

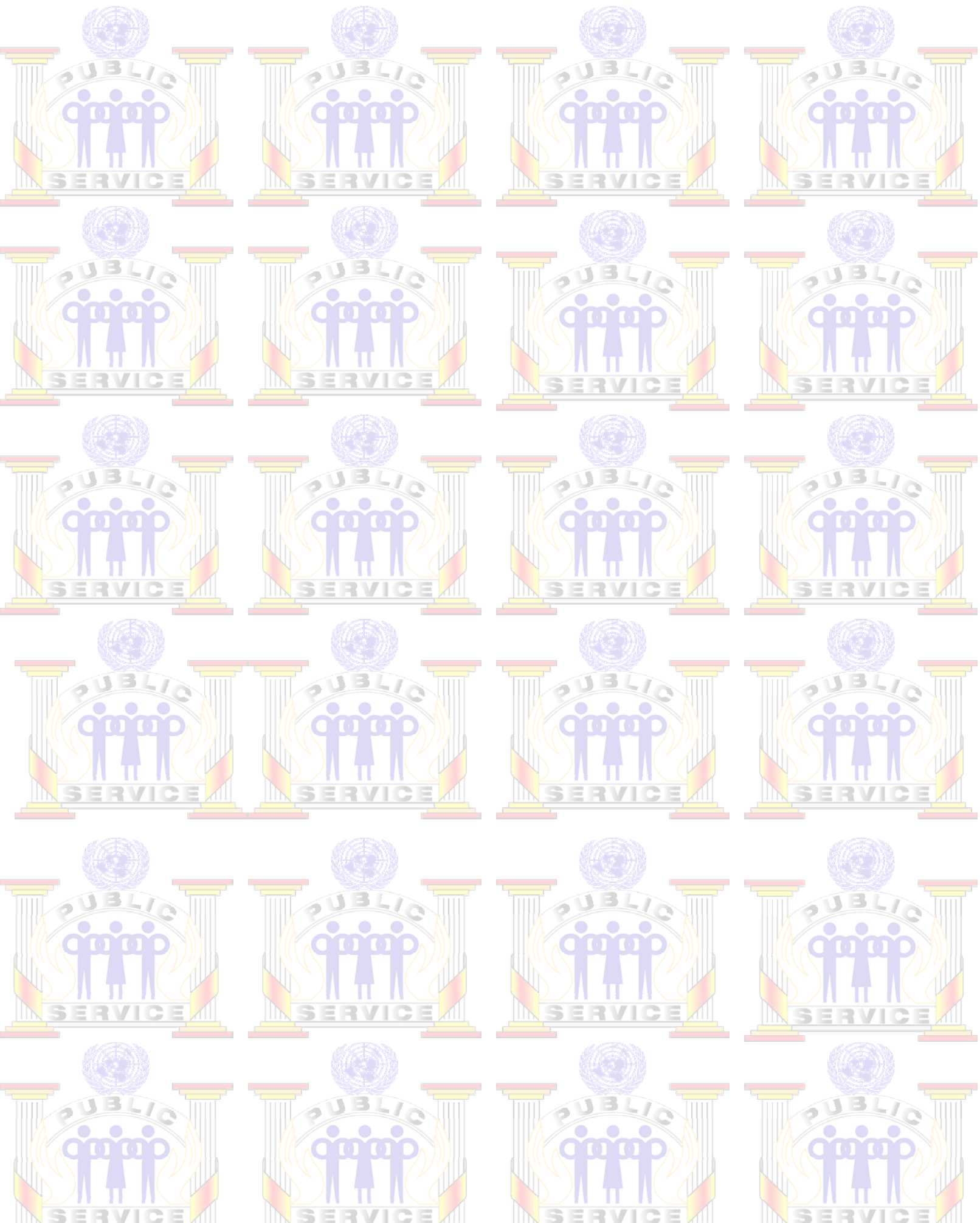


# **Innovation in Governance and Public Administration to Achieve the United Nations Development Goals**

**United Nations  
Department of Economic and Social Affairs**



**United Nations  
New York, 2009**



**United Nations**  
**Department of Economic and Social Affairs**

**Innovations in Governance and  
Public Administration to Achieve the United  
Nations Development Goals**

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Adriana Alberti, Coordinator of the United Nations Public Service Awards of DPADM, coordinated the preparation of this publication. She authored together with Lois Warner, Associate Governance and Public Administration Officer in the same Division, Part I. Lois Warner was also responsible for Part II and Part III. Mutya Delos Reyes and Pia Anthonymuttu, who served as interns at DPADM, prepared case studies for Part II (respectively Slovenia and Thailand, and Oman and South Africa).

In elaborating the chapters related to the UNPSA winning initiatives, the authors have relied on the information contained in the submission forms of the nominees for the annual awards programme, on UNDESA reports of technical meetings on innovations, and on information from the official web-sites of the public organizations of the 2009 UNPSA winners and finalists.

This publication provides a summary of the findings and lessons learned from the Ad Hoc Expert Group Meeting on “Innovation in Governance and Public Administration for the Achievement of the Millennium Development Goals” which was held at United Nations Headquarters in New York on 23 and 24 June 2009. We are very thankful to the Rapporteurs of this event who have provided invaluable inputs to this publication. They include experts from DPADM: Angela Capati-Caruso, Senior Governance and Public Administration Officer; Belal Hassan, Associate Governance and Public Administration Officer; Garegin Manukyan, Governance and Public Administration Officer, Olivier Munyaneza, Governance and Public Administration Officer; Elida Reci, Governance and Public Administration Officer and Alexei Tikhomirov, Senior Governance and Public Administration Officer. We are also very thankful to the members of the United Nations Committee of Experts on Public Administration for selecting the United Nations Public Service Awards 2009 winners and finalists. Indeed, we also express our appreciation to all of the organizations who nominated the 2009 UNPSA winners and finalists.

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## PART ONE

### Innovation in Governance and Public Administration: United Nations Public Service Awards





# Chapter One

## Innovation in Governance and Public Administration: United Nations Public Service Awards

**“By working together, we can reinvent government in ways that matter to ordinary people everywhere, and thereby secure their trust.”**

**Ban-Ki-Moon, United Nations Secretary General**

At the start of the new millennium, the heads of State and Government joined together in recognition of a collective responsibility to uphold principles of human dignity, equality and equity at national as well as global levels. It was clear that reducing poverty would increase the likelihood of creating an environment where these principles could be upheld and that the achievement of such an environment would depend to a great extent on good governance and public administration. Achieving good governance and public administration would build first on internationally agreed goals and objectives and although one model of governance could not be appropriate for diverse countries, the contemporary global environment would provide opportunities for the discussion and exchange of problem solving methods and strategies to improve governance. The United Nations Millennium Development Goals (2000) provide the frame of reference for achieving good governance and the commitment toward achieving these goals have led to a number of new projects in many United Nations agencies. These goals signaled a new direction in governance across the world by communicating the highest political level of commitment toward improving governance for individual societies and world-wide.

The United Nations Public Service Awards Programme (UNPSA) is a major project toward improving governance and public administration and is, therefore, integral to the achievement of the MDGs. UNPSA provides the framework and processes for analyzing, evaluating, and documenting innovations in governance and public administration and these are disseminated world-wide, through the Division of Public Administration and Development Management, within United Nations Department of Economics and Social Affairs. This chapter includes an outline of the genesis, purpose and scope of the UNPSA programme.

### **1. What is the UN Public Service Awards Programme?**

The United Nations Public Service Awards Programme is the most prestigious international recognition of excellence in public service. It rewards the creative achievements and contributions of public service institutions to a more effective and responsive public administration in countries worldwide. Through an annual competition, the UN Public Service Awards Programme promotes the role, professionalism and visibility of public service. It encourages exemplary public service and recognizes that democracy and successful governance are built on a competent civil service. This chapter provides an overview of the rationale for establishing the UN Public Service Awards, as

well as its objectives, the categories and criteria of its annual competition, and its selection process.

## **2. Why was the UN Public Service Awards Programme established?**

### **The quest for improving public sector performance**

Governments from around the world are required to respond to increasingly complex demands from their citizens and significant changes in their global environments. At the national level, they are grappling with several difficult social and economic issues, including poverty eradication, unemployment, poor education systems, health epidemics (including HIV/AIDS and the avian influenza), and environmental degradation. At the same time, they are attempting to readjust their policies and skills to integrate effectively into world economy.

Overall, governments are faced with three main challenges.

- First, they must operate and provide more far-reaching and higher-quality services with reduced resources and limited operational capacities. That is to say, governments must use their resources and build capacities not only more effectively but also more creatively by, for example, enlisting the support of the private sector and civil society in service delivery.
- Second, they must make public institutions more accountable, responsive, and effective by promoting a more citizen-oriented public administration.
- Third, and most important, they must respond more adequately to citizens' demands for greater participation.

Although government is still central to society, it is now widely recognized that civil society and the private sector also have an important role to play in this sphere. Citizens no longer perceive themselves as passive “consumers” of government services but as part of the solution to handle emerging issues more effectively. Deepening democracy to provide opportunities not only for improved representation but also for more active participation and engagement in public affairs requires innovative institutional mechanisms, processes, and policies.

As a consequence, several countries around the world are attempting to revitalize their public administration and make it more proactive, more efficient, more accountable, and especially more service oriented. To accomplish this transformation, governments are introducing innovations in their organizational structure, practices, capacities, and how they mobilize, deploy, and utilize the human, material, information, technological, and financial resources for service delivery to remote, disadvantaged, and challenged people.

While there are efforts all over the world to find innovative ways of improving the performance of public administration and to empower it to effectively initiate, plan and implement national development policies and programmes as well as international and regional agreed development strategies, including the Millennium Development Goals; there is a strong need to acknowledge and share them at the international level.

In light of the above, the United Nations Public Service Awards Programme was launched to promote and support the Member States' efforts to improve public sector performance. The importance of this international recognition has later been recalled in 2005, when the UN General Assembly "agreed that the United Nations should promote innovation in government and public administration and stressed the importance of making more effective use of United Nations Public Service Day and the United Nations Public Service Awards in the process of revitalizing public administration by building a culture of innovation, partnership, and responsiveness" (UN/2005, A/60/L.24, para.7). To capitalize on existing knowledge on how to achieve development and the Millennium Development Goals, the United Nations General Assembly in 2003 also recommended in Resolution 57/277 that the exchange of experiences related to the role of public administration in the implementation of internationally agreed goals, including those contained in the Millennium Declaration, be encouraged (UN, 2003, A/RES/57/277).

### **3. When and how was the UN Public Service Awards Programme established?**

The United Nations Public Service Awards Programme was launched as a result of the deliberations of the fifteenth meeting of the Group of Experts on the United Nations Programme in Public Administration and Finance (GA Resolution 49/136). During this session, the Group of Experts recommended that an annual event be organized by the Department of Economic and Social Affairs of the United Nations Secretariat through its Division for Public Economics and Public Administration (now the Division for Public Administration and Development Management) to recognize and encourage excellence in public administration. This recommendation was subsequently reflected in the report of the Secretary-General on the work of the Group of Experts on the United Nations Programme in Public Administration and Finance at its fifteenth meeting (E/2000/66) and endorsed by the Economic and Social Council in its decision 2000/231 of 27 July 2000.

As reiterated by the General Assembly in its resolution 57/277 in 2003, "efficient accountable and transparent public administration, at both the national and international levels, has a key role to play in the implementation of internationally agreed goals, including those contained in the United Nations Millennium Declaration, and in that context stresses the need to strengthen national public sector administrative and managerial capacity-building, in particular in developing countries and countries with economies in transition.

Therefore, in line with the above, 23 June has been designated United Nations Public Service Day to "celebrate the value and virtue of service to the community." The Economic and Social Council established the United Nations Public Service Awards to be bestowed on the Public Service Day for contributions made to the cause of enhancing the role, prestige and visibility of public service."

**Box 1**  
**United Nations General Assembly Resolution Establishes Public Service Day**

**General Assembly Resolution (A/RES/ 57/277) of 7 March 2003**

*The General Assembly,*

*Recalling* its resolutions 50/225 of 19 April 1996, 53/201 of 15 December 1998 and 56/213 of 21 December 2001 on public administration and development, as well as Economic and Social Council resolution 2001/45 of 20 December 2001,

*Stressing* the need for capacity-building initiatives aimed at institution building, human resources development, strengthening financial management and harnessing the power of information and technology,

1. *Takes note* of the report of the Secretary-General on the role of public administration in the implementation of the United Nations Millennium Declaration; 1
2. *Reiterates* that efficient, accountable, effective and transparent public administration, at both the national and international levels, has a key role to play in the implementation of internationally agreed goals, including those contained in the United Nations Millennium Declaration, 2 and in that context stresses the need to strengthen national public sector administrative and managerial capacity-building, in particular in developing countries and countries with economies in transition;
3. *Decides* that 23 June will be designated United Nations Public Service Day, and encourages Member States to organize special4. *Expresses its deep appreciation* for the generous offer of the Kingdom of Morocco to host the fourth Global Forum, at Marrakesh, in December 2002; events on that day to highlight the contribution of public service in the development process;
4. *Expresses its deep appreciation* for the generous offer of the Kingdom of Morocco to host the fourth Global Forum, at Marrakesh, in December 2002;
5. *Welcomes* the substantive support that the Secretariat has provided to the Global Forum and invites it to extend such support to any future forums of a similar kind that may take place;
6. *Reiterates its appreciation* for the role that the United Nations Online Network in Public Administration and Finance performs in promoting information sharing and exchange of experience and in building the capacities of developing countries to utilize information communication technologies for this purpose, and reiterates that particular emphasis should be given to the exchange of experience related to the role of public administration in the implementation of internationally agreed goals, including those contained in the Millennium Declaration;
7. *Requests* the Secretary-General to submit a report to the General Assembly at its fifty-eighth session, in the manner he deems appropriate, on the implementation of the present resolution.

**4. What is the overall purpose of UN Public Service Awards Programme?**

The overall purpose of the United Nations Public Service Awards is to recognize the institutional contribution made by public servants to enhance the role, professionalism, image and visibility of the public service (Economic and Social Council decision 2000/231). It can be translated into the following more specific objectives:

- i. To reward service to citizens and motivate public servants worldwide to sustain the momentum of innovation and the improvement of the delivery of public services;
- ii. To collect and disseminate successful practices and experiences in public administration in order to support efforts for improvements in country level public service delivery;
- iii. Through success stories to counterbalance any negative image of public administration, raise the image and prestige of public servants and revitalize public administration as a noble discipline on which development greatly depends;
- iv. To enhance professionalism in the public service in rewarding the successful experiences in innovations and excellence in the public service.

In brief, the Awards aim to:

- Discover innovations in governance;
- Reward excellence in the public sector;
- Motivate public servants to further promote innovation;
- Enhance professionalism in the public service;
- Raise the image of public service;
- Enhance trust in government; and
- Collect and disseminate successful practices for possible replication.

## **5. Who manages the UN Public Service Awards Programme?**

The Programme is managed by the Division for Public Administration and Development Management of the United Nations Department of Economic and Social Affairs.

## **6. What are the eligibility criteria?**

All Public organizations/agencies at national and sub-national levels, as well as public/private partnerships and organizations performing outsourced public service functions, are eligible for nomination. The United Nations Public Service Awards take into consideration a geographical distribution of five regions. In order to level the playing field for nominations received from countries with varying levels of development and income, the following five regions have been established:

Nominations have to be made by another entity than the institution being nominated, i.e. **self nominations will not be accepted**. Eligible nominators include: Government departments and agencies; universities, non-governmental organizations, professional associations, etc. Purely scientific innovations, e.g. in medical or environmental science, do not qualify for the United Nations Public Service Awards.

**Box 2**  
**United Nations Public Service Awards in Brief**

**Who is eligible?** All public organizations/agencies at national and subnational levels, as well as public/private partnerships and organizations performing outsourced public service functions, are eligible for nomination. Self-nominations are not accepted.

**How to apply?** An application form must be completed online at <http://www.unpan.org/DPADM/UNPublicServiceDayAwards/PublicServiceAwardsApplication/tabid/763/Default.aspx>, and only online nominations are accepted. Nominations are due in the fall of each year in one of the six United Nations official languages, namely, Arabic, Chinese, English, French, Russian, or Spanish.

