Innovation and Digital Government
for
Public Service Delivery

Toolkit for the Achievement of the Sustainable Development Goals

United Nations
Department of Economic and Social Affairs

Module 1.5
Realizing Digital Government Transformation

DESA

Realizing Digital Government Transformation

- A four step approach that follows and 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

@DESA

Concepts for Analysis and Planning

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

Key Concepts for Analysis and Planning

Capability defined:
- the ability or qualities necessary to do something
- capability to do something
- capability of doing something
- capability for doing something
- beyond/within the capabilities of something/somebody

- Source: https://www.merriam-webster.com

Capability in practice is:
- multidimensional
  - Made up of several types that contribute to overall capability.
- complementary
  - High or low levels can result from different combinations of factors and high levels in some can often compensate for lower levels in others.
- dynamic
  - Can increase or diminish due to changes within an initiative or in its external environment.
- specific to its setting and domain of practice
  - Some elements of capability apply to all settings, but for any particular project capability depends on specific objectives, project demands, and environment.
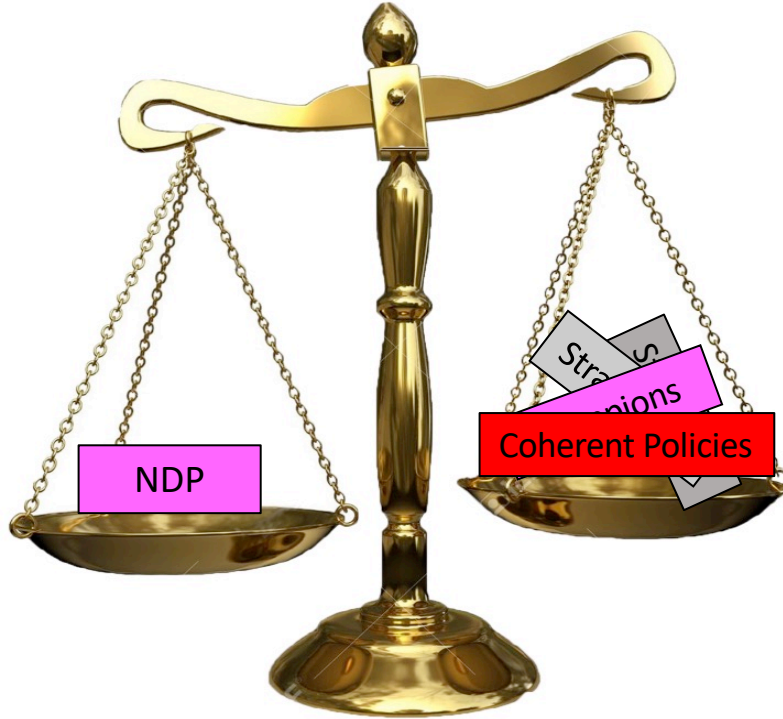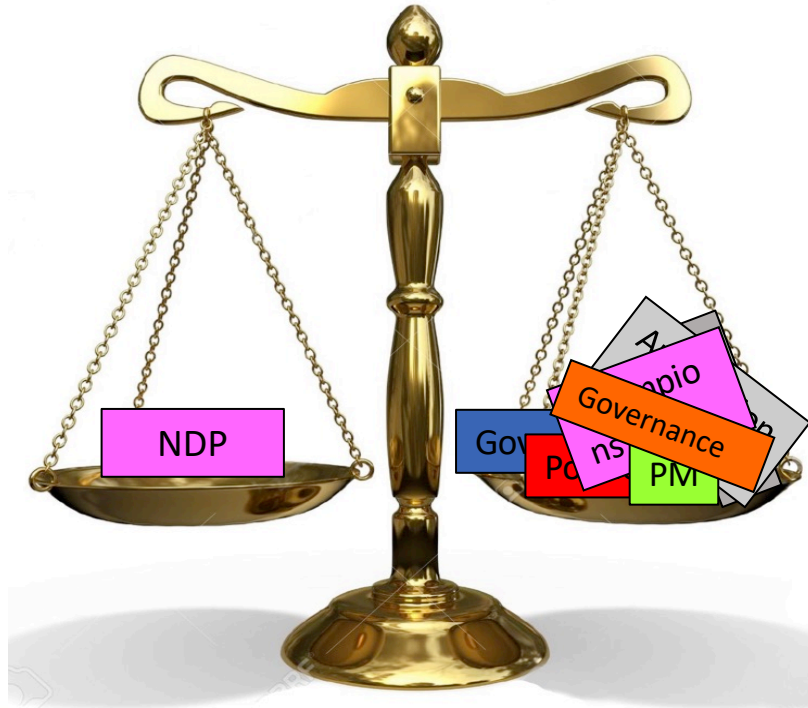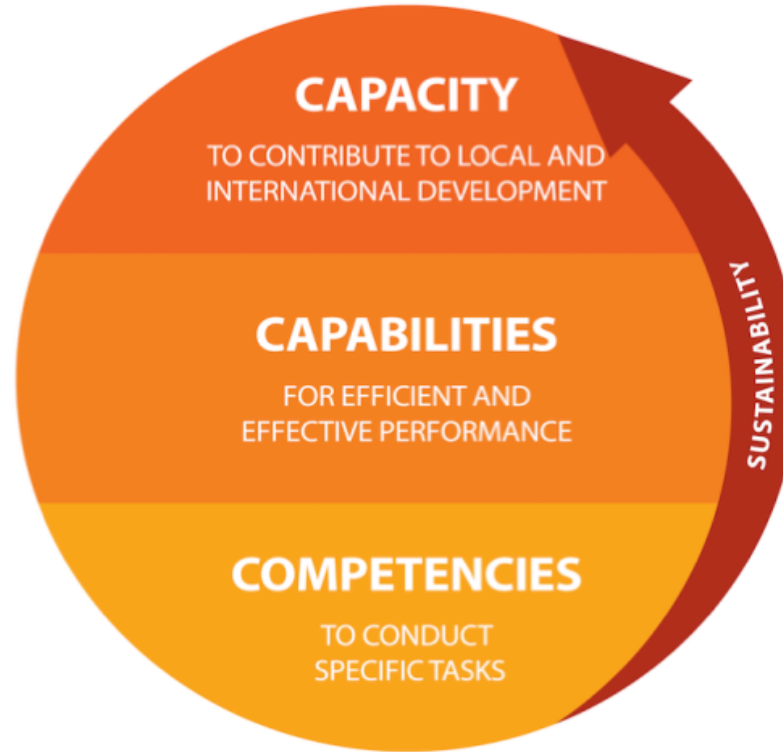
Balancing Capabilities

