

Innovation and Digital Government for Public Service Delivery

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Namibia October 22, 2020





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A Universal Story





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When Policy Meets Reality

Policies are materialized through services

- 1) Outline Priorities
- 2) Consider **SMART** Indicators: **S**pecific, **M**easurable, **A**chievable, **R**elevant, **T**imebound
- 3) Flexibility Mechanisms
- 4) Institutional Coordination > Governance

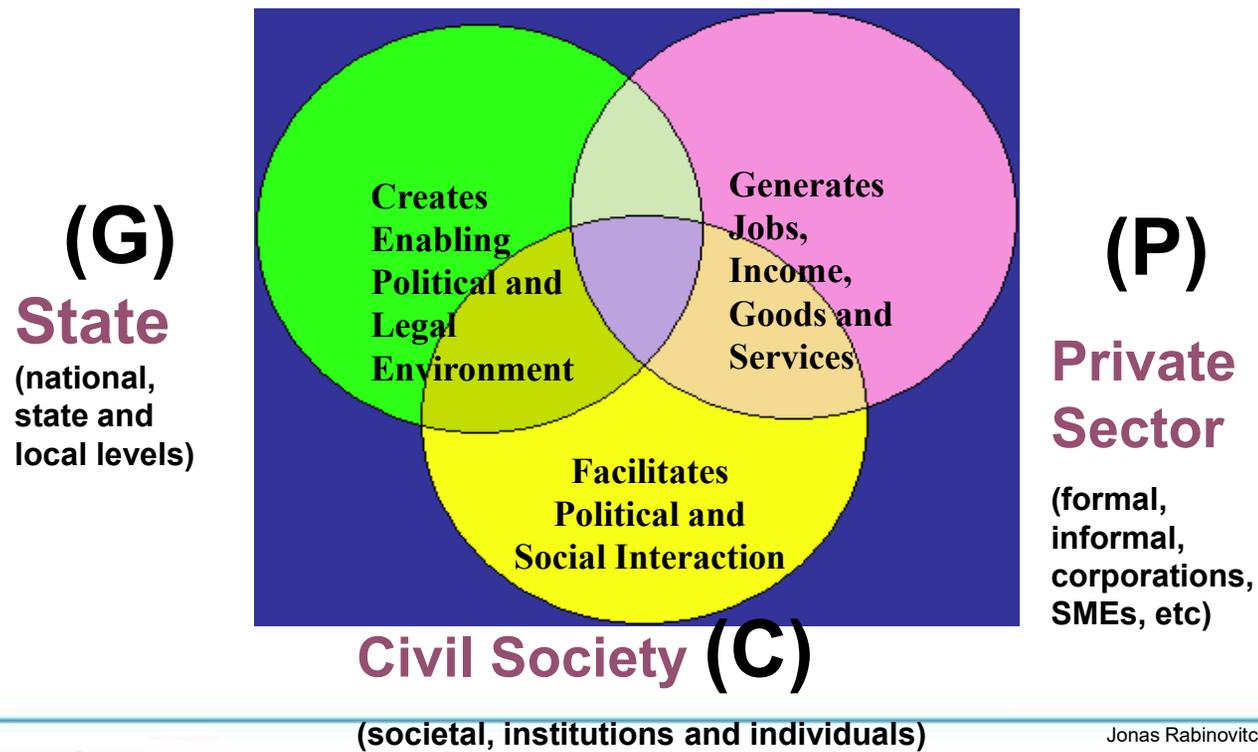


Learning Objectives

- **Policy, Public Service Delivery and 2030 Agenda**
- **Innovation: Principles, Enabling Factors**
- **Digital Government, Digital Transformation and how they relate to public service delivery**
- **Proposed Course of Action**



Governance - A Concept Broader than Government





	Gov (G)	Private (P)	Civil Society (C)
Gov (G)	G2G	G2P	G2C
Private (P)	P2G	P2P	P2C
Civil Society (C)	C2G	C2P	C2C



11 PRINCIPLES—62 STRATEGIES OF EFFECTIVE GOVERNANCE FOR SUSTAINABLE DEVELOPMENT

EFFECTIVENESS			ACCOUNTABILITY		
<p>COMPETENCE</p> <p>1—Promotion of a professional public sector workforce 2—Strategic human resources management 3—Leadership development, training of civil servants 4—Performance management 5—Results-based management 6—Financial management and control 7—Efficient and fair revenue administration 8—Investment in e-government</p>	<p>SOUND POLICY-MAKING</p> <p>9—Strategic planning and foresight 10—Regulatory impact analysis 11—Promotion of coherent policymaking 12—Strengthening national statistical systems 13—Monitoring & evaluation systems 14—Science-policy interface 15—Risk management frameworks 16—Data sharing</p>	<p>COLLABORATION</p> <p>17—Centre of government coordination under Head of State / Government 18—Collaboration, coordination, integration, dialogue across levels of government, functional areas 19—Raising awareness on SDGs 20—Network-based governance 21—Multi-stakeholder partnerships</p>	<p>INTEGRITY</p> <p>22—Promotion of anti-corruption policies, practices and bodies 23—Codes of conduct for public officials 24—Competitive public procurement 25—Elimination of bribery, influence trading 26—Conflict of interest policies 27—Whistle-blower protection 28—Provision of adequate remuneration and equitable pay scales for public servants</p>	<p>TRANSPARENCY</p> <p>29—Proactive disclosure of information 30—Budget transparency 31—Open government data 32—Registries of beneficial ownership 33—Lobby registries</p>	<p>INDEPENDENT OVERSIGHT</p> <p>34—Promotion of the independence of regulatory agencies 35—Arrangements for review of administrative decisions by courts or other bodies 36—Independent audit 37—Respect for legality</p>
INCLUSIVENESS					
<p>LEAVING NO ONE BEHIND</p> <p>38—Promotion of equitable fiscal and monetary policy 39—Promotion of social equity 40—Data disaggregation 41—Systematic follow-up and review</p>	<p>NON-DISCRIMINATION</p> <p>42—Promotion of public sector workforce diversity 43—Prohibition of discrimination in public service delivery 44—Multilingual service delivery 45—Accessibility standards 46—Cultural audit of institutions 47—Universal birth registration 48—Gender-responsive budgeting</p>	<p>PARTICIPATION</p> <p>49—Free and fair elections 50—Regulatory process of public consultation 51—Multi-stakeholder forums 52—Participatory budgeting 53—Community-driven development</p>	<p>SUBSIDIARITY</p> <p>54—Fiscal federalism 55—Strengthening urban governance 56—Strengthening municipal finance and local finance systems 57—Enhancement of local capacity for prevention, adaptation and mitigation of external shocks</p>	<p>INTERGENERATIONAL EQUITY</p> <p>58—Multilevel governance 59—Sustainable development impact assessment 60—Long-term public debt management 61—Long-term territorial planning and spatial development 62—Ecosystem management</p>	 <p>4</p>