**How are winners selected?** On receipt of the applications, the Division for Public Administration and Development Management pre-selects nominations and shortlists candidates, who are asked to submit additional information, including a cover letter, letters of reference, and supporting documents (e.g., evaluation and audit reports, results of client surveys). Short listed candidates are subsequently considered by the United Nations Committee of Experts in Public Administration (<http://www.unpan.org/cepa.asp>). The Committee advises the United Nations Secretary-General concerning the winners of the Award.

Exceptionally, the 2007 UN Public Service Awards was celebrated at the UN Office in Vienna during the Seventh Global forum on Reinventing Government

**7. What are the categories and criteria for selection?**

The categories and criteria for selection are hereafter described by year. For the years 2003 and 2004, the categories of the awards competed for were:

- Improvement of public service results;
- Improvement of the quality of the public service process
- Innovations in public service; and
- Application of information and communication technology in local government.

For the 2005 awards, the categories have been readjusted to:

- Improvement of transparency, accountability, and responsiveness in public service;
- Improvement of the delivery of services; and
- Application of information and communication technology in government.

For the year 2006, the awards were given in three categories:

- Improving transparency, accountability, and responsiveness in the public service;
- Improving the delivery of services; and
- Application of information and communication technology (ICT) in government: e-Government.

In 2007 and 2008, the United Nations Public Service Awards were given in the following three categories:

- Improving transparency, accountability, and responsiveness in the public service;
- Improving the delivery of services; and

- Fostering participation in policy-making decisions through innovative mechanisms (e. g. utilizing ICT, participatory budgeting, participatory/ social auditing and monitoring, and others).

In 2009, the United Nations Public Service Awards were given in the following four categories:

- Improving transparency, accountability, and responsiveness in the public service;
- Improving the delivery of services;
- Fostering participation in policy-making decisions through innovative mechanisms (e. g. utilizing ICT, participatory budgeting, participatory/ social auditing and monitoring, and others); and
- Advancing knowledge management in government

The readjustment of the categories is a reflection of the thinking process that has been ongoing since the launching of the awards. The focus has been not only on implementing the awards process and ceremony but also on how to make improvements in the Awards Programme itself. The Awards Criteria are the following.

### Category 1

#### Improving transparency, accountability, and responsiveness in the public service

CRITERIA	DESCRIPTION
<b>Promotes transparency</b>	Creates mechanisms to increase the public’s ability to observe, monitor and analyze government decision-making and processes. The mechanisms can be documentary, face-to-face, meetings, and/or electronic.
<b>Promotes accountability</b>	Utilizes documentation in various forms which can serve as evidence of a government’s conformity to legal, procedural and fiscal requirements, and improves processing of complaints and handling of grievances.
<b>Promotes responsiveness</b>	Enhances the monitoring and filtering of public opinion and the views of concerned sections of the community, and includes an obligation to share information and demonstrate openness through consultative mechanisms with the public.
<b>Promotes equity</b>	Extends service delivery to vulnerable groups and/or enables service delivery to a wider population particularly through mechanisms that promote social inclusion relating to gender equality, cultural diversity, the youth, elderly, disabled and other vulnerable populations.
<b>Transforms administration</b>	Involves transformation within a large framework rather than incremental improvements. Innovative methods, tools and techniques, in the context of a given country or region, are applied to themes such as modernization, change of organizational culture, administrative reforms or the overhaul of government service delivery procedures.
<b>Introduces a new concept</b>	Introduces a unique idea, distinctively new approach to problem solution, or unique policy or implementation design, in the context of a given country or region, for transparency, accountability and responsiveness in the Public Service.

**Category 2**  
**Improving the delivery of services**

CRITERIA	DESCRIPTION
<b>Increases efficiency</b>	Streamlines processes, reduces red tape, and improves coordination and other measures increasing efficiency. An increase in efficiency must be supported by quantifiable indicators, surveys, questionnaires, etc.
<b>Provides high-quality service delivery</b>	Provides timeliness, courtesy, access and client-orientation in public service delivery. Includes the availability of government services at times and in ways that are more convenient to the public, speedy processing of applications or claims, reduction in the amount of paperwork and other activities citizens must perform in order to demonstrate compliance.
<b>Transforms administration</b>	Involves transformation within a large framework rather than incremental improvements. Innovative methods, tools and techniques, in the context of a given country or region, are applied to themes such as modernization, change of organizational culture, administrative reforms or the overhaul of government service delivery procedures.
<b>Introduces a new concept</b>	Introduces a unique idea, distinctively new approach to problem solution, or unique policy or implementation design, in the context of a given country or region, for transparency, accountability and responsiveness in the Public Service.

**Category 3**  
**Fostering participation in policy-making decisions through innovative mechanisms**

CRITERIA	DESCRIPTION
<b>Promotes responsiveness</b>	Enhances responsiveness of government to the demands and needs of citizens; favours the inclusion of the views of concerned sections of the community in public affairs; and demonstrates openness through consultative mechanisms with the public.
<b>Promotes participation through new institutional mechanisms</b>	Implements new processes and institutional mechanisms to channel the demands and views of citizens. This may include decision-support systems, government networking, and consultation mechanisms leading to more effective policymaking and implementation as well as holistic and “horizontal” approaches to public service delivery and management.
<b>Facilitates e-Participation</b>	Enables governments – policy makers and public officials – to better interact with the public, particularly individual citizens, and allows citizens, for instance, to better express their needs, participate in and influence policy-making; comment on policy implementation; provide feedback on government services (on and off-line services); and file complaints.
<b>Introduces a new concept</b>	Introduces a unique idea, distinctively new approach to problem solution, or unique policy or implementation design, in the context of a given country or region, for greater participation of citizens in policy-making decisions, particularly the poor.



**Category 4**  
**Advancing knowledge management in government**

<b>CRITERIA</b>	<b>DESCRIPTION</b>
<b>Increases efficiency</b>	Streamlines processes, reduces red tape, and improves coordination and other measures increasing efficiency through the application of knowledge management processes. An increase in efficiency must be supported by quantifiable indicators, electronic surveys, questionnaires, etc.
<b>Provides high quality service delivery</b>	Provides timeliness, courtesy, access and client-orientation in public service delivery. Includes the availability of e-government services at times and in ways that are more convenient to the public, speedy processing of applications or claims, reduction in the amount of paperwork and other activities citizens must perform in order to demonstrate compliance.
<b>Transforms administration</b>	Involves transformation within a large framework rather than incremental improvements. Innovative methods, tools and techniques, in the context of a given country or region, are applied to themes such as modernization through the provision of e-government services, change of organizational culture, administrative reforms or the overhaul of government service delivery procedures and the application of knowledge management processes.
<b>Facilitates e-participation</b>	Enables governments – policy makers and public officials – to better interact with the public, particularly individual citizens, and allows citizens, for instance, to better express their needs through electronic means, participate in and influence policy-making; comment on policy implementation; provide feedback on government services (on and off-line services); and file complaints
<b>Introduces a new concept</b>	Introduces a unique idea, distinctively new approach to problem solution through the application of new knowledge management techniques, or unique policy or implementation design, in the context of a given country or region, for greater participation of citizens in policy-making decisions, particularly the poor.
<b>Promotes accountability</b>	Utilizes documentation in various forms which can serve as evidence of a government’s conformity to legal, procedural and fiscal requirements, and improves processing of complaints and handling of grievances through e-applications.
<b>Promotes transparency</b>	Creates electronic mechanisms to increase the public’s ability to observe, monitor and analyse government decision-making and processes.

**8. Special Award for UNPAN Member Excellence for Knowledge Sharing.**

**Background**

The United Nations Department of Economic and Social Affairs (UNDESA) recognizes the importance of knowledge sharing through the use of Information and Communications Technologies (ICTs), as a driver for the achievement of the Millennium Development Goals. One of the key roles of UNPAN is to help facilitate the sharing of knowledge, experiences and best practices, throughout the world by means of ICTs. Therefore, the Special Award for UNPAN Member Excellence for Knowledge Sharing, was established by UNDESA through the Division for Public Administration and

Development Management (DPADM) to recognize UNPAN Members who exemplify excellence in this area. Though this award is not a part of the UNPSA programme, it is quite important in motivating UNPAN partners to share their knowledge with the global public administration community.

**Special Award**  
**UNPAN Member Excellence Award for Knowledge Sharing**

CRITERIA	DESCRIPTION
<b>Must be an official UNPAN partner organization</b>	This category is open to current UNPAN Partner Organizations only. Please click <a href="#">here</a> to learn more about current UNPAN Partners.
<b>Content contribution on UNPAN</b>	Shares relevant news, documents, events, resources, and contact information in the area of public administration with reference to a respective region.
<b>Good practice with reference to knowledge management and collaboration</b>	Recognizes intellectual assets and values throughout intra-organisational and inter-organisational levels. Senior management supports knowledge sharing, learning and other desired 'KM' behaviour. Promotes knowledge sharing through the UNPAN portal on a day-to-day basis.
<b>Participation in UNPAN workshops, online and offline networking tools</b>	Participates and contributes useful content in UNPAN workshops, UNPAN forums, the UNPAN Blog, UNPAN Wiki and other online and offline tools.

**Who is eligible?**

All UNPAN Members are automatically eligible to receive this award.

**How are the awardees chosen?**

The criteria for recognition are as follows:

- i. Sharing relevant news, documents, events, resources and contact information in the area of public administration on a regular basis.
- ii. Recognizing intellectual assets throughout intra-organizational and inter-organizational levels. Specific indicators include, but are not limited to, senior management support of knowledge sharing, learning and other desired knowledge management behaviour, as well as promoting knowledge sharing through the UNPAN portal on a day-to-day basis.
- iii. Participating and contributing useful content in UNPAN workshops and other online and offline tools.
- iv. Overall performance on knowledge management.
  - Number of documents, news, events, resources and announcements contributed
  - Number of documents in the “Top 200 downloads” as per the UNPAN Progress Reports
  - Number of online training courses the UNPAN Partner has contributed to or was involved in

- Total number of learners registered to the online training courses from the

UNPAN Partner and their feedback about the courses. Activities of UNPAN Partners were assessed quantitatively and qualitatively based on the criteria listed above. The number of submissions, by each Partner to the UNPAN databases were verified for quantitative analysis, while feedback from UNPAN users on UNPAN Partners' contributions were taken into consideration for qualitative analysis. In addition, staff members that work closely with an UNPAN Partner were interviewed in order to complete the qualitative analysis.

After careful consideration by the Secretariat, three UNPAN Partners were selected to receive the 2009 Special Award for UNPAN Member Excellence for Knowledge Sharing.

## **9. What are the main steps of the UN Public Service Awards application process?**

The process of the United Nations Public service awards starts with the announcement of the competition and call for nominations. Then it continues with receipt of the nominations, analysis of the nomination documents, a pre-selection assessment of the nominations, selection of the winners, verification and announcement of the winners, and ends with the celebration of United Nations Public Service Day and the Awards ceremony. The application process consists of two stages.

**Step 1** - An application form has to be completed online in one of the six official United Nations languages (Arabic, Chinese, English, French, Russian or Spanish). The deadline for application is in the fall of each year.

**Step 2** - Upon reception of the applications, the Division for Public Administration and Development Management (DPADM) pre-selects nominations. Pre-selected candidates are asked to submit additional information such as letters of reference, supporting documents (e.g., evaluation and audit reports, results of client surveys), etc. DPADM then shortlists candidates on the basis of the documents provided. The short-listed are subsequently considered by the United Nations Committee of Experts in Public Administration (<http://www.unpan.org/cepa.asp>). After due consideration, the Committee advises the UN Secretary-General concerning the winners of the Awards.

The Committee of Experts on Public Administration (CEPA) is a subsidiary body of the Economic and Social Council (ECOSOC). The Committee, which was established by ECOSOC in its resolution 2001/45, comprises twenty-four experts appointed for four years who serve in their personal capacity. The experts are nominated by the UN Secretary-General, in consultation with Member States, and approved by the Economic and Social Council. For more information on CEPA, click here: <http://www.unpan.org/cepa.asp>

- i. A process of verification and validation is implemented to ascertain congruence between the nomination documents and what happens on the ground.

- ii. The CEPA submits its recommendations concerning the winning cases to the UN Secretary-General for declaration of the winners.
- iii. The winners of the awards are officially announced.

Reviewers assess each nomination according to an evaluation form designed for each category of the Award. This form features certain number of questions, and a mark is given for each question.

## **10. Awards Ceremony on UN Public Service Day**

Winners of the UN Public Service Awards are celebrated every year at United Nations Headquarters on 23 June and awardees are invited to participate in the ceremony. The UN General Assembly, in its Resolution 57/277, designated 23 June as Public Service Day (A/RES/57/277). The UN Public Service Day intends to celebrate the value and virtue of public service to the community; highlight the contribution of public service in the development process; recognize the work of public servants, and encourage young people to pursue careers in the public sector. Since the first Awards Ceremony in 2003, the United Nations has received an increasing number of submissions from all around the world. The Awards Ceremony is also web-cast live through the UN web-site at <http://www.un.org/>

### **The Award**

The Winners of the UN Public Service Awards receive a United Nations certificate of recognition and they are awarded with the prestigious UN Awards Trophy. Please click here to view the certificate and trophy:

<http://www.unpan.org/Events/PublicServiceDayAwards/tabid/1094/language/en-US/Default.aspx>

Information regarding the past Ceremonies of UN Public Service Day is available online at: [http://www.unpan.org/dpepa\\_psaward.asp](http://www.unpan.org/dpepa_psaward.asp) , in the section on public service day.

## **11. Dissemination of information about the awards and winners**

Information about the Awards (including eligibility criteria, and methods of nomination) is widely disseminated among all Permanent Missions to the United Nations, government ministries or other government agencies in charge of public service in Member States, institutional partners of DPADM, United Nations Development Programme Country Offices; UNPAN Regional Centers and the Regional commissions.

The United Nations Public Administration Network (UNPAN) is a useful means for transmitting information about the Awards to the various stakeholders. All relevant documents regarding the Awards are posted on UNPAN web site ([www.unpan.org](http://www.unpan.org)).

The list of UNPAN partners and UNPAN members can be found at the following links: <http://www.unpan.org/discover.asp>

<http://unpan1.un.org/intradoc/groups/public/documents/un/unpan015896.pdf>

An information exhibition about UN Public Service Awards, targeting delegates of permanent missions and other relevant individuals (NGOs, UN staff members involved in the public administration field, etc.) has been organized in the United Nations the day before the 2006 Ceremony. A brochure aimed at increasing publicity about the Awards has been drafted and widely distributed on this occasion. This brochure will be distributed in each international or regional conference, meeting or forum organized by the Division or to which it takes part. To see the brochure, please visit:

<http://unpan1.un.org/intradoc/groups/public/documents/un-dpadm/unpan036263.pdf>

Finally, the Division also requires winners to publicize around them and through the media the Award they received, in order to further promote UN Public Service Day and Awards, to raise awareness of this event among public institutions in their country and to encourage them to apply for an Award. The media coverage could be ensured, for example, through press releases and interviews in magazines, newspapers, etc.

## PART TWO

### The Critical Role of Innovation in Governance and Public Administration to Achieve the Millennium Development Goals



## The Millennium Development Goals

#	GOALS	TARGETS
1	Eradicate Extreme Poverty and Hunger	i. Halve, between 1990 and 2015, the proportion of people whose income is less than one dollar a day ii. Halve, between 1990 and 2015, the proportion of people who suffer from hunger
2	Achieve Universal Primary Education	iii. Ensure that, by 2015, children everywhere, boys and girls alike, will be able to complete a full course of primary schooling.
3	Promote Gender Equality and Empower Women	iv. Eliminate gender disparity in primary and secondary education preferably by 2005 and in all levels of education no later than 2015.
4	Reduce Child Mortality	v. Reduce by two-thirds, between 1990 and 2015, the under-five mortality rate.
5	Improve Maternal Health	vi. Reduce by three-quarters, between 1990 and 2015, the maternal mortality ratio
6	Combat HIV AIDS, Malaria and other Diseases	vii. Have halted by 2015 and begun to reverse the spread of HIV/AIDS. viii. Have halted by 2015 and begun to reverse the incidence of malaria and other major diseases.
7	Ensure Environmental Sustainability	ix. Integrate the principles of sustainable development into country policies and programs and reverse the loss of environmental resources. X. Halve, by 2015, the proportion of people without sustainable access to safe drinking water. xi. Have achieved, by 2020, a significant improvement in the lives of at least 100 million slum dwellers
8	Develop a Global Partnership for Development	Xii - xvii. Separate targets for developing trading and financial systems, addressing the special needs of LDCs, SIDS and land-locked countries, debt sustainability, youth employment, and providing affordable drugs. xviii. In cooperation with the private sector, make available the benefits of new technologies, especially information and communications.