NDP

Balancing Capabilities

NDP

Str...s

...pions

Coherent Policies

Balancing Capabilities

Tools for Analysis and Planning

- The Digital Transformation Capability Assessment Framework (DTCAF)

    - This is the six-dimension framework of enablers of change for digital transformation.

- The Digital Transformation Capability Assessment (DTCA)

    - These are the steps Workshop Participants will follow to use the DTCAF in conducting individual and group assessments of capability during the Workshop

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 (maturation agents or enablers) that can advance the capability of an organization

- Related to, but different from a maturity model

Design Principles of the DCTAF

- Enabler-based models help decision makers understand better which actions, resources and capabilities are more important in moving an organization from one stage to another

- Metaphorically, an enabler can be thought as a maturing agent that helps organizations improve critical capabilities needed to drive performance

A Theory of Change and Enablers

- A theory of change is an explanation about "how and why the program will work" (Weiss, C.H., 1995).

- A theory of change pre-specifies how some activities will lead to the desired organizational changes, and identifies the contextual conditions to do so (Rogers, P.J. and Weiss, C.H. 2007).

- An enabler is the force that triggers "development towards the better" (Becker, J. et al, 2009).

Enablers

- An enabler, or maturation agent, can be any organizational asset (including resources and capabilities), as long as the model explains, and justifies, how and why the asset is advancing the organization towards advanced maturity stages.

- Some of the enablers discussed in the literature of digital government are management, institutions, governance networks and collaboration, and technologies.

The DTCAF

- The DTCAF was designed to identify the key organizational and technological enablers for improvement of digital transformation

- Using the DTCAF to conduct an assessment of capability produces new insights for identifying options and making decisions about strategies and action plans to guide future efforts to transform government and create public value

Theories of Change and Digital Government Capability

- Using a comparative analysis of over 25 leading models

- Sought to understand what theories of change are implied in the literature of digital government maturity models, and how they are are specified

- Inclusion criteria
  - Maturity models for digital governments with a rich description of the organizational areas expected to change along with the maturity stages, and available through academic repositories.

Perspectives Across 27 Models

- ## Results
  - ✓ Results are the intended direction of digital transformation, based on the perceptions on how digital government should operate or look like, provided advances in technologies.
    - o Examples: one-stop shop; systems compatibility; open linked data.
- ## Stages
  - ✓ Stages are a categorization of the degree of advance of the digital government practice in reference to the results expected.
    - o Examples: advanced, transformed stages.
- ## Enablers
  - ✓ Enablers are the agents that eventually enable or prevent digital transformation
    - o Examples: leadership; regulatory regime; strategy.

Three Models as Reference

- Compared to other maturity models, three have a rich description of how diverse organizational dimensions change when trying to build capability

  - McKinsey

  - Gartner

  - UN's Meter 2

DESA

Enablers in McKinsey Model

Enabler	Theory of change
Strategy	A good strategy weaves clearly the opportunities that emerging information technologies offer to address some of the overall government priorities.
Governance	Mechanisms of inter-organizational coordination strengthen the diffusion of new policies and technologies across government agencies.
Leadership	Helps cementing the alignment of the strategy within government priorities, oversees the required talent and coordinated effort required for its implementation, and promotes innovation and organizational change.
Technology	A smooth replacement of old IT systems with emerging technologies sets the basis for delivering better public services.
Data	Getting more data from multiple sources helps overcoming the problem of limited information and helps facing complex problems by providing more data from multiple sources.

Enablers in Gartner Model

Enabler	Theory of change
Data	The production and use of data help to accomplish organizational values, such as efficiency, openness, transparency, proactivity, and resilience.
Monitoring	Data production technologies (i.e. sensors) and data mining techniques (e.g., web scrapping or social network analysis) improve the organization's monitoring capabilities. These capabilities subsequently improve service models or prompt new ones, such as emergency response, prediction of citizen's needs, and anticipation of citizen's problems.
Third-party service delivery	Citizens prefer a networked governance system where responsibilities are distributed among government and a variety of non-government actors. Enabling non-government actors as co-creators or co-producers of public services improves citizen's convenience and choice when accessing public services, and ultimately improves citizen's satisfaction.

Enablers in UN METER 2

Enabler	Theory of change
Leadership	Commitment from leaders guide the interweaving of strategic goals, resistance to IT changes, and programmatic actions necessary for organizational change.
Regulatory	Archaic laws, old regulatory regimes, and overlapping regulations complicate the adoption or use of new It. It-based regulatory reforms are normally a boost for a digital transformation.
Institutional Arrangements	An agency or institutional mechanism should serve as the focal point of planning, supporting, coordinating and overseeing the collective efforts from different departments and agencies.
Network of Organizations	Networked governance models improve citizen's satisfaction of public service delivery. A horizontally and vertically cohesive network of government organizations also improves public service delivery effectiveness.
Access to IT	Reliable access to IT infrastructure to public officers and citizens must be improved.