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The purpose of Government is to address human needs

Health Care, Education, Transportation, Waste Management, Sanitation, Water Supply, Courts, Emergency Services (Fire, Law Enforcement), Military, Postal Service, Public Banks and Financing, Broadcasting, Libraries, Telecommunications, others.



The 2030 Agenda for Sustainable Development



- **Adopted in 2015 by 193 UN Member States**
- **The Agenda is a universal policy document with 17 Sustainable Development Goals (SDGs) and 169 associated targets which are integrated/indivisible**



At least 13 SDGs Relate to Services

- **Goal 1 (Poverty)**- Proportion of population living in households with access to basic services
- **Goal 3 (Health)** - Death rate due to road traffic injuries
- **Goal 6 (Water)** - Proportion of wastewater safely treated
- **Goal 11 (Sustainable Cities)** - Proportion of urban population living in slums or inadequate housing
- **Goal 16 (Justice)** – National IDs, Birth Certificates



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The Delivery Paradox

1. The public sector is the world's largest service provider - **a multi-billion dollar industry annually.**
2. UN Member States recognize public service delivery as a major **undelivered challenge.**



Why are we Here?

- **Although the Public Sector is the world's largest service provider...**
- **The bottom 20% of people globally tend to be marginalized, without access to the formal economy and to the formal market for basic services**
- **We're here to help start closing the gap to try and meet the expectations people have for 21st century governments.**



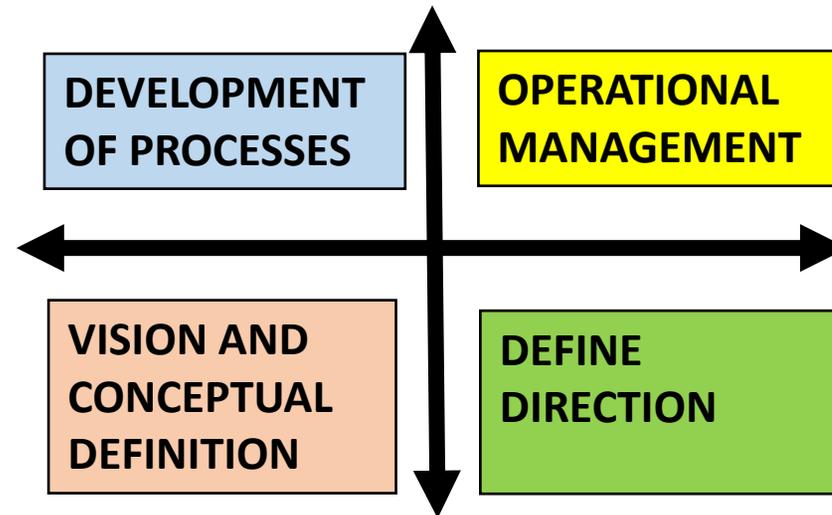
A Holistic Approach

- **No blueprint, but there are:**
 - **Principles**
 - **Strategies**
 - **Enabling factors for innovation**