## Chapter Two

### The Critical Role of Innovation in Governance and Public Administration to Achieve the Millennium Development Goals

The eight Millennium Development Goals have been adopted by the international community as a framework for the development activities of over 190 countries in ten regions; they have been articulated into over 20 targets and over 60 indicators.

Ban Ki-Moon Secretary General of the United Nations

#### 1. Introduction

At the Millennium Summit in September 2000, world leaders adopted a set of Millennium Development Goals (listed on previous page) aimed at eradicating extreme poverty and hunger; achieving universal primary education; promoting gender equality and empowering women; reducing child mortality; improving maternal health; combating HIV/AIDS, malaria and other diseases; and ensuring environmental sustainability. Over the past nine years important progress has been made in this effort, and there are many successes that provide catalysts through which further advances can be made. Many challenges still remain, however, demanding immense attention from public administrators and from social scientists in the related fields of economics, political science, and sociology. The economic climate of 2009 has made these challenges even more demanding and effective governance even more imperative to building momentum toward fully achieving these internationally agreed on goals. This publication, *Innovations in Governance and Public Administration: To Achieving the United Nations Development Goals* is a celebration of the successes of the United Nations Public Service Awards (UNPSA) 2009 winners and finalists as we work together toward the 2015 target for achieving the Millennium Development Goals (MDGs).

From its inception in 2003, the UNPSA has provided a course of action for supporting public policy makers and public administrators in addressing challenges of governance in the 21<sup>st</sup> century toward achieving United Nations internationally agreed on goals. The UNPSA provides a process for analyzing, evaluating, and documenting innovation in public administration, and is a resource for identifying and disseminating best practices. The 2009 UNPSA categories included: improving transparency, accountability, and responsiveness; improving the delivery of public services; fostering participation in policy-making decisions through innovative mechanisms; and advancing knowledge management in government. In essence these categories have been somewhat consistent over time, with some flexibility for including additional categories that reflect the ongoing thinking processes of the United Nations Committee of Experts in Public Administration (CEPA) and the UNPSA Team of DPADM.

This chapter is intended to describe the most recent success stories and to communicate best practices and lessons to be derived from each case. Each year, winners and finalists come from the five regions of the world: Africa, Asia and the Pacific, Europe and North



America, Latin America and the Caribbean, and Western Asia. They include a combination of countries with varied social and economic conditions and for each competition the most successful cases come from a variety of social and economic environments. All UN Member States are eligible to have their programs nominated in recognition of their innovative public problem solutions, for trophies of excellence for their contribution to improving public service. Up to 2009, we have recognised eighty-six successful stories coming from forty Member States.

**2. The recipients of the 2009 UNPSA are listed below according to each of the four UNPSA competition categories.**

<b>Category 1</b>			
<b>Improving transparency, accountability, and responsiveness in the public service</b>			
<b>Region</b>	<b>Country</b>	<b>Winner or Finalist</b>	<b>Description</b>
<b>Asia</b>	The Republic of Korea	Office of Waterworks, Seoul Metropolitan Government	Online water assessment system informing residents about the quality of their water
<b>Europe and North America</b>	Canada	Ministry of Community and Social Services, Office of Francophone Affairs, Government of Ontario	French language in key public services to protect the rights of Francophone minorities
<b>Europe and North America</b>	Sweden	Municipal Government of Piteå	Comprehensive benchmarking system to promote dialogue between government officials and citizens in Sweden

<b>Category 2</b>			
<b>Improving the delivery of Public Services</b>			
<b>Region</b>	<b>Country</b>	<b>Winner or Finalist</b>	<b>Description</b>
<b>Africa</b>	The Republic of South Africa	City Health, Metro District Health Services and TB/HIV Care Association, Cape Town	Layered staffing arrangements to to strengthen public clinics capacity for TB/HIV Care
<b>Africa</b>	Zambia	Itezhi Tezhi District Health Office	Integrated Mobile Community Voluntary, Counseling and Training other Health Services
<b>Asia and the Pacific</b>	Thailand	Maharaj Nakorn Chiang Mai Hospital	Improving medical services through collaborative networks
<b>Europe and North America</b>	Slovenia	Ministry of Public Administration	e-VEM, One stop company registration services
<b>Western Asia</b>	Egypt	Ministry of State for Administrative Development	e-Tanseek, online university enrollment system
<b>Western Asia</b>	Oman	Directorate General of Civil Status, Royal Oman Police	A state-of-the-art system designed to store and retrieve data through the Civil Register

<b>Category 3</b> <b>Fostering participation in policy-making decisions through innovative mechanisms</b>			
<b>Region</b>	<b>Country</b>	<b>Winner or Finalist</b>	<b>Description</b>
<b>Asia and the Pacific</b>	India	Water and Sanitization Management Organization (WASMO) Government of Gujarat	Institutionalization of community managed drinking water supply programme and user level water quality monitoring
<b>Asia and the Pacific</b>	The Republic of Korea	Seoul City's Oasis, Seoul Metropolitan Government	Online portal to engage citizens in government decision-making

<b>Category 4</b> <b>Advancing Knowledge Management in Government</b>			
<b>Region</b>	<b>Country</b>	<b>Winner or Finalist</b>	<b>Description</b>
<b>Europe and North America</b>	Poland	National School of Public Administration (KSAP)	Adequate and responsive training to reform public sectors

### **3. 2009 UN Public Service Awards winning cases**

#### **1. Improving transparency, accountability, and responsiveness in the public service**

Often corruption resulting from uneven distribution of available resources and can lead to disrupting social peace. Perceptions of corruption in government and public administration can be politically destabilizing. On the example of the three cases described below that were awarded for accountability, transparency, and responsiveness, it is re-emphasized that these three areas are major concerns for successful development and provide essential building blocks for maintaining trust in governance. Customarily, the public looks to its government for solutions during periods of crisis, but what is desirable and necessary, is to build and sustain relationships of trust and trustworthiness between citizens and government also in times of peace. Government access to public opinion can have significant results in empowering government to be more responsive and to engender greater trust. Engaging citizens also facilitates educational processes that enable them to have more active and constructive roles in governance. The cases outlined in this section demonstrate especially the use of Information and Communications Technologies in this regard. These comprise on-line interactive systems that facilitate citizen satisfaction feedback and information sharing. Other effective methods for improving transparency, accountability, and responsiveness include the following: media, elections, redressing grievances, and establishing advisory committees.

i)

## **Establishing an online water assessment system informing residents about the quality of their water in the Republic of Korea**

### **2009 Category 1 Winner**

On and Off-Line Real-Time Water Quality Opening Services  
Office of Waterworks, Seoul Metropolitan Government  
Republic of Korea

#### **Description**

The Office of Water Works, Seoul Metropolitan Government improved its transparency and accountability by offering citizens online access to real-time water quality monitoring services, and off-line, complimentary door-to-door visits from trained water quality inspectors.

#### **Summary**

Innovative access to water quality assurance and verifications services allowed for more efficient water resources management, and for the application of standardized water purification methods. Citizens are now demonstrating greater trust in the public water supply services indicated by a twenty percent increase in tap water consumption trends over a seven year period. More citizens are choosing tap water as a major source of drinking water and at the same time enjoying an economic benefit from not needing to purchase bottled water and self service water purification products for use in their commercial and residential water storage units. Government is also a beneficiary. By achieving economies of scale from the rise in consumption, Seoul Water Works Office is in a better position to stabilize their supply to both domestic and industrial consumers through investing in best practices to maximize water conservation.

#### **The Problem**

Water is a key commodity in the Republic of Korea. Rapid economic growth and expansion of the manufacturing sector toward the end of the twentieth century demanded unprecedented increases in water supply. In the last decades, due to industrialization and urbanization, both domestic and industrial water consumption more than doubled. Consequently, Korean government officials became sensitized of the need for greater attention to effectively analyzing their water supply issues. One such issue was the widespread uncertainty among citizens of the capital city Seoul over the quality of their tap water, and with no direct way of verifying its cleanliness and safety; they resorted to purchasing high volumes of bottled water and relying on self service water purifiers, which presented an additional economic burden. As a result of this, unsafe underground water processing developed, leading to the waste of water resources. Furthermore, due to the imprudent belief in self service water purifiers among citizens, modest maintenance of these exposed them to polluted drinking water, posed a health threat and contributed to intensifying their suspicion over the public tap water supply service.

Seoul has over 10 million inhabitants (2.6 million households), who are provided with six drinking water treatment plants with a total production capacity of 5.4 million cubic meters of finished water. The total length of distribution pipe in the city is approximately 13,943 kilometers. Seoul Water Works Office has supplied clean and safe drinking water to citizens over the last century, since it began waterworks service in 1908, contributing to the advancement of waterworks in Korea as well as to public health and wellbeing. It began pumping out tap water in 1908 but most of the waterworks infrastructure including water purification plants and distribution reservoirs were destroyed during the Korean War in the 1950's.

While today the Seoul Water Works Office treated water meets the national water quality standards set forth by the Korean Ministry of the Environment, as well as all 155 quality inspection items recommended by the World Health Organization, and additionally, they have acquired the International Standards Organization 14001 Certification, many commercial and residential facilities in the city have indoor water storage systems and it is well documented that the water can deteriorate standing in customers' water storage systems that are not appropriately maintained. The challenge facing the Seoul Metropolitan government was two-fold: first, to enhance the reliability of its services by systematizing direct water quality consultation, inspection and certification to each customer's water storage facility, and secondly, to engender their overall trust in the city's administrative and tap water supply services.

### **The Solution**

Two strategies were proposed and implemented by Seoul Water Works Office between 2001 and 2008, toward optimizing water supply services, and improving citizens' trust in the tap water supplies. First, the implementation of a free door-to-door water quality verification service for all Seoul residents (Arisu Quality Verification System), and secondly, the implementation an online portal offering immediate access to information on the quality of water being pumped to individual pumping stations in various districts (Seoul Water-Now System).

The Arisu Quality Verification System was implemented over a seven year period with trained water quality inspection agents visiting about 60,000 locations annually providing free, tap water inspections. From 2008 to 2010, the Seoul Water Works office projects that these services will increase tremendously, toward realizing their target of inspecting all 2.6million households in Seoul. Already for 2008, water quality verification inspections were completed for 680,000 residences and they expect to complete a further 1.92 million inspections by 2010. "Good to Drink Seoul Arisu" certificate stickers are used to confirm and promote recognition of water quality.

Criteria for tap water inspections include testing content levels in stored water, of the following: iron, pH (a measure of the relative acidity or alkalinity of water), copper, residual chlorine, and for turbidity. Indoor pipes are also inspected and replaced as required. Failure of the first quality test necessitates further in-depth testing procedures based on broader criteria including tests for coliforms (bacteria from human, animal or

bird waste, as well as from plant materials and paper pulp). Tests for coliforms are economical, quick and reliable.

In order to create a more favorable impression of Seoul's city water and to promote their image as suppliers of safe and healthy water, Seoul Water Works Office filed and registered the trademark "Arisu" as a major marketing venture. The Korean word "Ari" means "big", and the Chinese letter "Su (水)" means "water". "Arisu" was the name of the Han River during the Goguryeo Dynasty from 37 B.C. to 614 A.D., and symbolizes an important period in Korean history.

In the basic plan to establish the Seoul Water-Now System, about 4.8 billion KRW (South Korean won) were invested over a five year period beginning 2005, and by March 2008, citizens could access real-time online information on the quality of their water. Details were available from a total of seventy-two locations, including six intake plants, six water purification plants, and sixty points along water supply routes. Checks could be made for levels of turbidity, pH, and residual chlorine, temperature, and electric conductivity.

Expectation that implementing these two services would foster citizens' overall trust in the city's administrative and tap water supply services were met, as tap water consumption levels by residents in the city of Seoul soared by twenty percent. The benefits from this are shared by both the Municipal Government and citizens. The increased volume in consumption of tap water allows the supplier to realize economies of scale and thereby becoming better stewards of the public funds by reduce their production costs. Citizens have the additional economic benefit in saving the costs of purchasing bottled water, and water purifiers. The ultimate benefit is the preservation of health.

Securing adequate funds and manpower were the main obstacles to implementing these initiatives. However, the Seoul Office of Water Works was able to overcome this due to larger revenues from increases in consumption rates, by capitalizing on water conservation through preventing water leakages, and from reducing production costs by downsizing the administrative office. These measures lead to greater efficiency, higher levels of productivity and employment opportunities with the training and hiring of more quality inspection agents. In total 15 billion KRW were allocated to cover working expenses of the Arisu Quality Verification System project (2001-2010) and 4.8 billion KRW were allocated to those of the Seoul Water-Now System initially, for the period from 2001 to 2005. An additional 1.4 billion were allocated to this for 2008 to 2009. Forty thousand man-hours were budgeted for the quality inspection agents annually.

### **Lessons Learned**

Securing and maintaining trained and qualified professionals to function as quality inspection agents would necessitate the development of systematic and continuous education programs. Seoul administrators recognized that this would be critical in order to sustain the Arisu Quality Verification System. This illustrates the importance of implementing ongoing human resources development programs for public sector

employees through continuous and appropriate education programs. It also facilitates succession planning and in a very practical way contributes to maintaining a competent contemporary workforce to enable the municipal government to respond to the needs of its citizens.

Citizens' direct consultation with quality experts was also an important educational process to inform them about water composition and water quality maintenance. Explaining the significance of water purity tests, the results and necessary follow up action based on the test implications, also contributes to building citizens' confidence in their government by reassuring them of the expertise at their disposal, and indeed it contributes to building their trust, and reliance on the overall safety of the Seoul Water Works supply system.

Educating citizens about interpreting tests for water composition and quality also provided the orientation required for utilizing the on-line Seoul Water-Now System service. The success of public programs may be strongly influenced by citizens' ability to access them in a meaningful way. In the case of the Seoul Water-Now System, citizen access was critical to its effectiveness. It is also well recognized that informed citizens can contribute to improving government performance. Educating citizens about this critical issue paves the way for their interest in participatory governance as a meaningful experience. It establishes a premise for similar relationships related to other forms of public service delivery.

This case is an example of government acting directly to demonstrate interest in the wellbeing of individual citizens and their families and at the same time addressing an issue of overall national importance as it relates to the stewardship of tax revenues and to industrial development and economic growth. The On and Off-line Real-time Water Quality Opening services has enabled the municipal government to both connect with their citizens as well as to maintain that connection.

### **Transferability and Replicability**

If these methods are implemented in other regions of Korea and other parts of the world they can contribute to increasing the availability and consumption of pure drinking water as well as contribute to controlling the waste of the world's water resources. The following five tips provided by the Office of Waterworks, Seoul Metropolitan Government can be useful toward improving water quality:

- Water storage tanks and pipes should be checked by quality inspectors monthly
- Water storage tanks should be cleaned twice monthly
- The level of water stored should be kept at the lowest possible point
- Out dated internal and external pipes must be replaced with resistant stainless steel pipes.
- Roof-top water storage tanks should be moved indoors. If this is not possible, the construction of sunscreens and insect screens is highly recommended.

## Contact Information

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ii)

## Developing a comprehensive benchmarking system to promote dialogue between government officials and citizens in Sweden

### 2009 Category 1 Winner

Citizen Satisfaction Based Benchmarks for Steering and Guiding Municipal Activities and Services, City of Piteå, Sweden

### Description

Political and administrative leaders of the Municipality of Piteå initiated a citizens based model driven development approach for the city to better connect municipal activities with citizens' needs and quality expectations. The "Steering and Guidance Model" comprised citizens' collective vision for the city, strategic areas for municipal focus, and related goals with accompanying citizens' survey instruments that provided for analyzing, evaluating, benchmarking, prioritizing, and reporting on the delivery of public services.

