4.1. SCHEDULE
4.2. STAFFING
4.3. BUDGET
A1 – READINESS ASSESSMENT - OBJECTIVE

OBJECTIVE O1

Identify the state-of-practice and state-of-readiness for Electronic Government in the PA, including existing initiatives and studies.

A1 – READINESS ASSESSMENT - TASKS

TASKS

T1) Preparing assessment instruments (questionnaires, instructions, website)
T2) Preparing the process to administer the instruments and gather data
T3) Identify agencies and individuals within to be responsible for data gathering
T4) Providing training to the assessment team
T5) Conducting assessment with assessment team applying the instruments
T6) Providing help desk for the assessment team
T7) Collecting data from the assessment team
T8) Analyzing assessment data quantitatively and qualitatively
T9) Analyzing the results of existing studies
T10) Providing findings and recommendations based on the results of analysis
A1 – READINESS ASSESSMENT – DELIVERABLES

DELIVERABLES

D1) Assessment instruments localized to the PA.
D2) Rigorous description of the assessment process considering government structure.
D3) Training materials to prepare the assessment team, covering the instruments and the process.
D4) Data gathered through the assessment exercise, in the form of knowledge base.
D5) Document “Developing Electronic Governance in the PA – State of Practice” covering instruments, process, training, data, analysis of data, analysis of other reports, findings and recommendations.

A1 – READINESS ASSESSMENT – RESPONSIBILITIES

RESPONSIBILITIES

- UNU and partners responsible for developing assessment instruments, setting up the process, training the assessment team, analyzing data and surveys, and providing recommendations.
- PA is responsible for team building, gathering and collecting data, and staffing the assessment helpdesk. UNU and partners provide training and supervision to PA staff on these tasks.
### A1 – READINESS ASSESSMENT – EXAMPLE SCHEDULE

#### A1 - ASSESSMENT PLAN

<table>
<thead>
<tr>
<th>ID</th>
<th>TASKS</th>
<th>WEEKS</th>
<th>RESPONSIBLE</th>
</tr>
</thead>
<tbody>
<tr>
<td>T1</td>
<td>Assessment Instruments</td>
<td>1-6</td>
<td></td>
</tr>
<tr>
<td>T2</td>
<td>Assessment Process</td>
<td>7-8</td>
<td></td>
</tr>
<tr>
<td>T3</td>
<td>Assessment Team Building</td>
<td>9-11</td>
<td></td>
</tr>
<tr>
<td>T4</td>
<td>Assessment Team Training</td>
<td>12-14</td>
<td></td>
</tr>
<tr>
<td>T5</td>
<td>Assessment Proper</td>
<td>15-16</td>
<td></td>
</tr>
<tr>
<td>T6</td>
<td>Assessment Helpdesk</td>
<td></td>
<td></td>
</tr>
<tr>
<td>T7</td>
<td>Assessment Data Collection</td>
<td>1-5</td>
<td></td>
</tr>
<tr>
<td>T8</td>
<td>Assessment Data Analysis</td>
<td>6-8</td>
<td></td>
</tr>
<tr>
<td>T9</td>
<td>Assessment Study Analysis</td>
<td>9-11</td>
<td></td>
</tr>
<tr>
<td>T10</td>
<td>Assessment Findings</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**DELIVERABLES**

- D1
- D2
- D3
- D4
- D5

---

### A2 – RESEARCH – OBJECTIVE

**OBJECTIVE O2**

Identify relevant international best practices and adapt them to the conditions in the PA, considering the results of READINESS ASSESSMENT.
A2 – RESEARCH – TASKS

TASKS

T11) Identify best practices from the leading countries, as relevant to the PA
T12) Identify experiences from the countries in similar conditions as in the PA
T13) Adapt such best practices/experiences to suit the conditions in the PA
T14) Develop best practices specially to the PA, as required

A2 – RESEARCH – DELIVERABLES

DELIVERABLES

D6) A report "Developing Electronic Governance in the PA – State of the Art" covering the findings of the research tasks T11 through T14.
A2 – RESEARCH – RESPONSIBILITIES

RESPONSIBILITIES

- UNU and partners are responsible for best practices and adaptation.
- PA is responsible for experiences and development. UNU and partners provide training and supervision to PA staff on these tasks.

A2 – RESEARCH – EXAMPLE SCHEDULE

<table>
<thead>
<tr>
<th>ID</th>
<th>TASKS</th>
<th>WEEKS</th>
<th>RESPONSIBLE</th>
</tr>
</thead>
<tbody>
<tr>
<td>T11</td>
<td>Research – Best Practices</td>
<td></td>
<td>UNU+ PA</td>
</tr>
<tr>
<td>T12</td>
<td>Research – Experiences</td>
<td></td>
<td></td>
</tr>
<tr>
<td>T13</td>
<td>Research – Adaptation</td>
<td></td>
<td></td>
</tr>
<tr>
<td>T14</td>
<td>Research – Development</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

DELIwerables
OBJECTIVE O3

Agree on the vision for the future of Electronic Government in the PA and define a set of goals, strategies and targets to realize this vision, taking into account the results of READINESS ASSESSMENT and RESEARCH activities.