Institution Knows Where It Is Going

Institution
Does Not
Know How to
Get There



Institution
Knows
How to
Get There

Institution Does Not Know Where It Is Going

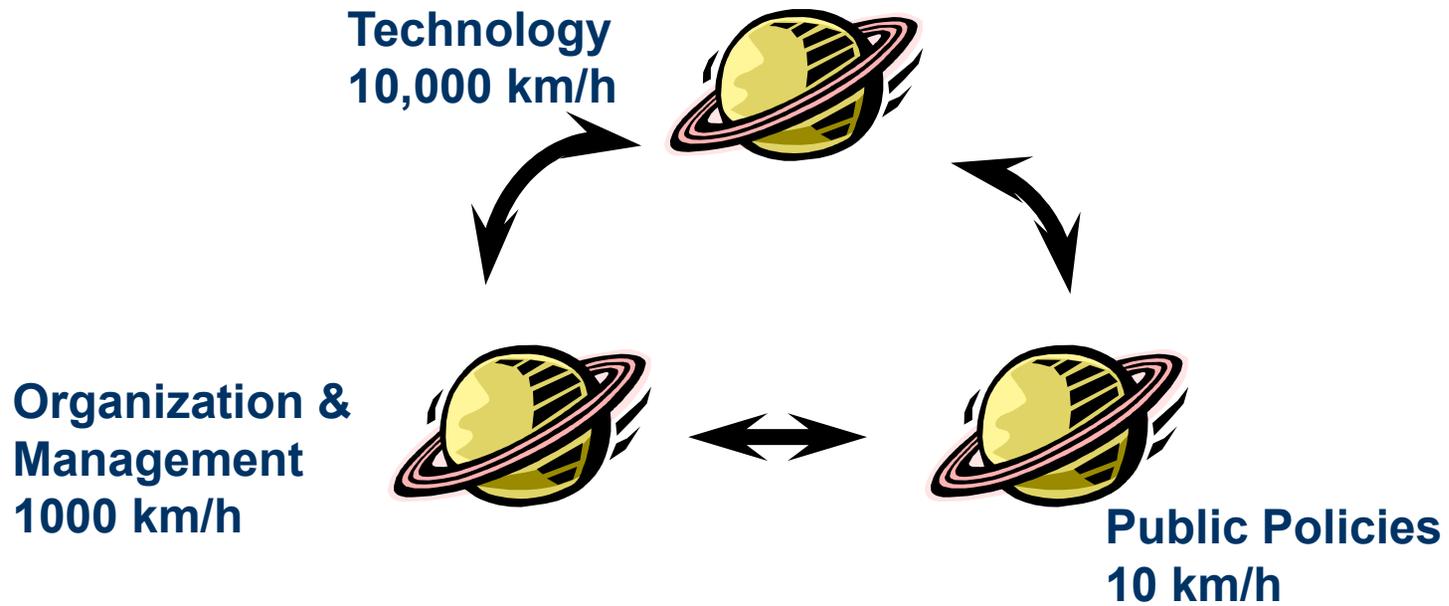
Source: Yapp, 2005



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The Government Innovation Context



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Break for Questions



Common Characteristics for Leading Countries

- 1) **Their institutions have a systems-thinking approach to policy making and service delivery by using ICTs to enhance operational linkages**
- 2) **A basic step: re-organized institutions to establish appropriate horizontal and vertical linkages before starting an automatization process**
- 3) **Many leading countries have put in place organizational structures to lead their digital government transformation. Out of 193 UN Member states, 145 countries have a CIO or equivalents.**
- 4) **Capacities to mobilize resources, manage data, promote effective public communication and address issues related to ICT infrastructure, affordability and accessibility to technologies are also part of a holistic approach**

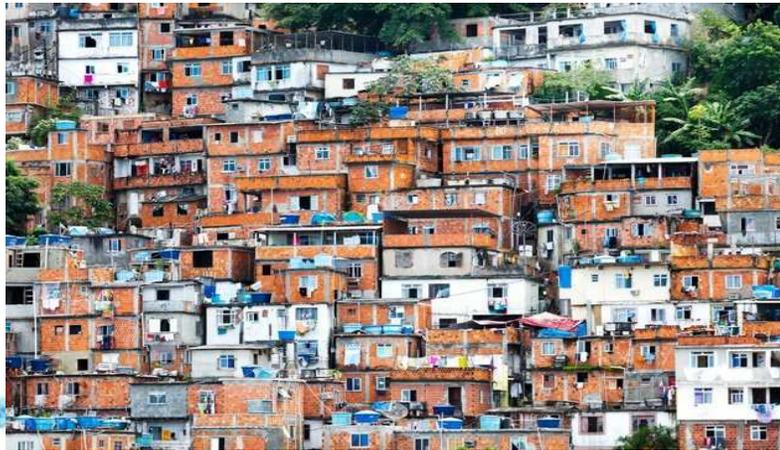
Source: UN e-Government 2020 Survey



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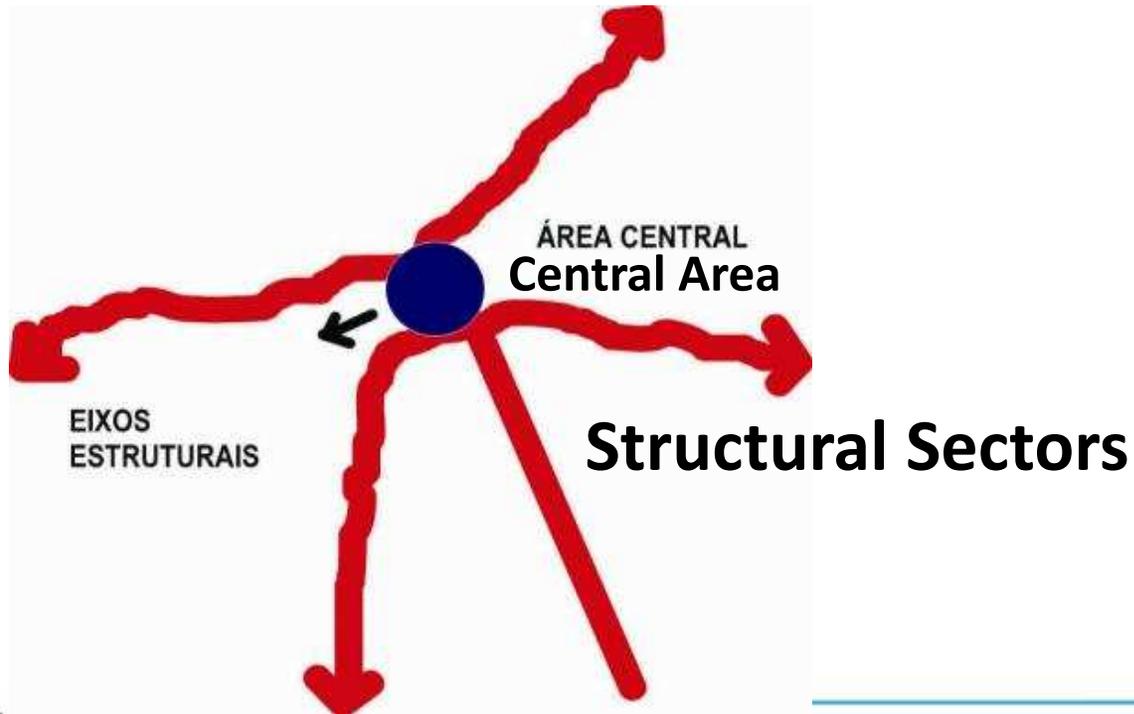
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Curitiba: Urban Mobility as a Tool to Direct Growth