### Summary

Together, the politicians and civil servants in the City of Piteå introduced a series of programs to engage residents on civic issues, primarily to decipher their vision for the city and to devise from it strategic areas of focus with related goals, and to measure citizens' satisfaction with the quality of public services. Discourse involving citizens was central to program development and implementation. This was achieved through, conferences, surveys, a municipal newspaper, and a website that allowed for citizens' input and information. The public policymaking process is now more responsive to citizens needs and expectations and programs are more goal oriented with citizens participating actively in both goal-setting and performance assessment. Piteå has become one of Sweden's leading municipalities in using benchmarking as a platform for citizen engagement and to provide the framework for change management and program impact assessment.

### The Problem

Citizen participation in government and their involvement in urban development decision-making processes were very limited in the City of Piteå, offering little insight to

government leaders and administrators regarding the extent to which citizens were satisfied with the way the municipality was performing and with the quality and accessibility of public services. Similarly, the officials of the Municipality of Piteå also had relatively little awareness of the results achieved with respect to performance assessment and citizen satisfaction.

As would be expected, citizens could not derive the full benefit of active involvement in steering and guiding the activities of the municipality or from keeping abreast of issues related to public policy decision-making, quality expectations and standards, and public service delivery in general that dialogue with their leaders and representatives would accommodate. Neither the municipality nor its constituents were taking advantage of such opportunities to engage each other toward establishing shared developmental and performance goals, or toward building strategic alliances on matters related to governance, in particular those of most importance to residents.

### The Solution

This initiative comprised three specific areas of concentration, as follows: 1) developing a model for steering and guiding municipal activities built around citizens' collective vision for the city; 2) inviting and facilitating citizens' participation and input in the decision-making processes that would shape municipal activities in terms of program development, quality improvements, and budgetary allocations; and 3) sustaining dialogue with citizens in general that would enable municipal leaders to be more responsive. It commenced with a series of conferences with Chairmen of governmental committees and boards, and administrative heads. A full-time municipal strategist was recruited internally and appointed to coordinate the activities, but to a great extent the municipal office advanced the project within existing budgetary and personnel frameworks with the view that this laid the foundation for collaboration and efficient implementation. In practice, this involved a personnel newspaper, training, a Heads forum, work leader meetings, and goal formulation as the initial focus of planning processes.

### Vision for Piteå

Capturing citizens' vision for their city was the first step in charting a citizen-based plan for Piteå. In the initial stages the main objective of the public conference forums was to bring stakeholders toward achieving a shared vision for Piteå. Municipal leaders recognized that this would give citizens the feeling of ownership in their city's future and foster shared responsibility for its realization. Along with identifying citizens' vision for the city, the officials of the municipality also discussed and reached agreement with the citizens about strategic areas of focus, and related goals that would bring about the desired changes and outcomes in Piteå.

Consensus revealed a simple and concise vision for the city, "*Piteå – makes you feel like home*", which was considered easy to learn, and to remember. The idea of the city as a home can be interpreted as the expression of the need to belong, to settle, and to feel safe and secure in the urban environments. The policies of inclusion that followed were right on target for realizing such a vision by maintaining dialogue among citizens and with



their leaders that led to developing a steering and management process. The dialogues contained four perspectives: 1) information; 2) consultation; 3) participation; and 4) influence.

### **Steering and Guidance Model**

The Steering and Guidance Model was jointly initiated by leading politicians and civil servants. It was designed to facilitate cost benefit analysis of municipal activities at the Municipal Council level in relation to general municipal goals toward realizing the shared vision for Piteå. These areas of activity were as follows: children and young peoples, education, training and work, democracy and openness, maintaining a safe living environment, personnel, and the economy. Goal realization was measured on a four-point Likert type scale from 1) goal not achieved; 2) goal fairly well achieved; 3) goal substantially achieved, to 4) goal completely achieved. At a level of delegated committees, appraisal of public services was focused on goals and key ratios aimed at controlling operations in line with a shared vision for Piteå. The general goals were broken down into specific program activities and related performance and quality indicators. Analysis of these was based on a ratio of tax expenditures and citizens' satisfaction. Citizens' satisfaction was operationalized as dimensions of perceived quality focusing on public services in terms of accessibility, ability to stimulate civic engagement, community development, operational efficiency, and safety.

### **Citizens' Participation and Input in Decision-making Processes**

Citizens' participation was realized at several levels of the community: at the political and administrative levels; among delegated committees of community representatives; and among individual citizens. Broad participation of politicians and civil servants contributed to developing a widespread sense of responsibility, both with respect to the overall holistic perspective, and to particular individual activities.

Utilizing common formats and documentation for municipal planning processes facilitated understanding and comparison among the various activities involved in the complex process of prioritization that politicians follow as part of in their decision-making activities, for example, the process of justifying budgetary allocations and expenditures. This consistency contributed to adapting and establishing administrative routines in various organizational divisions that facilitated quality assessment from a holistic perspective, measuring public policy success according to important "values" that apply to all types of program activities. To be able to inform citizens about how the municipality succeeds in its work, Piteå participated in "The quality of your municipality in brief" network that focused on producing measurements of "values", in terms of accessibility, efficiency, participation, a safe place to live and settle, and social structure. Designing and evaluating public policy according to citizens' values provided the basis for politicians' and civil servants' dialogue with citizens.

Participation by citizens' occurred, through presentation of their complaints, proposals, and views to the municipality to inform decision-making. In order to reach all citizens, Piteå's municipality also developed dialogue with young people, and various groups through councils, for example, councils of retired people, school councils, rural policy

councils, councils of the disabled and councils in which associations or business people participate. Participation in networks with other municipalities led to opportunities of comparing quality measures in various activities with other municipalities. The committees continuously received information on outcomes and on follow-ups, and together with the administration heads, were responsible for the results informing other program activities, and in the long term shaping new activities.

### **Dialogue with Citizens**

Municipal leaders focused on providing information to residents by explaining and describing what exactly they derived from paying taxes. They believed that it was important for citizens to be able to access information about how efficiently tax revenues were being used and what qualitative results were being achieved in terms of creating a desirable community to live in. Such information was placed on the municipality's website, on a "Results and Quality" page. It was also distributed via the municipality's information newspaper called, "Worth knowing about your municipality". The newspaper was distributed to all households, and during 2008 circulation increased to two issues per year. Quantitative information was also distributed through these channels and that information reflected analysis of the data collected through consultation with citizens.

Consultation with residents occurred directly, and through customer and citizen questionnaires, study circles, and citizen panels. These consultations enabled municipal leaders to approach citizens on particular issues and to derive feedback. In order to reach all citizens, Piteå developed a special program for building dialogue with Piteå's young people. It was launched late in 2007 via the municipal website. The program entitled "Young people in Piteå think" offered space for young residents to share their opinions, especially on matters directly affecting their lives in the city. Two other online projects were introduced to invite their participation in advisory roles to city officials, in order to encourage them to involve themselves in their communities and to participate in urban affairs from an early age. In addition to the programs for dialogue with young residents, specific councils were set up to liaise with various groups, for example, councils of retired people, school councils, rural policy councils, councils of the disabled, and councils in which associations or private businesses participate.

The activities described here facilitated citizens' influence in public affairs important to them, as individuals and as members of community groups, various types of organizations and private businesses. Web-base reports and the municipal newspaper were essential tools for offering the citizens feedback on how their opinions were impacting municipal activities, and in particular, the decision-making processes. This feedback, in sum, was central to achieving the inclusiveness desired by citizens in their expressed desire for a Piteå that makes them feel at home.

### **Challenges**

Two major noteworthy challenges were, first, making all results from the various surveys visible in one place and easily accessible for both employees and citizens, and secondly, managing the costs of networking and disseminating information about

activities. Setting up a municipal website was one way to address both issues. The Swedish Association of Local Authorities and Regions (SALAR) were especially supportive by managing a network where Piteå participated with other municipalities in publishing survey results. The network constituted the basis for comparing the municipality's quality measures with those of other municipalities. Piteå's municipal commissioner was active in this initiative.

Although the project was advanced within existing budgetary frameworks at a total of SEK 100,000 per year, the Networking costs demanded careful management and working in networks together with other municipalities involved the costs of working overtime and the expenses of the air travel and hotel accommodation. The cost of expanding the circulation of the information newspaper to all households and to two issues per year also occurred within the existing budget. But, the increased amount of information on the municipality's website falls within the framework of normal work assignments of information employees and web administrators.

### Lessons Learned

The Piteå initiative presents five important lessons for public administration, as follows:

- 1) The value and importance of formulating goals from the point of view of the citizen- The processes and experiences associated with designing and implementing the Steering and Guidance Model for the City of Piteå emphasized the lesson that the municipality exists for the citizens. Clear influence and insight into the municipal activities are important prerequisites for achieving legitimacy. Citizen engagement can be constructive in gaining public sector legitimacy and at the same time citizen satisfaction. Engaging citizens contributed to achieving unified focus in designing and implementing public policy by improving transparency and insight. By connecting public spending with quality, residents of the municipality gained a better understanding of what they received for their tax money.
- 2) Dialogue with citizens is an important aspect of municipal governance and the story of Piteå provides learning examples of how this may be achieved through hosting conferences to provide for building forums, through a municipal newsletter, an interactive website, and citizens' surveys.
- 3) For dialogue with citizens to become a natural part of life among residents in a municipality it should be encouraged as early as possible. In Piteå developing opportunities for young people and among young people received special attention. The choice of a web-based program for this was also well strategize to be appealing to them.
- 4) Measuring public performance according to important civic "values", led to strengthening political relationships their views became the basis for budgetary allocations. For example, in the 2009 budget, extra funds have been allocated for such things as extra personnel for the care of disabled and elderly people, funds for provision support, funds for meeting places and public transport in accordance with the wishes of young people.

- 5) Broad citizen participation in developmental activities can pave the way for smooth transition in policy development and implementation. The case of Piteå demonstrates how citizen participation contributes to change management through cooperation and a shared vision for the future.

### Replicability and Transferability

These developmental activities were conducted continuously with progressive changes in normal work and administrative routines, which indicate that they are sustainable and will continue to change and be refined for many years to come. Politicians, civil servants and citizens have gained new knowledge and learned new routines and working methods which will continue. Those documents which are included in the municipality's planning process have been adapted to the new steering model.

The Municipality of Piteå has been nationally recognised for its work with steering and guidance. Representatives of the municipality have participated in a number of national conferences as lecturers. The Municipality of Piteå has also participated as lecturer in The 5th Quality Conference in Europe which commenced in Paris under the theme of citizen dialogue in 2008. The municipality's quality strategist is working as required on assignments for the Swedish Association of Local Authorities and Regions (SALAR). The Municipality of Piteå is also receiving study visits from other municipalities and participates upon request in internal conferences in other municipalities.

Considering the local and regional success of this initiative, its design and implementation may inspire others. The municipal leaders of the city of Piteå learned that in development projects many factors must interact for them to become effective. They identified five such factors as key to developing a citizen-based model for steering and guiding municipal activities, as follows: 1) identifying citizens' vision for the city with strategic themes; 2) focus areas and related goals; 3) achieving broad participation and joint responsibility among official actors; 4) developing dialogue with citizens and making information more accessible to them, promoting insight and participation in the activities of the municipality; 5) continuously providing official committees with information on the results of various follow ups and dialogues with the citizens and annually providing the Municipal Council with summaries of the results of citizen surveys.

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iii)

## **Ensuring French language in key public services to protect the rights of Francophone minorities in Canada**

### **2009 Category 1 Finalist**

French-language Services Excellence (FLEX)

Ministry of Community and Social Services with responsibility for the Office of Francophone Affairs, Government of Ontario

### **Description**

The Office of Francophone Affairs (OFA) is the Ontario Government's main source of expertise on Francophone affairs and French-language services. Over the past three years, in recognition of the lack of awareness of the needs of the French-speaking community in terms of access to public service delivery, OFA initiated a comprehensive strategy to raise knowledge and awareness of Francophone rights through the successful implementation of initiatives, promoting the increased accountability of ministries regarding the planning and delivery of quality French-language services.”

### **Summary**

Throughout nearly 400 years, Francophones have played a key role in Ontario’s overall development. Their contribution to the social, cultural, political and economic sectors of Ontario, the most populated province in Canada, has been recognized with the adoption of several acts, including the French-language Services Act in 1986. The OFA is the Ontario Government's main source of expertise on Francophone affairs and French-language services. Over the past three years, in recognition of the lack of awareness of the needs of the French-speaking community in terms of access to public service delivery, OFA initiated a comprehensive strategy to raise knowledge and awareness of Francophone rights through the successful implementation of initiatives, promoting the increased accountability of ministries regarding the planning and delivery of quality French-language services.

### **The Problem**

OFA was created to ensure that Francophones’ concerns could be heard and addressed, and that ministries respect the French-language Services (FLS) Act requirements. Over the years, however, the proportion of the Francophone population declined to approximately 600,000, or a little over 5% of the total Ontarian population. This demographic decline resulted in a parallel decline in accessibility and/or quality of FLS from provincial ministries.

This trend is very problematic from many perspectives. From a public service perspective, the government is at risk of being challenged in the courts by Francophones. A recent case resulted in a landmark decision in favor of Francophones’ rights, and government must now be more alert to such concerns. From a community perspective, the rarefaction of FLS typically increases the assimilation rate, which further exacerbates the issue. From an individual perspective, the inability to receive services in your own

language in your own country is always frustrating, and can sometimes be tragic. Research indicates that people in general, and seniors in particular, tend not only to revert to their mother tongue in times of stress, but also to cease understanding or processing their second language correctly, assuming that they have one. As a case in point: a Francophone senior was rushed to the emergencies in 2008; she could not communicate in French at the Hospital to explain her condition or answer the doctors' questions. Tragically, by the time a translator arrived, her condition had taken a turn for the worse and she eventually passed away as a direct result of lack of FLS.

The protection of minority rights is at the very core of our democratic societies. Whether we refer to linguistic, cultural or religious minorities, governments tend to face very similar challenges of limited resources, lack of awareness, poor accountability mechanisms, public indifference, or worse, resentment from some the groups from the vast majority of society.

With a staff capacity of 20, and very limited resources to influence the 26 ministries forming the provincial government, the OFA's ongoing challenge is to strategically leverage its policy initiatives to ensure maximum impact and sustainability.

### **The Solution**

To address this challenge, the OFA developed a multi-pronged strategy based on three interconnected initiatives, as follows:

1. Design and implementation of an innovative accountability framework for FLS ("FLS Performance Measurement Framework");
2. Creation of an innovative and award-winning leadership program for bilingual staff ("FLEX"); and
3. Development of a new online Compendium of effective FLS practices ("Compendium").

Combined, these initiatives have allowed the OFA to create a new community of practice among bilingual staff, and to raise awareness levels about FLS across government, while embedding new accountability expectations in the annual Result-based planning (RbP) exercise led by the Ministry of Finance, and providing new resources to support ministries. This low-budget approach continues to prove very effective in Ontario, and would translate easily to other policy-settings focusing on the protection of minority rights.

The OFA strategy has proven effective and beneficial on three complementary levels: strategic, tactical and technical.

**On a strategic level**, the FLS Performance Measurement Framework identified four "pillars" to support the vision for enhanced and improved FLS across the Ontario Public Service (OPS), as follows:

1. “FLS Knowledge and Awareness of the public and of public service staff”;
2. “FLS Capacity”, which pertains to ministries’ capacity to mobilize the resources (human, material, financial), in order to serve the public in French;
3. “Francophone participation”, which includes consultations, focus groups, engagement strategies and the creation of FL committees for example; and
4. “FLS integration”, which stresses the importance of factoring FLS considerations at the onset of any new policy or program making process, and is often key to help mitigate the risks of FLS-related complaints or litigations.

This approach has resulted in a number of key benefits, including an increased accountability standard for FLS across the OPS, and the FLS Performance Measurement Framework received an Excellence award at the Public Service Quality Fair in 2007.

**On a tactical level**, the French-language Excellence program (“FLEX”) received the Amethyst Award in 2008, the highest recognition of excellence given by the Premier of the province. FLEX is the first leadership training program developed and offered in French to bilingual staff from all ministries. FLEX was designed to have a transformative impact on the government by building on the personal skills of the participants, and by fostering the emergence of a new community of practice amongst bilingual staff in the OPS.