TASKS

T15) Carry out visioning workshops with various stakeholders
T16) Define a consolidated vision for Electronic Governance in the PA
T17) Define a set of goals in line with the agreed vision
T18) Present the vision and goals for public consultation and receive feedback
T19) Revise the vision/goals according to the feedback received
T20) Define a set of strategies to realize the goals
T21) Define an initial set of initiatives to implement the strategies
A3 – STRATEGY DEVELOPMENT – DELIVERABLES

DELIVERABLES

D7) Recordings and summary of visioning workshops.
D8) Consolidated and revised vision, goals and strategies for the PA.

A3 – STRATEGY DEVELOPMENT – RESPONSIBILITIES

RESPONSIBILITIES

- UNU and partners are responsible for vision, goals and strategy development.
- PA is responsible for vision consolidation, public consultation and vision/goal revision. UNU and partners provide training and supervision to the PA staff for carrying out these tasks.
Objective O4

Define a concrete government program through which the goals and strategies defined during STRATEGY DEVELOPMENT could be implemented.
A4 – PROGRAM DEVELOPMENT – TASKS

TASKS

T22) Define the aim and objectives of the program
T23) Define the governance structure of the program
T24) Define the organization and roles of the Program Management Office
T25) Define various processes to carry out program-wide activities
T26) Setup management structures – stakeholders, benefits, projects, risks
T27) Populate initial project portfolio with initiatives defined during Strategy Development

A4 – PROGRAM DEVELOPMENT – DELIVERABLES

DELIVERABLES

D10) A report “Developing Electronic Governance in the PA – Implementation Program” covering aim, objectives, governance, processes and management structures of the program, written as a how-to guide to enable ready implementation.
RESPONSIBILITIES

- UNU and partners are responsible for objectives and management processes and structures.
- PA is responsible for governance structure, program management office and defining the initial project portfolio. UNU and partners provide training and supervision to the PA staff on these tasks.

A4 – PROGRAM DEVELOPMENT – EXAMPLE SCHEDULE

<table>
<thead>
<tr>
<th>ID</th>
<th>TASKS</th>
<th>WEEKS</th>
<th>RESPONSIBLE</th>
</tr>
</thead>
<tbody>
<tr>
<td>T22</td>
<td>Aim and Objectives</td>
<td></td>
<td></td>
</tr>
<tr>
<td>T23</td>
<td>Governance Structure</td>
<td></td>
<td></td>
</tr>
<tr>
<td>T24</td>
<td>Program Management Office</td>
<td></td>
<td></td>
</tr>
<tr>
<td>T25</td>
<td>Management Processes</td>
<td></td>
<td></td>
</tr>
<tr>
<td>T26</td>
<td>Management Structures</td>
<td></td>
<td></td>
</tr>
<tr>
<td>T27</td>
<td>Project Portfolio</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

DELIVERABLES

D10
OBJECTIVE OS

Raising the capacity of the public workforce in the PA, covering a range of leadership, management and technical skills, to be able to lead, implement and benefit from the PROGRAM.

A5 – HUMAN CAPACITY DEVELOPMENT – TASKS

TASKS

T28) Assessment Workshop
T29) Research Workshop
T30) Strategy Workshop
T31) Program Workshop
A5 – HUMAN CAPACITY DEVELOPMENT – DELIVERABLES

DELIVERABLES

D11) Presentations, recordings and transcripts for Assessment Workshop
D12) Presentations, recordings and transcripts for Research Workshop
D13) Presentations, recordings and transcripts for the Strategy Workshop
D14) Presentations, recordings and transcripts for the Program Workshop

A5 – HUMAN CAPACITY DEVELOPMENT – RESPONSIBILITIES

RESPONSIBILITIES

All events will be organized by PA, with UNU and partners providing content, program and delivery.
### A5 – HUMAN CAPACITY DEVELOPMENT – EXAMPLE SCHEDULE

<table>
<thead>
<tr>
<th>ID</th>
<th>TASKS</th>
<th>MONTHS</th>
<th>RESPONSIBLE</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>1  2</td>
<td></td>
</tr>
<tr>
<td>T28</td>
<td>Assessment Workshop</td>
<td>4</td>
<td></td>
</tr>
<tr>
<td>T29</td>
<td>Research Workshop</td>
<td>5</td>
<td></td>
</tr>
<tr>
<td>T30</td>
<td>Strategy Workshop</td>
<td>6</td>
<td></td>
</tr>
<tr>
<td>T31</td>
<td>Program Workshop</td>
<td>7</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>8  9</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>10 11</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>12</td>
<td>UNU+ PA</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Deliverables**

### A6 – ORGANIZATIONAL CAPACITY DEVELOPMENT – OBJECTIVE

**OBJECTIVE O6**

Establishing a Center of Excellence (or Resource Center) on Electronic Governance in the PA, on the basis of existing institutions, and raising organizational capacity of this Center to play the role of central coordinator of Electronic Governance in the PA.