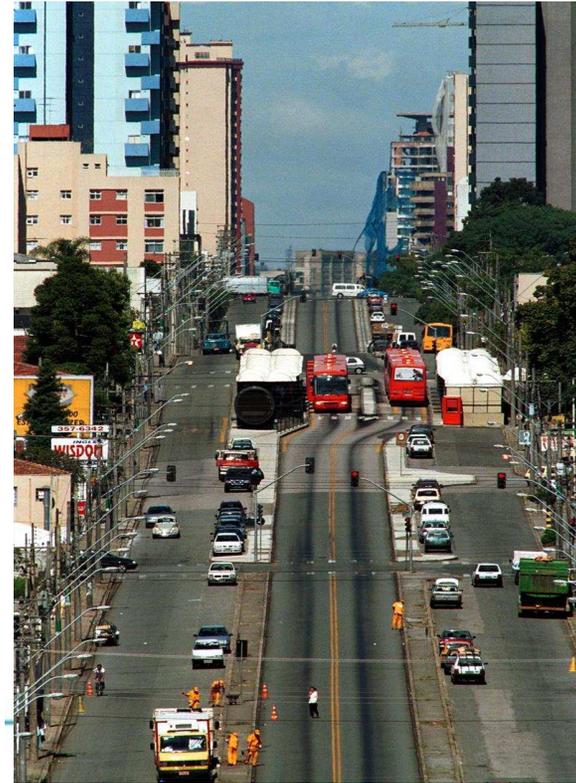


Public Transport, Land Use and Road Hierarchy as structuring elements



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<http://www.UNPAN.org/DPADM/>





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Three elements of a Subway on the Surface



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A System of Parks for Flooding Control



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Cycleways for Leisure, Safety and Work





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Garbage Exchange for Food



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Historic Preservation Generating Jobs and Housing



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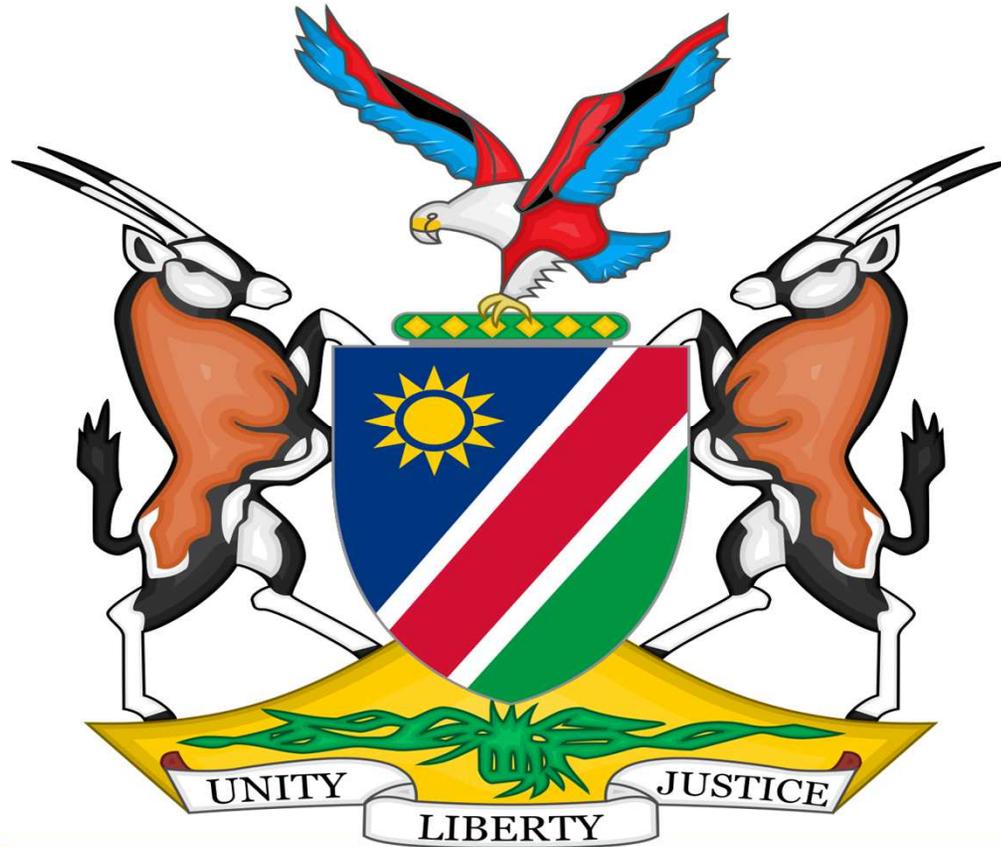
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Cell Phones Replacing Banking System





The UN Public Service Award (PSA)

- Most prestigious international recognition of excellence in public service
- Rewards the creative achievements and contributions of public service institutions that lead to a more effective and responsive public administration in countries worldwide

Australia – Participatory Budgeting for Vulnerable Groups





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The Gambia – Youth Vocational Training and Employment Programme



Thailand – Community Networks Providing Care for Older Persons





Selected 2020 UN PSA Winners

- **Accessible Health Care Services - Korea**
 - The Republic of Korea Seongdong District's (Seoul) "HYO Policy" programme makes health care services more accessible, including through home visits, to older persons suffering from poverty, health issues and social isolation.
- **Access to Energy Reduction Tariff – Portugal**
 - The Automatic Social Energy Tariff (ASET) in Portugal automates the application process for an energy reduction tariff to low-income customers. The initiative greatly increased the uptake of the entitlement among low-income households.
- **Facilitating Land Transfer – Bangladesh**
 - In Bangladesh, the e-Mutation initiative established a digital application mechanism to make land transfer applications easier and more accessible, efficient and transparent. The purpose is to better serve the most vulnerable populations and those facing discrimination, including the illiterate, women, older persons and the poor.