**On a technical level**, the Compendium is an interactive databank of exemplary FLS practices (templates; translations; presentations; lists of contacts; public engagement/consultation strategies; etc.). This client-centered application represents a great source of ideas, expertise and contacts for Ontario public servants who are interested in ensuring or improving the quality of FLS.

The credit for this comprehensive long-term strategy is shared between the policy team of the OFA, staff from other ministries who supported the three initiatives, and senior-management who provided the political leverage required to trigger change at the government level. The actual design and implementation of the three initiatives was led by OFA’s Strategic Policy and Research Branch Director, Eric Mezin, and his staff: Janine Charland for the Performance Measurement Framework; Genevieve Brouyaux for FLEX; and Louise Gagnon and Caroline Oriol for the Compendium.

The FLS Performance Measurement Framework had to begin modestly, so as to keep resistance to change from ministries at manageable levels. The OFA Policy team started by developing a broad FLS accountability framework, which was first endorsed by the OFA Minister’s Francophone advisory committee. This endorsement enabled the OFA to approach next the Ministry of Finance to suggest that an environmental scan of FLS across ministries be conducted.

Similarly, FLEX started as a modest pilot project, co-sponsored by the OFA and the central agency responsible for all training and development projects in government, the Centre for Leadership (CFL). The objective was to enlist the support of all ministries for the initiative, so that one bilingual staff per ministry could participate. With each year,

the numbers of FLEX participants grew to form a new community of practice amongst bilingual staff. This community, in turn, would help by sharing effective practices, providing networking opportunities, helping to fight feelings of isolation (the Ontario Public Service counts about 4,000 bilingual positions out of a 67,000 workforce), and spreading key messages about FLS across ministries.

The Compendium was designed by the policy team, developed by the Ministry's information technology team, and populated by the practices and resources of FLS coordinators from all ministries. A very low-budget initiative – essentially a clever interactive databank hosted on the OFA Intranet – the Compendium received only praises from ministries and is still growing from new contributions received from ministries.

### **Lessons Learned**

Challenges faced during the planning and implementation stages proved to be opportunities for learning. They were centered mainly on limited resources, managing innovation, and securing high level support.

The main challenges were limitations in OFA financial and human resources, FLS resources in the ministries, and interest regarding FLS in government after over 20 years of progressive apathy and stagnation. At the time of the 20th anniversary of the FLS Act, OFA had become a marginalized organization with little or no influence over ministries' ability – or willingness – to factor FLS into their day-to-day operations and long term policies. A combination of factors was used to overcome these. First of all, the timing was right, as the 20th anniversary raised the Minister of Francophone Affairs' expectations and provided a unique opportunity to secure new resources for OFA. New leadership at OFA also gave a clear impetus to the policy team's creativity.

Being innovative is always essential but rarely enough, but having the capacity to be “strategically” innovative by linking projects and initiatives, creating a momentum of transformation, and continuously communicating the vision behind each initiative, combined with a high threshold level for frustration, a great sense of humour and an even greater passion for the public service, are really what helped make this initiative a success.

Success also entails having the ability to proactively, creatively, and sometimes aggressively seek the support of “champions” to leverage good ideas into strategic priorities first and operational success next. OFA aggressively sought the support of “FLS champions” at the highest levels across the OPS, from the Secretary of Cabinet to several Deputy Ministers, who agreed to support the OFA's initiatives. The OFA strategic communications team also played a key role in raising the profile of the work done by the policy team. It is always best to share the credit of a successful enterprise with many, than to own a mediocre product all alone.

### **Transferability and Replicability**

At the end of this section is a chronology of key implementation strategies for the three initiatives. All three strategies, and therefore the entire initiative framing them, are both



sustainable and transferable. From a financial perspective, they have either no ongoing costs, or can be self-sustaining through user-fees.

Based on the value added to more responsive public service, the initiatives have demonstrated their potential to be sustained as well as grow in scope and influence with each passing year. The FLS Performance Measurement Framework will actually be adapted and extended beyond ministries to include transfer payment agencies providing FLS in Ontario.

These initiatives are also being shared with other provinces with commitments to Francophone populations in Canada. These include Manitoba, New Brunswick, and the federal government of Canada. They could certainly also be adapted to other governments seeking to better secure minority rights. The OFA would be happy to share all resources and expertise in response to requests, particularly – but not exclusively – with countries where French is spoken by some of the population.

### **Chronology of key implementation strategies**

French Language Service Performance Measurement Framework:

- June 2006: Research & development of a framework
- Sept. 2006: Consultation of key stakeholders (ministries; subject matter experts; community representatives)
- October 2006: Formulation of options and recommendations to senior management and the Minister
- November 2006: Presentation to the Minister of Finance
- February 2007: Environmental scan (design; communication strategy; roll-out; evaluation and analysis of results)
- May 2007: Analysis of results (both at the corporate and ministry levels) and formulation of recommendations
- June 2007: Inclusion of the framework into the RbP annual process
- Ongoing liaison with inter-ministerial performance measurement committee

French Language Service Excellence – FLEX:

- Summer 2006: Development of the concept and senior management approval
- Spring 2006: curriculum design in liaison with the CFL
- Fall 2006: roll-out of communications strategy to invite ministries' participation
- Winter 2006: first FLEX session (5 days)
- 2007: evaluation and organization of the second FLEX session 2008: ongoing

Compendium of effective French Language Service practices

- Summer 2006: Development of the concept and senior management approval
- Fall 2006: liaison with FLS Coordinators and IT team to develop and populate the application
- Summer 2007: Compendium is launched and operational

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## **2. Improving the delivery of public services**

Innovation in service delivery to the public has been to a large extent the domain of the private sector in their competition for market share, aimed toward creating new reasons for public purchasing. The public sector rationale for innovation is otherwise motivated, as shown by 2009 UNPSA award winners and finalists in the category of improving the delivery of public services. To keep pace with citizens' needs and expectations in challenging and dynamic environments, public policy decision-makers and public administrators cannot simply rely of previously employed policy tools and administrative systems and are constantly challenged to innovate. Adding to this is the abundance of new technologies that provide for cost effectiveness and efficiency, which are imperatives in many developing contexts. Incorporating them into public service delivery is new territory for public administrators and often includes the need for incentives to encourage their use among citizens. The following three of the six cases in this category demonstrate the use and importance of Information and Communications Technologies: Egypt, Oman, and Slovenia. The other three, as follows, are good examples of problem solving in health administration: the Republic of South Africa, Thailand, and Zambia. These cases demonstrate innovativeness in combating disease by improving access to and utilization of health services.

i)

### **Improving the Tuberculosis cure rate by bringing a new layer of staff to strengthen public clinic's capacity in the Republic of South Africa**

#### **2009 Category 2 Finalist**

City Health, Metro District Health Services and TB/HIV Care Association, Cape Town, the Republic of South Africa

#### **Description**

Chronic Tuberculosis has been a consistent problem in South Africa, particularly in poor sub-districts of Cape Town where budget constraints and heavy demand for treatment along with lack of skilled health officials resulted in poor treatment outcomes. The main challenge, therefore, was twofold: to provide support to clinic staff and to increase the TB cure rate. This initiative has succeeded in reducing the treatment default rate, increasing the TB programme performance and has provided formal employment to vulnerable segments of local communities. The programme has also forged ties between the government and the community, particularly through the active partnership of TB Care Association, a Non-Governmental Organisation with a long history in the sector.

#### **Summary**

The Administrative Support for the Tuberculosis Programme in City Health, Cape Town in South Africa has strengthened the capacity of clinics to improve their cure rate by bringing a new layer of staff into the normal day-to-day operations of the clinics. Door-to-door follow-up visits to patients, who have been diagnosed with Tuberculosis and are

registered at the clinic, are carried out by trained Tuberculosis Assistants who make sure that the patients do not interrupt their treatment.

### **Problem**

South Africa, once considered to be the epicenter of the HIV/AIDS pandemic, also faces another health concern that continues to plague its population: the rampant transmission of tuberculosis (TB). Chronic Tuberculosis (TB) is deemed to be one of the lasting legacies bequeathed by the apartheid. As such, the incidence rate of TB has been on the rise throughout the years in South Africa, with the number of cases climbing from 774 per 100 000 in 1990 to 990 per 100 000 in 2006. Exacerbating the health situation further is the shortage of doctors and nurses in public hospitals and local health clinics—roughly 38 000 posts for both occupations have been left vacant, thereby placing additional strains on South Africa's already exhausted healthcare system. As a result, the country now maintains one of the highest Tuberculosis incidence rates in the world and ranks fourth out of the twenty-two highest burden countries with roughly 350, 000 cases annually registered within its borders.

On a regional level, the Western Cape has suffered the most from the spread of TB. Since the Western Cape's population is not distributed uniformly throughout the province, a condition mainly attributed to the pursuit of employment opportunities in specific urbanized pockets of the region, the burden of the disease in Cape Town, which is at 55%, is more onerous than in other areas of the Western Cape. In the past decade, Cape Town has witnessed a 68% rise in the number of registered cases of TB, with 27,017 cases recorded in 2006.

The demographic composition of the Western Cape's sub-districts along with the socio-economic conditions found in these regions are notably varied thereby resulting in disproportionate increases in TB cases, particularly in the Eastern, Khayelitsha and Klipfontein sub-districts. These geographical zones are also the areas where individuals face poor or deteriorating socio-economic conditions and high HIV prevalence rates. Clinics treating chronic Tuberculosis in these sub-districts, therefore, were laden with a greater number of TB cases and found it challenging to organize and deliver services that both effectively and efficiently monitor TB clients seeking daily TB treatment.

The administrative burden placed on these clinics has left the existing staffs of healthcare workers overwhelmed by the encumbering increase in new TB patients and they have been compelled to abandon many other offered health services. Meanwhile, constrictive budgets have led to the incapacity to recruit additional staff in order to replenish and lend support to the thinning amount of available nurses and doctors. Consequently, the aforementioned difficulties have had a detrimental effect on these clinics' treatment outcomes. Poor treatment outcomes resulted in higher patient relapse rates and led not only to the recommencement of treatments but also to the greater exposure of patients to either the Multi-Drug Resistant TB or the as of yet untreatable Extreme Drug Resistant strain. Furthermore, financial pressures were placed on already strained budgets due to failed treatment procedures, which are costly for both the patient and the health service provider. Steps, therefore, inevitably had to be taken in order to address the healthcare crisis.

In short, Cape Town's healthcare system was presented with twin challenges that required an innovative and effective solution: to bolster support for a waning clinic staff and to substantially improve the TB cure rate.

### The Solution

Given the aforementioned challenges that Cape Town's healthcare system faced, Judy Caldwell and Virginia Azevedo of the City of Cape Town's Health Services proposed a series of actions in 2005 that were aimed at specifically targeting the key concerns of clinic staff shortages throughout the city, reducing the rate of patient relapse and enhance the cure rate within the city's TB clinics. Through Ms. Caldwell and Ms. Azevedo's proposed Administrative Support for the Tuberculosis Programme, a cooperative partnership was struck through a Memorandum of Agreement between TB Care, a healthcare non-governmental organization, the Western Cape's Metro District Health Services (part of the provincial government), and City Health (municipal governmental level). The partnership was such that Metro District Health Services would provide financial support along with City Health while TB Care would be charged with the responsibility of recruiting suitable TB Assistants and Clerks. These new recruits were selected from local communities and formed the additional tier of staff support greatly needed in Cape Town's TB clinics. TB Care was given administrative authority over employee contracts, pay roll, leave, and staff disciplinary procedures. TB Care also ensured that all financial expenditures were reported to City Health, which took charge of staff training as well as the day-to-day management of the TB Clerks and Assistants. City Health offered monitoring reports to TB Care in order to share feedback on staff performances and overall management.

In the initial stages of the project, an assessment took place in order to evaluate which clinics required the greatest amount of attention and financial support. Measures were developed to objectively establish criteria by which to determine the clinics that were most in need. Data was collected on the number of Tuberculosis case loads each clinic managed while further research was carried out to identify the greatest number of case loads that could feasibly and effectively be handled by Cape Town's TB clinics. Through the conducted research, TB Care and City Health concluded that the following criteria would be applied for the selection of TB clinics to be enrolled in the programme: the annual case load ratio should be 300 TB patients or more per clinic staff and a cure rate that fell short of the 80% mark. Based on these conditions, it was decided that 27 of the 93 existing TB clinics in the city were eligible for the support offered by the programme.

After the July 2005 ratification of the Memorandum of Agreement, first set of TB Clerks and Assistants, totaling 18 individuals, were recruited, trained, and assigned to clinics where the TB case loads exceeded 300 hundred patients per year. TB Assistants were recruited to perform door-to-door follow-up visits with previously diagnosed TB patients that were registered with a particular clinic. TB Clerks, meanwhile, performed such clerical duties as overseeing paper and electronic registration of patients and monitored the administration of their treatments. Under the programme, TB Clerks earn R24, 000 while TB Assistants earn R18, 000 per annum.

As of early 2008, 87 individuals who were unemployed high school graduates are now working as gainfully employed full-time staff members at the 27 selected TB clinics.

### **Lessons Learned**

One lesson to be extracted from this programme is that trained non-professional staff can be vital to the daily operations of an organization since they allow professional staff members the freedom to perform more specialized functions without being laden further with administrative duties. With the recruitment of high school educated but unemployed individuals as Assistants and Clerks, the issue of jobless youth was addressed to an extent while also alleviating the administrative burden for highly sought-after services such as healthcare in impoverished regions. This lesson can be broadly applied to regions where demands on essential services have far surpassed the amount of staff available to meet these demands. Engaging and training youth to provide administrative support lends organizations that are straining under high levels of demand some degree of latitude to offer specialized services in greater quantities. The programme's model of recruiting and training educated but unemployed youth is viewed to be easily transferable to other regions and projects because it is inexpensive and does not require previously acquired specialized knowledge.

Another lesson learnt from the programme was the need for open dialogue in order to facilitate a healthy partnership between government, irrespective of whether it is on a national, provincial/regional, or municipal level, and civil society organizations. The high level of communication and the strength of the partnership between City Health and TB Care have been attributed as some of the main elements for the programme's success. Both parties pooled their resources and shared their knowledge in such a fashion that a symbiotic working relationship took place. While City Health offered TB Care the necessary finances and support to unroll the project, it also provided concrete delineations of the roles that each new staff member would have within the programme and ensured that line management was of a high caliber such that recruited Assistants and Clerks were quickly and smoothly incorporated into the day-to-day operations of the clinics. For its part, TB Care's capacity to recruit and administratively oversee the selected Clerks and Assistant was instrumental in implementing the programme. In addition, the NGO was also able to expedite the hiring process through its connections with various local communities while simultaneously minimizing costs and providing trainees with necessary human resources support. Thus, the healthy working relationship between City Health and TB Care was forged through a steady stream of communication as frequent meetings and updates allowed both parties to share their insights and maintain an open and transparent partnership. This carries the lesson that a functional and effective partnership can be established and maintained between civil society and various levels of government if open dialogue and strong communication are sustained.

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ii)

### **Improving the overall health of the community through improving health care access and utilization in Zambia**

#### **2009 Category 2 Winner**

Integrated Mobile Community Voluntary, Counseling and Training other Health Services, Itezhi Tezhi District Health Office, Zambia

#### **Description**

The District of Health Office in Itezhi Tezhi met the needs of citizens in accessing health services by mobilizing those services in the short-term, while they work to provide equal access by improving communications and transportation infrastructures

#### **Summary**

An integrated Mobile Community Voluntary Counseling and Training (VCT), and other health services initiative was developed by the Itezhi Tezhi District of Health Office in Zambia to address citizens' difficulty in accessing health services. The District Health Office mobilized health services to provide the community with counseling, testing and training and several other health services related especially to managing child delivery, HIV, nutrition, immunization and water quality monitoring. The program was effective in reducing out patient attendances and the associated delays, in shortening visits to hospitals and periods of hospitalization for those admitted. As a result of the program infant mortality rates also fell.