This activity plays an important role for the whole program. It facilitates the transfer of knowledge and experience from UNU and partners to PA experts and agencies, and therefore the execution of the program. It is assumed that the envisioned Center of Excellence (Resource Center) is established on the basis of a representative agency of the PA and capacities obtained by it through this activity.
A6 – ORGANIZATIONAL CAPACITY DEVELOPMENT – TASKS

TASKS

T32) Leadership School
T33) Assessment School
T34) Research School
T35) Strategy School
T36) Program School
T37) Management School
T38) Project Mentoring

Most schools take place before each state of the project throughout the program period, to prepare PA staff for playing key roles in different stages of the project. In addition, the Leadership School takes place at the beginning of the project to prepare government decision makers to best utilize the benefits of the resulting program, while the Management School takes place at the end of the project to prepare government managers for implementing the program. Project Mentoring takes place throughout, directed at PA staff responsible for various project tasks.

A6 – ORGANIZATIONAL CAPACITY DEVELOPMENT – DELIV.

DELIVERABLES

D15) Leadership Training Materials
D16) Readiness Assessment Training Materials
D17) Research Training Materials
D18) Strategy Development Training Materials
D19) Program Development Training Materials
D20) Management Training Materials
RESPONSIBILITIES

All schools are organized by the PA and delivered by experts from UNU and partners.
OVERVIEW

1 AIM

2 OBJECTIVES

3 ACTIVITIES

3.1. READINESS ASSESSMENT
3.2. RESEARCH
3.3. STRATEGY DEVELOPMENT
3.4. PROGRAM DEVELOPMENT
3.5. HUMAN CAPACITY BUILDING
3.6. ORGANIZATIONAL CAPACITY BUILDING

4 PLANNING

4.1. SCHEDULE
4.2. STAFFING

PLANNING - SCHEDULE

A typical project resulting from UNEGOV.NET/FRAMEWORK is expected to last 12 months:

- Tasks T1 to T4 are conducted sequentially over 4, 2, 3 and 3 months respectively.
- Task T5 takes place at the end of each development stage.
- Task T6 takes place continuously for 12 months.

<table>
<thead>
<tr>
<th>TASK</th>
<th>TIMETABLE</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>MONTHS</td>
</tr>
<tr>
<td>A1 – Readiness Assessment</td>
<td>1 2 3 4</td>
</tr>
<tr>
<td>A2 – Research</td>
<td>5 6 7</td>
</tr>
<tr>
<td>A3 – Strategy Development</td>
<td>8</td>
</tr>
<tr>
<td>A4 – Program Development</td>
<td>9 10 11</td>
</tr>
<tr>
<td>A5 – Human Capacity Development</td>
<td>12</td>
</tr>
<tr>
<td>A6 – Organizational Capacity Development</td>
<td></td>
</tr>
</tbody>
</table>
UNU and partner side:

P1) Coordinator – UNU staff to supervise UNU and partners’ contribution to the project, at 20%
P2) Senior Researcher – international senior resource person, at 100%
P3) Fellow – qualified resource person from the PA, invited by UNU as Fellow, at 100%

PA side:

P4) Owner – PA nominee to represent owner’s views on the project, at 20%
P5) Project Manager – senior PA staff to oversee the management of the project, at 100%
P6) Researcher – two staff from the PA to carry out activities with UNU and partners, at 100%
P7) Officer – three PA staff to provide logistics support to the project, at 100%

What was presented:

1) The concept of Electronic Government
2) Typical needs of developing vis-à-vis developed countries for Electronic Government
4) The framework directly addresses several needs:
   - Policy-strategy gap,
   - Strategy-implementation gap,
   - Weak implementation and delivery,
   - Weak coordination and leadership
   - Insufficient human capacity development
   - Lack of research/analysis to precede implementation

The framework has been applied in three countries: one completed, one ongoing, one about to start.
UNU welcomes expressions of interest from:

- Governments to study the feasibility, localize and implement the UNEGOV.NET/FRAMEWORK
- Regional and international organizations to partner on UNEGOV.NET/FRAMEWORK projects.

The framework can be customized to suit local needs, conditions and levels of development. In particular, different activities of the framework:

1) ASSESSMENT,
2) RESEARCH,
3) STRATEGY DEVELOPMENT,
4) PROGRAM DEVELOPMENT,
5) HUMAN CAPACITY DEVELOPMENT or
6) ORGANIZATIONAL CAPACITY DEVELOPMENT

with their instruments, guidelines, references, software, etc. could be selected for individual localization and application depending on the needs.

Many thanks!

Particularly to UN-ESCWA and its ICT Division for invitation and organization of this event.


Tomasz Janowski
tj@iist.unu.edu