UN Public Service Awards and Forum 2021

- **Fostering innovation to deliver inclusive and equitable services for all including digital transformation**
- **Enhancing the effectiveness of public institutions to reach the SDGs**
- **Promoting gender-responsive public services to achieve the SDGs**
- **Institutional preparedness and response in times of crisis**

Innovation is not an Option

Mr. Dimis Michaelides



Realizing Innovation in PSD

Principles

1. Access
2. Quality
3. Inclusion and Responsiveness
4. People-drive and personalized
5. Transparency and accountability of service delivery

Strategies

1. Institutional and organizational innovation
2. Transformation of leadership and public officials capacities
3. Process Innovation
4. Organizational culture
5. Leverage the potential of ICTs which create new opportunities for innovation



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Innovation and Risk

- **Innovation characteristics interact with context characteristics**
- **Uncertainty results from the lack of adequate knowledge about the interaction**
- **Risk results from uncertainties about the consequences of change efforts**
- **Individual Risk and Institutional Risk**



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Digital Government

- Digital government is not an end, but a means to improving public service delivery, increasing people's engagement, enhancing transparency, accountability and inclusion and, ultimately to making life better for all.

Source: UN e-Government 2020 Survey Report



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Capability to Innovate Varies

Governments around the world are using digital technologies to:

- 1) Innovate the way they operate,**
- 2) share information,**
- 3) make decisions and deliver services,**
- 4) engage and partner with people**

Source: UN e-Government 2020 Survey



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Sumwhere – A Digital Gov. Case Study





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Sumwhere's Story





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Sumwhere's Fortune

- **Sumwhere discovered gold, diamonds and oil. They became rich.**
- **The Government went on TV and said they will modernize public administration to improve citizen satisfaction.**



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Towards Citizen's Satisfaction?

- **Sumwhere sent all civil servants to get a PhD at the MIT**
- **Sumwhere purchased the fastest and more powerful computers and the best available software and put them in every office in the country**
- **Sumwhere contracted the best web designers in the world to improve their official website**
- **Sumwhere purchased broadband equipment to cover the entire country**

- **Did the government become more popular and efficient and did public services improve dramatically as a result of all this sudden wealth?**



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G2C Government to Citizens

- **Revamp Government Portal, National ID, Passport Registration, Social Insurance Information, e-Health, e-Election, e-Driver License, e-Petition, e-Pension, e-Agriculture**



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G2P Government to Private Sector

- **Information System for Recruitment and Employment, e-Customs, e-Procurement, Business Registration and Approval Management System, e-Patent, e-Tourism, e-Commerce**

G2G Government to Government

e-Tax, immigration Management System, e-Education, Digital Signature, e-Land Registry, e-MIS, Groupware, e-Pollution, e-Authentication, Knowledge Management System, GIS

Laws Promoting ICT Industry

- **Law to Promote Software**
- **Law to Promote Online Digital Content**
- **Law on e-Transactions**
- **Law on the Automation of Trading**
- **Law on Intellectual Property Rights**



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Fund Raising

- **Securing special budget from the government**
- **Selling government owned bandwidth to private companies**
- **Requesting contributions from private companies winning IT business rights**
- **Creation of a telecommunications fund from percentages of broadcasting rights**
- **International donors**

Roadmap

- **Establishment of a Timeframe: 2012 to 2016**
- **Selection of 16 priority projects**



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Results

- **At the end of 2015, 25 activities under 16 different projects (related to G2C, G2B, G2G) should have been completed.**
- **However, only 1 was completed and 6 were in the preliminary stages (bidding, etc). Nine were not even initiated.**



What Went Wrong 1 ?

- **Many officials thought they would lose their jobs if IT were mainstreamed into the workplace**
- **There was no change management in place**
- **The use of IT was not properly inserted into workflows**
- **Reform was focused only on technology, without looking into institutional memory and work processes**



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What Went Wrong 2 ?

- **Not all government officials were e-literate and most were not trained in doing things differently, i.e. they resisted change**
- **Back office networking did not work in practice, i.e. no inter-office coordination mechanism**
- **No Human Resource Development Planning**



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What Went Wrong 3?

- **Inertia of national bureaucracy**
- **“Power culture” valued petty self-interests and hidden vested agendas**
- **The availability of qualified staff was taken for granted**

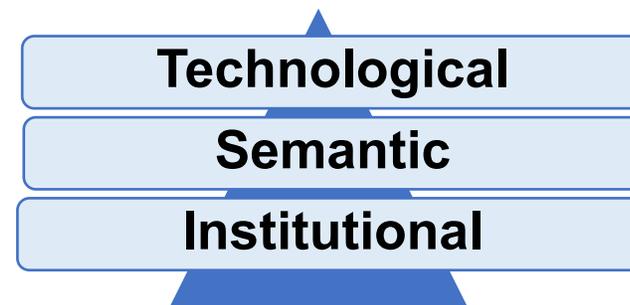


What Went Wrong 4?