#### **The Problem**

Itezhi Tezhi is predominantly a rural district with high rates of poverty and illiteracy among its headcount population of nearly one hundred thousand. The District is also prone to seasonal floods, particularly given its poor communication and transportation infrastructure. Patients had to walk long distances to the hospital to access health services. Transport was a big problem with no running vehicles, motorbikes or bicycles. These conditions inhibited citizens' access to the only First Level Hospital with the only laboratory, and to the eleven widely dispersed rural health centers, especially during the months of seasonal flooding, for almost half of the year. As a result, the community's utilization of health services was very low with most indicators falling below national targets. Segments of the population most affected by the situation were pregnant women and children under five years of age.

Adding to the problem was that key services were stationed at the hospital, due mainly to the location of the only laboratory there. This drastically affected the Anti-Retroviral program. Although over eighteen hundred were counseled and tested, only a fraction of them were started on the Anti-Retroviral Therapy (ART), almost half of whom died,



leaving only about three hundred active patients in the program. This impacted children especially, few of whom were actually benefiting from ART, and three quarters of whom died through lack of regular access. The inaccessibility of health services also restricted implementation of the immunization program to only forty- three percent of the children under age one.

### **The Solution**

The Integrated Mobile Community VCT and other health services were initiated to address the overall health of the community through improving access and utilization of health services. There were 5 major project outputs that contributed to improving the general scope of health services in the District. These included providing more community health workers, more Mother Support Groups, more potable water sources, procurement of an ambulance, boat and motorbikes to mobilize health services, and increase immunization coverage.

More community health workers and traditional birth attendants (TBA) were trained and equipped with the necessities for providing mobile outreach programs in maternal and child health, and for voluntary counseling and testing. TBAs also acted links between pregnant mothers in the community and health centers. They are able to recognize “danger signs” and refer pregnant mothers early. This output contributed to almost ninety percent protected pregnancies with as many of the deliveries supervised and anti-natal services reaching over eighty percent of the mothers. The number of referrals of complicated deliveries has increased from ten percent to thirteen percent and maternal mortality has decreased from 179/100, 000 to 102/100, 000, (although some deaths still go unreported in remote areas).

Mother Support Groups (MSGs) were places in the communities provide more information to them on the essentials of infant feeding, with an aim to reduce malnutrition and infant mortality. MSGs provided for more closely monitoring children’s growth and development. As an outreach program, services to mothers and their young also included immunization sessions. As a result, underweight case fatality rates dropped from 266/1000 to 153/1000. Malnutrition rates have also dropped by 15% from 1.5/1000 to 1.3/1000. Severe anemia cases requiring blood transfusions have also been reduced from 124 to 84 annually. Most importantly, among mothers, there is now increased awareness on infant feeding.

Procurement of an ambulance, a boat and a mobile laboratory constitute and facilitate the integrated health services by increasing access, delivery, and utilization. Inaccessible areas could be reached by ambulance or boat or by the mobile laboratory unit. Mobile VCT has resulted in more people testing and starting ART treatment. Almost five thousand have undergone VCT, nearly three thousand pregnant mothers tested for HIV via the mobile laboratory, and more than 798 patients are now on ART treatment. The stigma associated with this has also been reduced.

Access to safe water is important. Realizing that it would be impossible to improve community health conditions without improving access to potable water, the number of

sources has been increased. Regular water monitoring and sampling is now possible with use of motorbikes for water inspectors to travel to the different water sources. Most diseases can now actually be prevented. To build on this, epidemic preparedness meetings are now held monthly.

Finally, the immunization rate for children under age one has more than doubled to ninety-one percent and annual hospital admissions for children under age five have dropped by over forty percent.

*All data included here was sourced from Health Management Information Systems (HMIS).*

### **Lessons Learned**

Three key lessons from this case are first that identifying the source of a problem is critical to addressing it. In this case poor communication and transportation infrastructures impeded access to health care services and maintenance of potable water sources, and were truly at the root of the problem. This presented constraints to disease control and prevention. Mobilization of health care and water monitoring and sampling services contributed to implementing programs that would not only allow government to respond in a remedial manner, but would also be preventative. Mobilizing health and water services resulted in fewer patients suffering from opportunistic infections as their immunity improved. Another result was fewer hospital admissions and out-patient attendances, and additionally, the length of stay for patients admitted was also reduced.

A second important lesson is public response to responsible health services reaching out across barriers to address the needs of citizens. The challenge faced by citizens in accessing health services was virtually insurmountable given the lack of resources available to them. Acute problems that go unattended over time cannot contribute to stable governance. Comparatively citizens' perception of a benevolent government that contributes in a meaningful way to improving their health and to saving the lives of their loved ones has encouraged their participation and cooperation, improving practices that help to reinforce the public services provided.

Finally, it is also important to see public service delivery as an educational process for citizens. It is expected that on-going health education and community sensitization will contribute to strengthening and sustaining community participation. To date, the community in claiming ownership has actually fully adopted the program and citizens are beginning to better appreciate the need for their understanding and involvement in matters related to safeguarding their wellbeing. Training and involving both males and females in this way has also been effective in promoting a shared responsibility in caring for each other and for their offspring.

### **Transferability and Replicability**

Project activities in mobilizing health services can be mainstreamed as regular, standard duties of the ministry of health. This is a necessary solution to ensure sustaining quality health service provision as governments continue toward to improving conditions that would offer citizens across the district equal access. It is cost effective and results are

likely to be replicated in other similar environments. The problems of inadequately trained staff, remote and inaccessible areas, long distances to health facilities and other barriers in accessing and utilizing health services are common to most developing countries. The initiative has been disseminated at various fora and can be replicated regionally to other districts and provinces where.

The key development and implementation steps of the project were as follows: signing of The Memorandum of understanding between the Ministry of Health who are key implementers and the Cabinet Offices' Management Development Division (MDD). This was followed by the formation and briefing of a project implementation committee and the related institutions involved in managing the project.

Within one month, briefings, orientations and mobilization had been realized. After a baseline survey was conducted to determine the needs in each area, tenders were invited for the provision of program inputs. This was followed by developing and implementing training programs for health workers, Counselors, and the mother support groups. Within four months, they were trained and equipped with bicycles and other project inputs. The activities focused mostly on Maternal and Child health activities and Anti-Retro Viral services. Procurement of the Boat and Ambulance was accomplished after almost ten months. This greatly improved the delivery of services to the communities and the Integrated Mobile VCT took off on a larger scale providing ongoing Mobile VCT and other integrated services on a weekly basis through visits to different catchments areas.

A review meeting was held after one year to assess how various aspects of the projects were progressing, with regard to the impact of the interventions and to address some of the challenges that still confronted some projects.

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## **Streamlining hospital administrative processes and forming health care networks with other hospitals in Thailand**

### **2009 Category 2 Winner**

Improving Public Medical Service through Collaborative Networks,  
Maharaj Nakorn Chiang Mai Hospital

#### **Description**

Providing more efficient and effective health services through the use of innovation, building stronger networks and investing in the enhancement of the capacity of health providers.

#### **Summary**

The Maharaj Nakorn Chiang Mai Hospital in Thailand initiated a program on “Improving Public Medical Service through Collaborative Networks” to increase accessibility of patients to quality health care. This was done by streamlining hospital administrative processes and by forming health care networks with community hospitals. Through this network, the hospital provides consultations and training courses for community, district, and provincial hospitals to improve medical personnel’s skills and knowledge in managing complicated conditions by themselves prior to referring patients to the Maharaj Hospital.

#### **The Problem**

The Maharaj Nakorn Chiang Mai Hospital, Faculty of Medicine, Chiang Mai University, also known to the locals as “Suandok Hospital” serves large segments of population who in the remote rural areas of Northern Thailand. About 30% of the patients are referred to the hospitals in Chiang Mai and about 70% from hospitals in other northern provinces. Due to an efficient communication and referring system amongst hospitals; patients exhaust valuable time and money finding a hospital that will be available to treat their medical condition more so admit them. There are some instances when it often takes a long time for patients to receive proper medical care due to shortage of medical personnel and a large number of patients requiring treatment. Thus, only a few patients would be able to receive adequate care because of these delays particularly in referral processes fueled by complicated internal administrative procedures.

#### **The Solution**

Chiang Mai Hospital together with the Faculty of Medicine coordinated with other hospitals in the local community to develop a two prong approach to resolve the need for a more efficient provision of health services. The first approach was to reduce the amount of paper work and simplifying the patient referral process to improve the internal work system and communication amongst hospitals through the development of a health care network. This was made possible using information technology in developing a computer program that will make communication online easier and more efficient. The second approach was to capacitate health workers and providers by providing continuous

training courses. This will help improve their medical personnel skills and knowledge in managing complicated conditions immediately thereby ensuring that patients get the necessary aid without delay.

The use of information technology in strengthening the network of hospitals in the Northern Province of Thailand improved the provision of services to patients. Some of the IT used for this initiative were the development of a medical information system, barcode identification stickers, provision of health cards, call centers for network hospitals, online prescriptions by physicians as well as online consultations or setting up of appointments.

In which case, delays in responding to patients in emergency cases were completely resolved because of faster and easier communication between hospitals thus saving more lives and lessening the burdens of patients particularly those with cardiac problems. This was largely due to the intensive capacity development of health providers in responding to emergency cases at the initial stage without having to send the patients from one hospital to another.

From being highly dependent on Chiang Mai Hospital to provide immediate services, local hospitals are now able to respond confidently to the needs of their communities because of these innovations. This of course led to high patient satisfaction as well as acknowledgement of this best practice through awards given to Chiang Mai Hospital for putting the lives of the patients as utmost importance.

### **Lessons Learned**

Providing health services to the public is a vital role the government has to play particularly the local government. Not only are the underprivileged relying on government hospitals to provide them the necessary health services but as well as responding to emergency health cases despite being economically challenged. Chiang Mai Hospital took on this challenge by building partnerships and strengthening systems through policy implementation, capacity development to empower health workers skills and morale, and lastly invest in information technology to improve communication hence ensuring a more efficient and effective public service delivery.

The experience of Chiang Mai Hospital and their partners is a best practice in the provision of public service to the people. This initiative can be replicated by other government service providers by investing in the improvement of their information technology. Innovations such as this do not have to be expensive. Certain steps can be done to overcome financial constraints such as resource mobilization through partnerships, fund raisings and banking on volunteers' services.

### **Transferability and Replicability**

This innovative best practice will be sustained by the very people who were capacitated through the trainings given to medical staff specifically those in the local communities. This will improve the quality of services they provide as well as build their confidence and morale through value creation in the service they provide and strengthen teamwork in

their province. Replication of the approaches used by Chiang Mai Hospital should be encouraged in other provinces/regions in Thailand.

The experience of Chiang Mai Hospital can be summed up into two valuable realizations:

1. Use of information technology to innovate and provide more efficient and effective public services; and
2. Continuously build capacities of human resources, which in this case are the health providers.

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iv)

### Establishing a one-stop-shop for company registration, to drastically reduce registration time in Slovenia

#### 2009 Category 2 Winner

One Stop Shop for Companies (e-VEM),  
Ministry of Public Administration

#### Description

Providing a more efficient and effective public service for business registration of private companies through the establishment of an electronic one stop shop portal.

#### Summary

The Ministry of Public Administration in Slovenia developed the “One Stop Shop for Companies (e-VEM).” This was established to reduce the registration time from 60 days to a maximum of four days for big companies. This initiative initially started with the creation of a one stop shop for sole traders in 2005. Given its success, the Ministry decided to partner with other concerned ministries and government offices and widen the accessibility of this innovation for entrepreneurs and big companies to fast track registration of new businesses (while offering this service for free) and thereby encourages more businesses to start in the country.

#### The Problem

Registration of companies in Slovenia was a very cumbersome process requiring almost 60 days. It will have to go through several processes within the public administration

system. These include submission of tax data, obtaining a craft permit, registering employees and their family members into obligatory social insurance schemes, making changes and terminations to the latter and other processes. As a result of which, 90% of business applications were left incomplete. Aside from which, costs for registration were from €250 to €600 depending on the size of the company.

### The Solution

Before company registration took about 2 months to process since it will have to go through several offices in the government. The numerous procedures were converged together through the online shop called e-VEM. The initiative started with the online registration for sole traders in the country. Given its success, the ministry expanded its accessibility to other entrepreneurs and big businesses. This includes 180 One Stop Shop contact points, 90 notaries and district courts (only for entries under compulsory power). There are over 700 civil servants that are currently using the system.

The system greatly encourages start-up companies to register because of these improvements. The procedures from opening the bank account from submitting the application forms for registration into court register, to receiving a decision about the entry; can now all be done electronically (with e-signing and e-delivery in a safe mail box). It did not only shorten the registration processes but it was able to offer the service for free.

Initially, the cost for developing this initiative was € 3,400,000; which includes development of the system and its maintenance for two years, staff trainings and adjustment of subsystems. However, with the introduction of the One Stop Shop system, the government generated savings amounting to more than €10 million per year. It also strengthened the partnerships and networks of government offices because of this endeavor.

### Lessons Learned

The use of information technology can lead to greater efficiency and effectiveness in providing innovative public services. In Slovenia where 58% of the total populations with age ranging from 10 to 74 years old are Internet users, providing public services such as the online registration for start up businesses will be easily accessible to people.

To sustain these improvements, the government constantly provides trainings for civil servants to serve as one stop shop contact points. This will continuously enhance their capacity in improving the service they provide to the public.

The experience of the Ministry in Public Administration in Slovenia is an example of a best practice in the enhancement of the delivery of public service. The lessons learned can be summarized into two:

1. **Investing in Information Technology:** Gone are the days of long lines and several paper works in providing services to the people. With the fast changing and ever improving innovations in technologies, the government should embrace these changes and take on the challenge of changing with the times. Use of new

technologies such as the Internet will make a lean and mean public sector where government offices will be more results oriented with their services more effective and efficiently delivered to the people.

The e-VEM developed in Slovenia allowed owners of companies or entrepreneurs to register their businesses online, accessible wherever they are, at their own phase and free of charge. Investing in the use of IT such as the Internet and then creating a one stop shop (portal) where people can easily register online and submit required documents made the work easier for all. Although it may seem difficult at first, with investing funds for the development of a database system and then initially encoding existing files as well as training civil servants to make use of the system; the results has a long term positive impact in the delivery of this public service.

2. **Investing in Human Resources:** The use of equipment and other technologies can never replace the dedication and hard work of public servants. To enhance their effectiveness, the government should invest in continuously developing the capacities of the civil servants to cope with the changes and the demands of the citizens. A capacitated civil servant more so a competent and empowered bureaucracy can create a dynamic government that can break the traditional perception of what government service is to the people. Included in building capacities are building networks internally and externally since this will develop a strong support group and even combine resources to effectively deliver services to people. This kind of initiative is very much sustainable because once the system is in place; well-trained civil servants will sustain this and eventually enhance this service as they deemed necessary based on the changing demands of the people.

### **Transferability and Replicability**

Ensuring accessibility to public services is an essential responsibility of the government. Aside from which, transparency, responsiveness, efficiency and effectively providing these services have also become important expectations of the people from their government. Investing in new technologies and adapting to these changes by training service providers ensure that these expectations are met by the government.

The e-VEM initiative in Slovenia is very much transferable and replicable to other countries and other public services as well. Based on the Ministry of Public Administration, those who would like to replicate this initiative should have an approved policy that will ensure its implementation by all government institutions that are involved. The policy should include systems of communication, clear roles and responsibilities for all key players and assurance of funding for the project/program.

The development of the system and the database itself, depend on the need of the public service. For the online registration, there is a need to incorporate all registration processes and ensure that it will be made accessible and user friendly for both the civil servants and the public users.



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### Developing a comprehensive web-based application process, assisting students' enrollment in colleges and universities in Egypt

#### 2009 Category 2 Winner

e-Tanseek Online University Enrollment System  
Ministry of State for Administrative Development

#### Description

The university enrollment application project is the product of successful co-operation between five Egyptian governmental organizations: Ministry of State for Administrative Development, Ministry of Education, Ministry of Higher Education, Ministry of Communications and Information Technology and National Sports Council. The main objectives of this initiative were to reduce administrative and transportation costs to students and their parents as well as to save government expenditure on paperwork and seasonal staffing. The strategies used were aimed, first, toward enhancing service delivery through utilizing more convenient channels, second, to separate the service provider from the public, and third to promote the use of information and communications technology for interactive communication between government and the citizenry.