Dimensions rather than Stages

- The DCTAF focuses on dimensions, rather than stages, and intends to give clarity on the theories of change for each dimension
    - Each dimension of the DCTAF represents a transformation enabler
    - Each DCTAF dimension and sub-dimension has a definition drawn from the model analysis
    - Each DCTAF item incorporates relevant questions from selected models

The Digital Transformation Capability Assessment Framework

Dimension	Sub-dimension	# of Items
Leadership	Vision	4
	Policy	4
	Data	3
Strategy	General	8
	Integration and Interoperability	3
	Data	4
Governance	General	6
	Citizens & 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 & Business	5
	Public Servants	3
	Cybersecurity	7
Professional and Workforce Development	General	7
Total Items		94

United Nations | Department of Economic and Social Affairs

The Six Dimensions of the Digital Transformation Capability Assessment Framework

Dimension	Definition
Leadership	Leaders must engage, motivate, build commitment, and mobilize resources for the successful implementation of a digital strategy. Leaders must craft plans to achieve organizational goals, communicate to stakeholders, and monitoring the progress.
Strategy	Strategic plans help to support the transformation agenda. Strategic plans present the actions to be taken to pursue digital transformation goals.
Governance	Governance provides structures for making explicit who makes which decisions and how. The development of good governance must be aligned with the strategic goals, as well as legal framework.
Legal	The set of legislation, guidelines and standards that a Ministry or Agency must comply with in deploying programs and services.
Technology	The set of technologies that directly and indirectly contribute to the delivery of programs and services through digital platforms.
Professional and Workforce Development	The policy and programmatic affordances in place to support ongoing capacity building.

DESA

The DTCAF

Selected Sub Dimensions and Illustrative Items

Dimension	Sub-Dimension	Illustrative Items
Leadership	Policy	Political commitment to digital government activities is continuous and long-term in our Ministries/Agencies.
Strategy	General	Our Ministry/Agency strategy prioritizes the digitization of the services with the highest volume of constituents' requests.
Governance	Data	Our Ministries/Authorities regularly assess whether the information available on our websites is useful to non-governmental users.

DESA

The DTCAF

Selected Sub Dimensions and Illustrative Items

Dimension	Sub-Dimension	Illustrative Items
Legal	Policies and Procedures	Our Ministries/Agencies have policies regulating the sharing and dissemination of public information that are adequate to ensure the protection of citizen's identity and to enable effective government services.
Technology	General	Government personnel have access to the hardware, software, and network tools they need to design and implement online public services.
Professional and Workforce Development	General	Our Ministries/Agencies ensure that the policies and procedures for online learning and workforce development programs are transparent and consistent throughout the ministry/authority.

United Nations — Department of Economic and Social Affairs

Example of a DTCAF Item

LEA01	Leadership from the organizational units in our Ministries/Agencies are constantly informed and updated about how digital technologies may bring opportunities in transforming the working environment and improving citizen satisfaction	**5 - Strongly Agree** Management personnel from all departments are regularly informed and updated about how digital technologies may create opportunities for transforming the working environment and improving citizen satisfaction
		4 – Agree
		3 - Neither Agree nor Disagree Management personnel from all departments are not regularly informed and updated about how digital technologies may create opportunities for transforming the working environment and improving citizen satisfaction
		2 - Disagree
		1 - Strongly Disagree There is no plan in place for management personnel from all departments to be regularly informed and updated about how digital technologies may create opportunities for transforming the working environment and improving citizen satisfaction.

DESA

Plenary Discussion

Small Group Activity

Instructions 1.5.2. Dimension Influence on NDP

- **Group Formation**
  - We will form six groups
  - To form the groups count off by 6's. All #1s are Group 1; all #2s are Group 2; all #3s are Group 3, and so on
  - Each individual is asked to remember their group # (this is surprisingly difficult at times, but they should get better at it over the week)
- **Group Assignment**
  - Each group will be assigned one dimension
  - Working individually, take 10 minutes to review the dimension and consider the question:
    - How will a high level of capability in this dimension help support or influence realization of your country's NDP?
- **Group Process**
  - Move to your group location
  - Refer to the Activity Instruction Sheet 1.5.2. for details of the Activity

Plenary Discussion

Innovation and Digital Government for Public Service Delivery

Thank You!