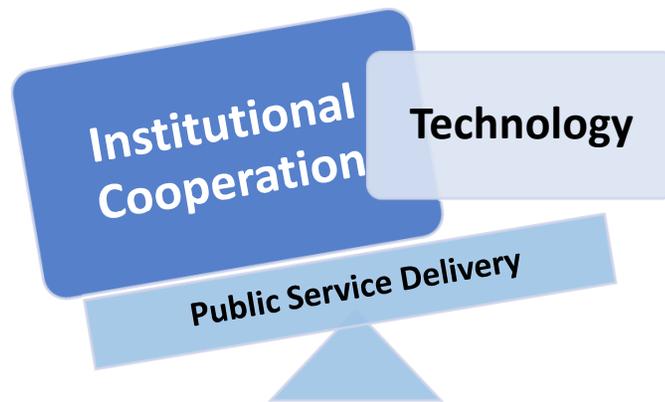
- **A management structure supporting strategic decision-making was not established**
- **IT designers understood technology, but not the realities of government**
- **Government officials and politicians understood the realities of government but not the technology**
- **Both IT designers and government officials thought computers by themselves would change the institutional culture of the country**

A few conclusions

1. Governments are not homogeneous.
2. Three features of interoperability:



3. Public service delivery depends more on institutional cooperation (i.e., workflows and decision-making channels) than on technology.





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Lessons Learned

4) Institutional Systematization Should Precede Digitalization (re-design the institutional architecture first, then introduce data management and technology).

5) Digitizing a dysfunctional public administration framework only accelerates dysfunction.

FRONT OFFICE and BACK-OFFICE

- **Avoid Overloading “Back-office”**
- **Interoperability between public institutions**





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Digital Maturity = Government Maturity

Dimensions

1. Leadership
2. Strategy
3. Governance
4. Legal
5. Technology
6. Workforce Development

These explore the performance of a digital strategy within the context of a **National Development Plan (NDP)**



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The Digital Transformation Capability Assessment Framework (DTCAF)



The DTCAF

- An enabler-based model drawing on theories of change
- Focus
 - Identifying and explaining the theories of change for the mechanisms (enablers) that can advance the capability of an organization



Dimensions, Sub-Dimensions and Items in the Maturity Framework

Dimensions	Sub-dimensions	Items (Statements)
Leadership	Vision	4
	Policy	4
	Data	3
Strategy	General	8
	Integration and Interoperability	3
	Data	4
Governance	General	6
	Citizens and Business	5
	Partnership	2
	Data	2
	Organization	4
Legal	Laws and Regulations	5
	Policies and Procedures	13
	Data	3
	Procurement	4
Technology	General	2
	Citizens and Business	5
	Public Servants	3
	Cybersecurity	7
Professional and Workforce Development	General	7
Total		94

Leadership 04 - Vision

LEA 04	<p>Our Ministries/Authorities have an official who is formally assigned the role of Chief Information Officer.</p>	<p>5 - Strongly Agree 4 - Agree 3 - Neither Agree nor Disagree 2 - Disagree 1 - Strongly Disagree</p>
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Leadership 07 - Policy

LEA 07	<p>In our Ministries/Authorities, we are capable of establishing an environment enabling innovation and modernization.</p>	<p>5 - Strongly Agree 4 - Agree 3 - Neither Agree nor Disagree 2 - Disagree 1 - Strongly Disagree</p>
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Strategy 07 - General

STR07	<p>Our Ministries/Authorities have an action plan that builds capacity to effectively implement a digital government strategy.</p>	<p>5 - Strongly Agree 4 - Agree 3 - Neither Agree nor Disagree 2 - Disagree 1 - Strongly Disagree</p>
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Strategy 09 - Integration and Interoperability

STR09	<p>Systems in use in our Ministry's/Authority's organizational units support the integration and sharing of data across the boundaries of government agencies.</p>	<p>5 - Strongly Agree 4 - Agree 3 - Neither Agree nor Disagree 2 - Disagree 1 - Strongly Disagree</p>
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Governance 01 - General

GOV0 1	A single department or unit is in charge of ensuring that the digital strategy being implemented by all departments and units of our Ministries/Authorities and that they have the resources necessary to implement it.	5 - Strongly Agree 4 - Agree 3 - Neither Agree nor Disagree 2 - Disagree 1 - Strongly Disagree
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Governance 18 - Organization

GOV1 8	Our Ministry's/Authority's personnel have the skills necessary to effectively monitor and evaluate our e-services.	5 - Strongly Agree 4 - Agree 3 - Neither Agree nor Disagree 2 - Disagree 1 - Strongly Disagree
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Legal 06 - Policies and Procedures

LEG06	Our Ministries/Authorities have developed policies on integrating the SDGs to the national digital government strategy.	5 - Strongly Agree 4 - Agree 3 - Neither Agree nor Disagree 2 - Disagree 1 - Strongly Disagree
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Legal 24 - Procurement

LEG24	Our Ministry's/Authority's e-procurement policies, processes, and systems are transparent and effective.	5 - Strongly Agree 4 - Agree 3 - Neither Agree nor Disagree 2 - Disagree 1 - Strongly Disagree
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Technology 02 - General

TEC02	Our Ministries/Authorities have a strategy that include multiple channels to deliver services to citizens and businesses.	5 - Strongly Agree 4 - Agree 3 - Neither Agree nor Disagree 2 - Disagree 1 - Strongly Disagree
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Technology 12 - Cybersecurity

TEC12	Our Ministries/Authorities each have a Chief Information Security Officer (CISO).	5 - Strongly Agree 4 - Agree 3 - Neither Agree nor Disagree 2 - Disagree 1 - Strongly Disagree
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Professional and Workforce Development 03 - General