#### Summary

To solve the problem of worker overload and the consequent administrative inefficiencies in annual student university enrollments, the Ministry of State for Administrative Development initiated a comprehensive web-based system to respond to student university enrollment applications, and complemented this with a daily twenty-four hour call center to provide user support. This free of charge, ubiquitous online system provides students with instructions, rules and interactive help, as well as allowing for updates to personal data and changes to earlier selections of universities, and specific faculties and/or majors. Enrollment results are communicated to students by regular mail, emails, and SMS (text messaging). The savings realized by families and students, thanks to the new system, are estimated at forty million Egyptian pounds each year, equivalent to over seven million US dollars. Other beneficial outcomes include the reduction of costs of

paper and seasonal hiring of workers for data entry and increased access and quality of service delivery in public education. This initiative promotes cooperation among governmental organizations.

### **The Problem**

Admission to public universities and institutions of higher education in Egypt was previously processed through a centralized office, the University Enrollment Co-ordination Office (UEC), which enrolled over 450,000 students annually. These administrative services were offered from nineteen sub-units spread all over Egypt, in an effort to accommodate applicants from all regions. The process was complex due to the ever-increasing number of students eligible to enter universities each year, and the varied demand for particular faculties in different universities. The process is both discipline-based and university-based.

Traditionally, each year, following the announcement of the Egyptian General Secondary Certificate results, students and their parents would flood the university enrollment offices, standing in long lines awaiting their turn to buy the paper forms (costing EGP40 per application) necessary for university enrollment application. Students were asked to fill out the forms listing their choices of disciplines and universities, in a descending order of preference. The forms were filled manually, posting a stamp for each choice, with each student having to fill a total of forty-eight forms and return with the completed forms for a second visit to the enrollment co-ordination office to have their completed application forwarded to the individual universities.

Once students submitted their forms to the enrollment co-ordination office there was no way to change or correct the contents, and because of minor errors some students would be forced to forego university entrance for one year until the next opportunity to apply. Furthermore, all data from each and every application form was entered by seasonal data entry personnel into the back-end legacy system where the matching process was carried out. This arrangement left room for many data entry errors that would affect student placements. Once the enrollment phase results were declared, students were notified of their placements by post mail. Each student had no choice but to enter the university where there had been enrolled and wait to be transferred (based on availability) in the following academic year. These limitations in the manual system were burdensome to student and their families, and to the government, by creating the additional cost of repeated applications.

Furthermore, the whole process of university enrollment had to be accomplished within a limited time frame: between the time of declaring the results and scores, and before the start of the new academic year. A comprehensive solution was required to serve students in a better way, to control costs, and to address the myriad of related problems being reported from year to year.

### **The Solution**

In its quest to identify public services that could be introduced through its e-Government initiative the Ministry of State for Administrative Development investigated the

universities enrollment application work flow. They decided to initiate a comprehensive web-based application system that would replace the paper process in accepting student university enrollment applications, with a full-time user support call center. This availed access to the enrollment application service from virtually anywhere with internet connection. Students were able to utilize the online application system with their student IDs with a special personal identification number code distributed to them at the same time as their secondary school certificates.

The online application was offered entirely free of charge, as compared to the EGP 40 that students paid for the paper application and related manuals. Given that over 450,000 students applied for university enrollment annually, this alone resulted in savings of over EGP 18,000,000 for the public. Another advantage of the online application is that students can now update their personal data and alter their choices after submitting their initial application, as long as they do so within the given time frame.

Enrollment results are communicated to the students not only through mail but also, through SMS (text messaging) and the web based application. Recent estimates have placed savings by the online process at EGP 40,000,000 for the public representing previous accommodation and transportation costs. Other huge savings also resulted for government from operational costs, such as savings on paper forms, seasonal staffing of university enrollment offices and data entry personnel.

The Ministry of State for Administrative Development secured approval from the Ministry of Higher Education in 2003 to introduce a web-based application channel to process applications for university enrollment. The first edition of the application channel was developed by the Faculty of Engineering at Cairo University between 2003 and 2004, in preparation for the 2004 university enrollment season. It was launched on the e-Government Portal in 2004 and ran parallel to the paper application for a two year period, after which the decision was made to abandon the paper application process administered by the UEC offices for 2007.

For the Government, the online application system proved to be highly reliable, in the following ways:

- Elimination of the data entry clerk, and probably mistakes.
- Using PIN code, the final results of each student's application could not be mixed up with another's
- Greater efficiency for the government

For both citizens and Government:

- Transactions became a lot faster with a remarkable reduction in clerical errors; hence offering a much better service, at no cost
- The system served to improve the image of the government and contributed to building trust in e-Government services

This initiative was led by the Ministry of State for Administrative Development, as the organization responsible for the e-Government program in Egypt. The university

enrollment process is owned by the University Enrollment Co-ordination Office, which is part of the Ministry of Higher Education. The online application is hosted on the Egyptian Government Portal ([www.egypt.gov.eg](http://www.egypt.gov.eg)). The Portal's operation team, which is part of the Ministry of State for Administrative Development was responsible for operating the service, for security, and technical support.

The Ministry of State for Administrative Development has played a crucial role in this initiative as the project coordinator and technical consultant to the Ministry of Higher Education. Other stakeholders include developers, testers, the UEC office, Ministry of Education, the call center, as well as the hundreds of thousands of students/users, who have benefited. Different public-private partnerships (PPP) were utilized to finance printing and distributing PIN codes to eligible students over the past 2 years, in order to cut government expenses. Those were usually telecom operators with big marketing budgets. Private companies are now competing annually to secure sponsorship of the application system. This is a further evidence its success.

### Lessons Learned

Challenges faced in the implementation stages, as well as successes provided valuable learning opportunities. The challenges were, primarily financial, infrastructural, and related to achieving cooperation among stakeholders. Operational costs for the project, on the Ministry of State for Administrative Development's side, were too high to be sustained within its limited budget. The Ministry of State for Administrative Development provides all the hardware available at its portal, which is mostly used up by university enrollment during the application season and they are relied on to oversee the execution of the whole project, as this is their fundamental strength. They also cover all operation team salaries, portal costs and any costs arising from sudden unplanned cases that may happen while normal operations proceed. A public-private partnership was secured with private sponsors in both 2007 and 2008 to finance the whole initiative.

Two forms of infrastructure limitations proved problematic during the early stages of the project. This resulted, first, from trying to accommodate the large number of students and their families trying to access the application during a limited window of opportunity, with more than 120.000 users in less than three hours, while at the same time attempting to respond with application results. As a solution to this, university enrollment results were sent to students in SMSs at the same time with deploying it on the service server and providing the same data through the main internet service providers in Egypt at the same time. That combination of methods solved this problem completely.

Secondly, the rules for university enrollment were set by the Universities' High Council ahead of university enrollment season. However, these rules kept changing while the university enrollment web-based application was in progress, in order to save further costs for the government. These changes had to be reflected in the online application in a timely manner and without an adequate adjustment period before being re-deployed on the e-Government Portal. The answer to this was to better design systems to accommodate on-going rule modifications.

The third challenging area was achieving cooperation from employees and from the targeted clientele, the students and their families early in the implementation stages. There was resistance to change from civil servants in the Ministry of Higher Education's, who worked at UEC offices. However, when employees recognized the value of automation in reducing their workload and increasing accuracy they became more supportive. This process included employee training at the various managerial and operational levels, and performance incentives.

The other critical aspect of obtaining cooperation was to get all students to apply online. This was not due to technological barriers, since an enormous number of students logged on to view their results. In a society that is already to a great extent wary of dealing with the government, over such a life-altering matter, most students and their parents were reluctant to try or trust a new and unfamiliar process. This was a cultural issue, and could only be overcome by increasing public awareness of the application process through public information broadcasts by radio, television, and newspapers. In addition, the government went as far as to offer rewards to students who used the service.

The systems' reliability, convenience and efficiency are its foremost success factors, without which it would have surely failed. It was due to these highly successful factors that the online application process was very well received by the public. Another important success factor for the project is the effective project coordination and management by MSAD, which liaised between the different stakeholders in the project.

The project's impact was another area of success that cannot be underestimated. It has served as a catalyst for promoting e-Government. The public in Egypt are now much more open to more e-Government services (compared to before using e-Tanseek). Due to the importance and value of university enrollment to the public, it was an excellent choice of a service to undertake toward building trust in new methods of public service delivery. The types of data collected and generated in the university enrollment service opens a door for several electronic services for university students, and decision makers. Such services include hostels enrollment, students' transportation support, university student affairs, and many others which would contribute to more informed decision making, planning, and utilization of available resources. The project's success through the Egyptian e-Government Portal also enables provision of similar services, such as general certificates, and doctors charging service (which is executed 11 times annually) which eliminates the need for external interfaces, multi-systems and applications previously deployed. The same module can be used to deliver more services with very little changes and only minor investment.

After having 3 consecutive years with no major issues (not a single error in data, processing or performance) in the system, it was clear that it was ready for full-launch. In 2007, it UEC offices no longer offered university enrollment application services. Students had to go online to register their choices.

Another successful strategy was that of contingency planning. A disaster recovery site was set up for the web-based application, should anything go wrong, as it would become

a high-value target with more than 450,000 users. Internet connections to the application were secured from 4 different service providers and different central offices as well. Severe security measures were also taken.

High measures were also taken in anticipation of the huge number of users for the system in 2007. More than 600 computer labs all over Egypt were made available to eligible students to use for university enrollment application for free. Well-trained specialists were available in each lab for nine hours a day to assist students/parents in filling the applications, through all 3 university enrollment phases. 19GOV call center was operating around the clock as well to support students/parents. Training sessions are held annually for CRM (call center/e-mail/fax) agents and support team, as well as lab specialists, in MSAD.

### **Transferability and Replicability**

This system's development has had many benefits, but among the indirect benefits is the accumulated experience in the business model formulation and implementation, which would benefit the government in many other e-Government projects. Currently decision makers are stressing the fact that the online application system must be extended to cover all secondary-level certificates to enable all students to benefit from it. Plans are in place to achieve this within 2 years. 2008 marked the first year for Azhari students to be able to use the application, as well as foreign certificate holders.

The universities enrollment web-based application is now the only channel through which to apply to public universities for Egyptian General Secondary Certificate holders in Egypt. It actually started a paradigm shift, making students realize how they can benefit from technology in their day-to-day life and they are actually now demanding more automation and less paperwork from the government. Through its public-private partnership model, the project is self-sustainable with no need for additional funding from the national budget, and might even be a source of national revenue one day, if companies continue to compete fiercely to win the sponsorship.

The e-Government Portal is constantly being upgraded and improved, as well as its security measures, which all lead to a better service delivery level being offered. This will increase its credibility as well as end user's satisfaction. Already the service's wide success has prompted other government organization in Egypt to request the same service for their graduates or employees such the "Doctors Charging Service" which covers more than 120,000 medical doctors annually.

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## 2. vi

### Establishing a state-of-the-art system designed to store and retrieve data through the Civil Register in Oman

#### 2009 Category 2 Finalist

Civil Status Systems (National Registration System)  
Directorate General of Civil Status, Royal Oman Police, Oman

#### Description

Reducing service delivery inefficiencies and inconveniences by developing and implementing an electronic online system to manage the civil status registration data of citizens and residents of Oman.

#### Summary

Through the creation of a National Registration System (NRS) in the Sultanate of Oman – a state-of-the-art online system that integrates a number of offices—information can now be stored and retrieved in a more efficient and effective way. The Civil Register, the largest database in the Sultanate, includes data on births, deaths, marriages and divorces in the Sultanate, as well as data on identity cards for Omanis and residence cards for foreigners.

#### Problem

Prior to the launch of the new Civil Status Register, the General Directorate of Civil Status (DGCS) was overburdened with administrative paperwork that resulted in inaccuracies in filing data and retrieving information, protracted delay periods for delivering services to Omanis, overcrowding and lack of physical capacity to accommodate clients, and complex bureaucratic procedures.

Because the former filing system was manually handled, there were several challenges that emerged for both employees and the Omani clientele they served. The primary difficulty was that Civil Status centers were coping with inefficiencies and inaccuracies in both the retrieval and storage of data due to the paper-based filing system operated manually by employees. Retrieving data proved to be a painstaking and time consuming activity since researchers were obliged to sort through filed paperwork and documentation. The manual operation and management of the filing system also reduced the level of confidentiality guaranteed to citizens as there were a number of incidences where files and documents were left to idle on counters.

Delays in service delivery were also a consistent problem and the wait time greatly varied because certain services took a matter of hours for completion while others would require several days or weeks. The inconvenience of delayed service delivery was an

administrative challenge that Omanis had to endure in order to secure any civil status documentation and complete any related registration processes.

Since all civil status services were available only on-site at the Civil Status centers, there was a growing concern over the lack of capacity to accommodate lengthy queues and large crowds of waiting applicants. Waiting halls were frequently inundated with applicants seeking services and many locations did not have the physical space to comfortably provide accommodations for waiting individuals. There was no formalized queuing system established to moderate and manage the volume of waiting applicants.

In addition, the lack of coordination and a general dispersion of available services meant that certain documents were only provided at specific locations thereby creating confusion and complications for Omani clients. Citizens and residents were compelled to visit several different institutions in order to procure requisite ID cards, Labor cards as well as birth and death certificates. Marriages and divorces required registration at the Ministry of Justice while the aforementioned documents were to be obtained from the Royal Oman Police, Ministry of Labor, and the Ministry of Health. The general lack of coordination among institutions as they independently issued required documents generated greater confusion and inconveniences for Omanis. Another difficulty of the former civil status system was that residents of Oman that were not workforce participants were also unable to obtain identification documents as Labor cards were only issued to those who were recognized as either private or public sector workers.

### **Solution**

While the desire for a more efficient, streamlined civil status database and user-friendly identification documents were a mounting concern for Oman throughout the 1990s, the issuance of Royal Decree 66/99 in 1999, which stipulated that a new Civil Status Register and an Electronic ID card, signaled a new organizational regime for the registration and organization of civil status data. As a division of the Royal Oman Police, the Directorate General of Civil Status set the parameter for the new Civil Status Register:

- Revise the National Registration System employing modern systems and technologies.
- Streamline and increase the speed of bureaucratic processes.
- Improve the quality of public services provided to Omani citizens and residents.
- Prepare for the establishment of e-government services.
- Strengthen the security and confidentiality guaranteed to citizens' identification data.

In their efforts to meet these conditions, the DGCS overhauled the National Registration System and modernized the database which serves as the largest reserve of population statistics and records in Oman. The NRS was established in 2004 and is, in essence, an integrated and centralized computer database system that processes inputs, offers ample storage for data, and allows users to rapidly retrieve data. Data inputs in this new system include photos, fingerprints, and demographic information.



As a centralized, consolidated system, the new Civil Status Register now functions as a “one stop shop” where Omani residents and citizens are able visit one of the twelve regional Civil Status Centers and access all the civil status services available in the Sultanate. With each citizen and resident being issued a Civil Number and an ID card, an electronic link was established such that all twelve Civil Status Centers are now connected through the civil status system and government agencies are now able to quickly interact with one another and access information on the citizens and residents of Oman.

The results have indicated a substantial turnaround in the length of time necessary for documents to be processed and services to be delivered. Issuing ID cards now requires only five to fifteen minutes while the number of transactions has risen to 16,278 ID cards and 31,747 resident cards being issued on a monthly basis. Due to the electronic format of the modernized database, retrieval of information is much more expeditious and simplified as a result of electronic archiving. Furthermore, the new electronic ID cards are multipurpose as they are now able to become integrated with a driver’s license, an e-government card with a digital signature for using special official services, and a credit card. The electronic ID card is being viewed as a single instrument that would be able to access a number of online services.

The Civil Status Project, with the electronic ID cards and the modernized National Registration System, was implemented through an agreement with Gemplus, an international company that specializes in software, digital security and telecommunications.

### **Lessons Learned**

There were a number of lessons and guiding principles that emerged throughout the planning and implementation processes of the National Registration System and the entire Civil Status Project. The first was to set clear objectives and timelines for projects. This is essential in effectively carrying out ideas generated in the initial planning stages.