PWD0 3	Our Ministry's/Authority's civil servants have received ICT training deployed by the government or third-party providers.	5 - Strongly Agree 4 - Agree 3 - Neither Agree nor Disagree 2 - Disagree 1 - Strongly Disagree
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Professional and Workforce Development 07 - General

PWD0 7	Our Ministries/Authorities ensure that the policies and procedures for online learning and workforce development programs are transparent and consistent throughout the ministry/authority.	5 - Strongly Agree 4 - Agree 3 - Neither Agree nor Disagree 2 - Disagree 1 - Strongly Disagree
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Realizing Digital Government Transformation



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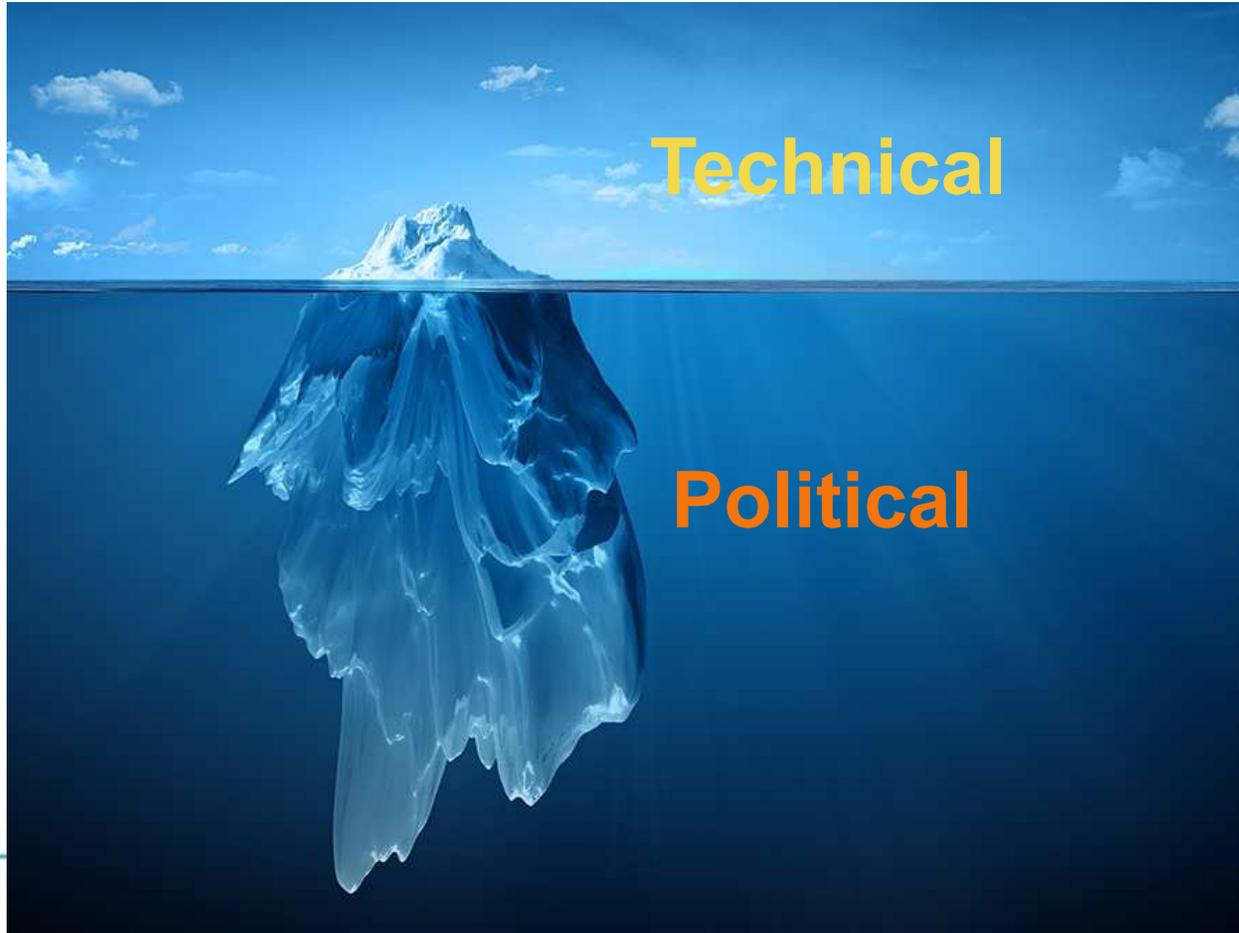


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Realizing Digital Government Transformation

- A four step approach that follows an iterative and agile cycle:
 1. Undertaking a context and situation analysis
 2. Articulating a shared vision of government transformation and how to leverage digital technologies to achieve society's goals
 3. Devising a strategy and a digital government implementation roadmap comprised of key pillars, and
 4. Putting in place monitoring and evaluation mechanisms

Source: UN DPIDG Interim Policy Brief Capacity Development Unit



Success is not a Mystery

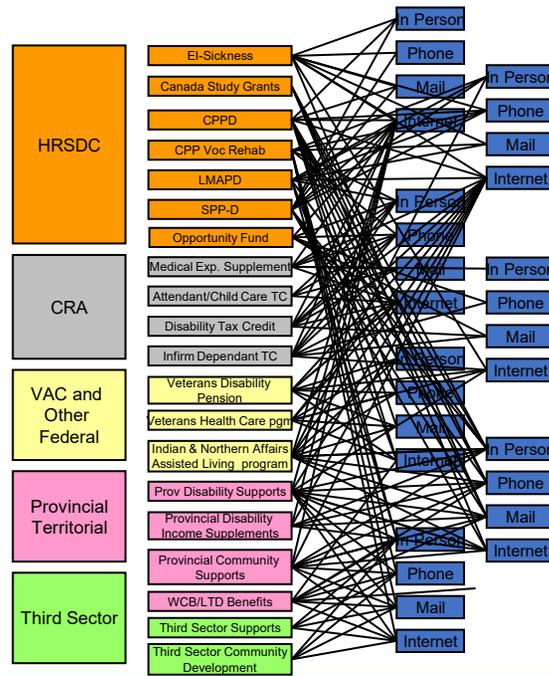
- Often overlooked lesson is the relevance of capacity/capability to undertake reform
- **Key Lessons Learned:**
 - **Proper institutional coordination**
 - **Context-specific adaptation**
 - **Engagement of beneficiaries in a collaborative manner,**
 - **Appropriate consideration of digital and technological options**
 - **Transparency in budgeting and expenditures**
 - **Public Private Partnerships**
 - **Accountability towards customer-centric models**
 - **Effective linkages between local and national levels of government**

• Source: UN DPIDG Interim Policy Brief Capacity Development Unit

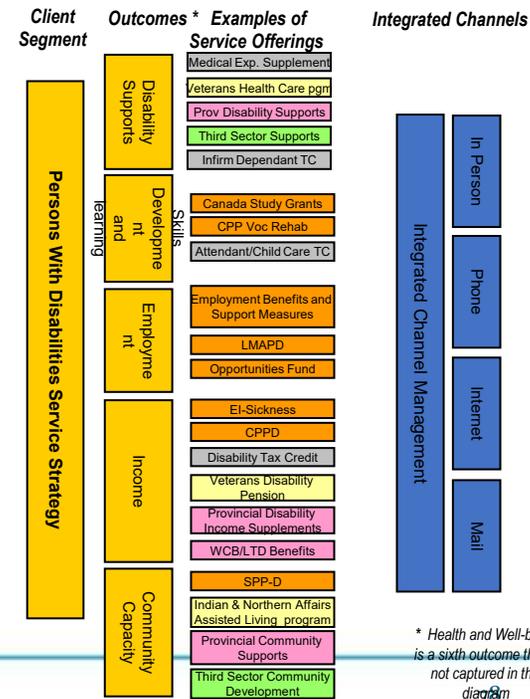


Citizen-Centric Design

BEFORE (institution-based)



AFTER (service-based)



* Health and Well-being is a sixth outcome that is not captured in this diagram





Concepts for Analysis and Planning

- Capability
- Maturity and stage models and frameworks
- Theories of change
- Enablers



Enablers

- **An enabler can be any organizational asset (including resources and capabilities), that improves the organization towards advanced maturity stages.**
- **Some of the enablers discussed in the literature of innovative government are management, institutions, governance networks, collaboration and technologies.**
- **Could the creation of an inter-agency network for the NDP and SDGs led by NPC become an enabler for Namibia?**



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Follow-Up 5-Day Training

- **Innovation Labs**
- **Systems Thinking**
- **Action Planning**
- **Road Mapping**

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Thank You

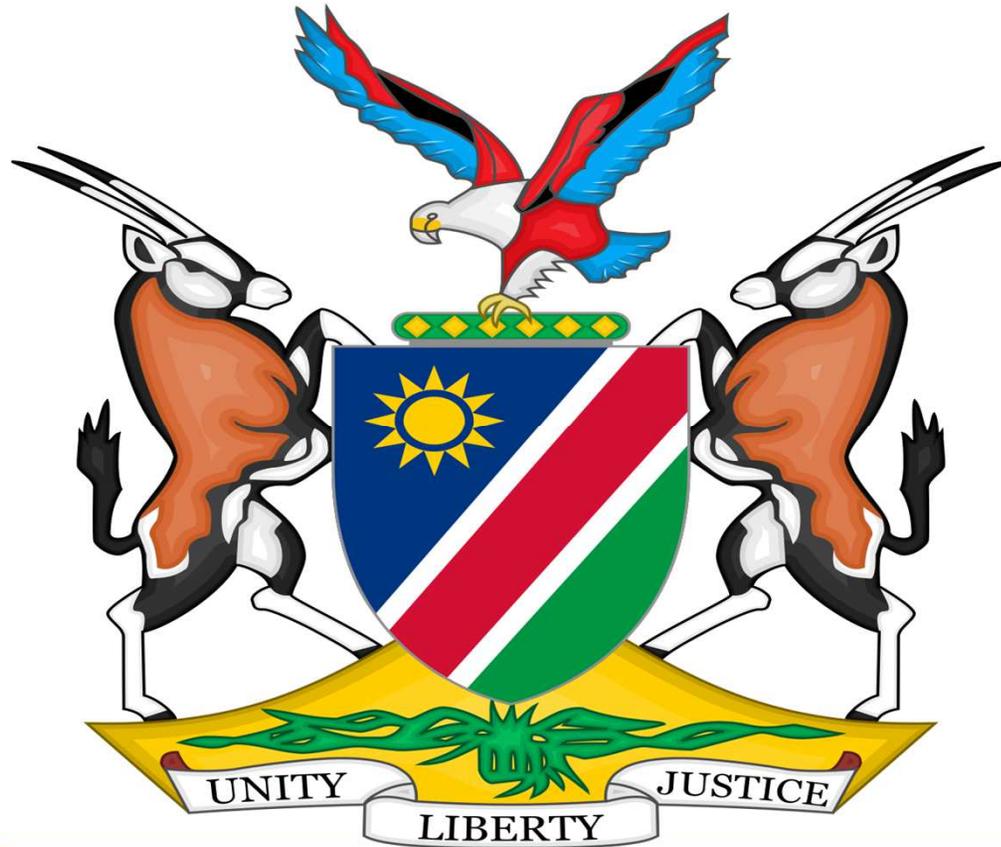




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