Second, recruitment of the most suitable, qualified, and specially trained employees is vital in both implementing and sustaining the operations of the NRS. Without well trained and qualified staff, the adoption of a new electronic system would not be effective since specialized knowledge and skills are required to maintain the system.

The third lesson learned was that sufficient financial resources are necessary in order to establish and sustain the new system.

Fourth, the support of the citizenry is essential for the success of any new system. Without the support of Omani citizens and their willingness to embrace a new solution, the Directorate General of Civil Status would not have been willing to continue the rollout of the NRS.

Fifth, proper management of available resources is vital, particularly when the project is aimed at streamlining and reducing inefficiencies and waste. Sound and thorough

planning prior to the implementation stage as well as monitoring the use of resources is important to ensuring that all available resources are allocated appropriately and effectively.

The sixth and final lesson extracted from the Civil Status Project was that the government sector must have the will and capacity to adopt integration policies and link the work and services public institutions together via an electronic system. Given the administrative burden that government agencies faced prior to the NRS, there was a willingness within the public sector to adopt a radically different and holistically integrated approach to public service delivery.

### **Transferability and Replicability**

Should other countries or regions seek to emulate the Civil Status Project and its electronic applications, there are several conditions that must first be met. There must first be a willingness to adopt a system that links the work of several agencies or independent bodies together. Another condition is that there must be financial resources available to support such a sophisticated system. Without available funds, an electronic database could not be properly maintained and operated. Finally, specially trained staff must be available to manage and operate the system therefore human resources as well as financial resources are required for the successful adoption of the system. Without these three factors, it would be very difficult to transfer or replicate the electronic model of the National Registration System.

The benefits of replicating such a system are many as there are social and economic benefits to be derived from accurate population statistics and demographic analyses of the inputted data. New policies that target specific segments of the population can be formulated through the accurate and updated information on the citizens and residents of Oman. Additionally, the integrated platform of the Civil Status Project has made e-government possible and feasible because public sector agencies are able to cooperate and coordinate their work as well as exchange information through the establishment of the NRS and the multifunctional electronic ID cards.

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### **3. Fostering participation in policy-making decisions through innovative mechanisms**

The two cases in this category: India and the Republic of Korea entail the delivery of public services through tripartite relationships involving the community, government, and the private sector and emphasize the importance of decentralization. Governments were not otherwise able to deliver without participation from citizens and these success stories show how effective relationships of this type may enhance government capacity in addressing serious public problems. These solutions do more than address specific problems; they also present catalysts for social change in several ways. Primarily they serve to engage citizens in governance toward promoting a more active role for them, and expanding resources for governments.

i)

#### **Providing access to drinking water by engaging citizens in water management in India**

##### **2009 Category 3 Winner**

Institutionalization of Community Managed Drinking Water Supply Programme and User Level Water Quality Monitoring

Water and Sanitization Management Organization (WASMO) Government of Gujarat

##### **Description**

WASMO was established in 2002 as a Special Purpose Vehicle (SPV) for effective citizens' engagement in drinking water services in rural areas. Community institutions in the form of Village Water and Sanitation Committees (VWSCs) and partnership links between the State and NGOs, and other entities, such as the United Nations Children's Fund (UNICEF) were formed. About half of the population is now connected to tap water while across the country; the national levels are around 12 percent. With a demand driven approach based on the philosophy that "Users are the best managers", the service delivery is now being managed by community institutions in more than 2900 villages financed through regulated tariff collection.

##### **Summary**

Prior to this initiative, water supply in the rural areas of Gujarat was ensured by government agencies and the entire sector was supply driven. A rigid bureaucratic structure gradually led to the 'build–neglect–rebuild' syndrome. Service became irregular, inefficient, and unable to meet the people's requirements. As a result, user satisfaction was low and the people were unwilling to pay the user charges. WASMO was established in 2002 as a Special Purpose Vehicle (SPV) for effective citizens' engagement in drinking water services in rural areas. Community institutions in the form of Village Water and Sanitation Committees (VWSCs) and partnership links between the State and NGOs, and other entities, such as the United Nations Children's Fund (UNICEF) have been formed. About half of the population is now connected to tap water while the same levels are about 12 percent at the country level. With a demand driven approach based on the philosophy that "Users are the best managers", the service delivery

is now being managed by community institutions in more than 2900 villages through regular tariff collection.

### **The Problem**

Gujarat is a drought prone and water scarce State with two-third of the area faced with acute water scarcity. Recurrent droughts and exploitation of groundwater resulted in water availability and quality issues. Internal distribution within villages and habitations was almost non-existent. In several parts of the State, people had to travel long distances to get a minimum quantity of drinking water. Household water connectivity was only a dream for the rural masses and only a few well-off families had access to it. Women and children, on whom the responsibility of fetching water for drinking and other household purposes lies, were the ultimate sufferers of this situation. Downtrodden communities and lower caste groups had specific issues of exclusion and equity in water availability.

A 2003 habitation survey revealed that over fifty percent of the citizens faced water scarcity problems, and in addition, citizen participation mechanisms were practically non-existent. Although, water supply in the rural areas of Gujarat was ensured by Government agencies, a rigid bureaucratic structure gradually led to a 'build-neglect-rebuild' syndrome. Hence, service had become irregular, inefficient, and insufficient in meeting the people's requirements. As a result, user satisfaction was low and the people were unwilling to pay the user charges. .

A decentralised mechanism for in-village water management and distribution was not established and the community had little capacity or awareness about such matters. Monitoring water quality at the users' level was almost absent, due to lack of awareness as well as communication with users. In spite of huge investments being made and infrastructure being created, the efforts were not sustainable and drinking water availability and quality issues, continued to trouble the sector. Water was to be supplied through tankers and even trains to a large number of villages. In the year 2001, 4054 villages were supplied water by tankers.

Without mechanisms in place to foster citizens' engagement stakeholders lacked awareness of their potential to address this problem. Empowerment of community and development of social capital needed a totally different outlook. The institution nominated for the UN Public Service Awards, the Water and Sanitation Management Organization (WASMO) was established as a Special Purpose Vehicle (SPV) in May 2002 to provide for effective citizens' engagement in drinking water services in rural areas, by bringing systemic changes toward providing effective institutional framework for decentralised governance approaches to this problem.

### **The Solution**

Community engagement was seen as a solution for managing the water supply systems and a few initiatives were taken by the State. But they were not very successful. The Royal Netherlands Embassy (RNE) sponsored the Ghogha project in 82 villages in the Bhavanagar district. Envisioned as a community managed programme, it was unable to achieve its objectives. From 1996 to 2000, not even a single Village Water and Sanitation

Committee could be formed. When this project was studied by a panel of experts appointed as a part of the Institutional Development Mission, their observation was that the typical Government machinery was not equipped to handle software matters related to the involvement and capacity building of citizens. This pointed to a need for a special organisation with the required personnel and skills to handle community mobilisation and participatory planning.

A peer group at the level of Government of Gujarat visualised taking up reforms in a mission mode along with the externally aided (RNE) programme for rehabilitation and reconstruction of water supply infrastructure in areas affected by the earthquake of 2001 in Gujarat. The Secretary of the water supply department and Joint Secretary (Projects), along with some reputable NGO's working in the field of drinking water and water resource management were instrumental in creating a Special Purpose Vehicle as an autonomous organization with a non-conventional organisational structure to facilitate a mission mode. The initiative which started as a reform process in two pilot programmes was subsequently scaled up to cover the entire State. Its objectives and strategies were, as follows:

#### **Objectives-**

- To empower rural community through Village Water and Sanitation Committees to plan, approve, implement, operate and maintain their own water supply, manage water resource and ensure safe, reliable and adequate water supply throughout the year by engaging citizens' in decision making.
- To work as a proactive facilitator and provide technical, social and financial support to VWSC's and to build strong partnerships with NGO's, other governmental institutions, donors, United Nations, and other organizations to strengthen local self governance for efficient service delivery.
- To encourage adoption of best hygiene practices and habitat improvement by taking up exhaustive IEC.

#### **Strategies-**

- Formation of an autonomous organization with a non-conventional structure
- Creating institutions at the village level and strengthening them through continuous capacity building
- Focus on IEC and software activities before taking up development of infrastructure for water supply
- Putting the entire programme in public domain, seeking strong citizens' engagement
- Social Process-based demand driven programme implementation for achieving five over-arching objectives, viz., stakeholder engagement, gaining public confidence, strong community leadership, accountability and efficient service delivery
- Building strong partnerships based on transparency and trust with community, institutions and NGO's.

The objectives and strategies were established by a PEER group of government officials and eminent persons working in the sector. After many consultations and a lot of groundwork, it was decided to target transformation at three different levels.

The first level of institutional innovation was in terms of the role of WASMO – as a facilitator rather than a provider- and in terms of the structure of WASMO. From the very beginning it was envisaged that WASMO would not be an implementing agency, but it would facilitate the rural communities to carry out the implementation and bring in administrative reforms for promoting transparency, accountability, equity and responsiveness in public service. WASMO's unique organizational culture incorporates the best practices of the government, NGO and corporate organisations.

The second innovative mechanism was to build strong partnerships with NGOs based on clarity in roles and responsibility. This led to developing operational relationships, which recognize and capitalize on each others' skills and strengths. Accountability, respect and trust have been the key elements for this synergy. NGOs have been selected through a structured process to act as implementation support agencies to the villages.

The third and most important institutional mechanism was to form VWSCs and take the programme into the public domain where the power to question and social auditing lies with the village community. VWSC's were also given constitutional authority by enacting a government resolution. It has been the endeavour of the mission to transfer funds, function and functionaries (3F's) to village level institution through effective and proactive facilitation (4th F)

Networking with other government departments like health, education and rural development, consultation with them to aid decision making, and converging individual efforts of departments, has helped to reach out to wider target groups and to integrating the water, sanitation, hygiene and health issue. The first key development was the introduction of administrative reforms for promoting transparency, accountability and responsiveness in public service. An innovative, forward looking, need-based organization for facilitating reforms through strong social processes at community level was created for this purpose. The second key development was at the village level toward empowering the local community by forming VWSCs colloquially known as Pani Samitis. The Pani Samiti was also provided constitutional legitimacy and as a policy has mandatory representation from all sections of society with a third of the membership reserved for women.

The village assembly is an important tool in eliciting community participation. It facilitates decision making, conflict resolution, and building transparency in implementation processes. It is a horizontal mechanism for policy making at the village level wherein, views of all groups are reflected and holistic planning for water supply systems can take place. It is mandatory for the VWSC to refer to the village assembly at six crucial stages viz., project acceptance, formalizing the VWSC, finalizing the Village Action Plan (VAP), allocating physical works to different parties, presenting the final reports, and setting water tariffs.

Some steps for transparency include social audits through the village assembly, where every important decision taken by the VWSC is vetted and approved, release of subsequent installments after a technical and financial audit, display boards positioned at a prominent place in the village with details of the scheme, duties of the VWSC, an item budget, estimated expenses and final expenses, and audits of the VWSC accounts by appointed auditors.

### Lessons Learned

Challenges and successes provided opportunities for learning. Challenges were experienced in three main areas: social, managerial, and financial. From a social perspective, a prior centralized system of water supply for several years had caused villagers to be over dependant on suppliers. Hence, a system where the community needs to pay towards capital costs was hardly acceptable, far less the convincing the community to take over the organization and management of the entire system by paying a tariff.

Another challenging task from a social perspective was bringing everyone on a common platform. What contributed to this were the caste structure, related socio-economic status, and age old beliefs about inequality contribute to making rural dynamics very complex. In the patriarchal system, exclusion of women due to various reasons, from caste to low levels of literacy, to a general lower status in society, makes their participation in planning and developing water supply systems difficult. The powerful often also try to hijack the entire system, and the poorer sections may be excluded by not being informed about or called for meetings, or due to their inability to make a monetary contribution. There are some people who wait in the wings to disrupt the programme mid-way.

These problems have been overcome through continuous dialogue with the people, development of local leadership, placing the programme in the public domain, visits to successful villages and other social processes.

From the managerial standpoint, years of dependence on the government for the organization and management of water supply systems led to the general belief that communities may not be able to handle the management of water supply systems because of the professional aspects, such as engineering and finances. Thus, the community in general seemed to lack a management culture and confidence in its abilities was low. Capacity building on organization and management issues, record keeping, financial management and involving motivated village members (teachers, elders, youths helped to prepare the community for roles in organizing and managing their water system

A timely and continuous flow of funds to the villages once work begins can establish the integrity of the facilitating agency. This was done by consciously deciding to bypass the taluka Panchayat and transferring the funds directly to the villages, in their separate bank accounts.

Willingness to pay and cost recovery for organizational and management systems was

considered a key challenge for the sustainability of the village level systems. This was achieved through generating understanding on sustainability issues from the beginning of the initiative, and through developing demand based systems to make service delivery efficient. Satisfied with the services, the community was more willing to pay. Rising enthusiasm from the community, project benefits, and positive feedback, in turn compelled the State and Central Government to make sufficient budgetary allocations to scale up the programme.

In terms of the human resources needed, WASMO has a multidisciplinary team with professionals from engineering, social work, management and finance, environmental sciences, communication and documentation. The composition is young and drawn from the open market on contract basis in a transparent manner. A large number of professionals are young and they are guided by relatively very senior professionals most of whom are on deputation from the government departments. Starting from a small team of 20 professionals, now a team of 510 persons is working in the programme.

Community engagement being the central premise of all the programmes, WASMO's staff structure lays great emphasis on professionals from the social sciences and communications background. About 38 per cent of the staff is from the field of social work, rural management, and development communication/journalism. About 37 per cent of the staff also has Masters degrees in various fields.

Since inception WASMO has established partnerships with organizations involved in rural development to work at grassroots level. The partnerships are built on a shared vision to address the basic need for drinking water. NGOs have been selected through a structured process of accreditation to act as Implementation Support Agencies (ISAs). Today there are more than 75 reputed NGOs associated with WASMO as ISAs.

The initiative has been successful due to strong partnerships with community leaderships who have volunteered for taking up the works in their villages for the benefit of the community. Partnership of the community is an outcome of the strong social processes at the village level.

The most effective outcome of the initiative has been the emergence of effective local leadership, which has provided a social dimension to the entire issue. The local leadership has worked for mobilising the community and implementing the projects without any incentives. Social recognition and development of village environs have mostly been the motivational factors for local leaders. Capacity building of local leadership has resulted in building up a strong social capital that is responsive, accountable, transparent and active for addressing the water supply issues at users' level.

Key elements for success included the following: high level of transparency, proactive facilitation, strong team effort by professionals of WASMO and NGOs, a professional organizational structure with emphasis on people with social science backgrounds, exhaustive IEC strategy, social processes at the village level, the Village Assembly as a strong tool for social auditing, clear partnership agreements with VWSCs and NGOs with



regular follow-ups, full community control over finances, flexible approach for utilizing innovativeness and traditional knowledge of community, and direct facilitation of village level governance from one point for reduction of bureaucratic delays have been the main attributes for success of the initiative in this regard.

Several misconceptions about the rural communities and their capabilities to plan, implement and manage in-village infrastructure and development works have been put to rest. Gram Panchayats and the rural community have proved that they are:

1. able to bear responsibilities, implement construction meeting high standards of quality and
2. maintain financial discipline and transparency
3. willing to contribute towards capital costs for water supply systems as well as for the O&M of the systems
4. able to resolve conflicts and arrive at a consensus
5. able to understand issues related to water quality and safety upto users' level
6. empathetic to socio-economic diversity and can plan systems that take care of the underprivileged and labour class
7. conscious about caring for traditional/local sources and using their water resources in a conservative and prudent manner
8. able to impose socially acceptable regulations for groundwater or surface water use so that drinking water supplies are sustainable.

The villages of Gujarat have also shown that women can take lead and participate actively, if provided the platform and the training. Women self help groups have been instrumental in this respect in several villages. In places, women have motivated the entire community for owning the system when the men were reluctant, while at other places women are operating the system.

Thus taking essential steps in order to facilitate decentralised governance through bottom-up approach, has helped establish a true democratic model of empowering community to achieve efficient service delivery. The community led programme has been able to provide household level water connectivity to about 50 percent of the rural population in water scarce Gujarat State. The impact on health issues is tremendous due to users' level water safety monitoring by community. The initiative has created a win-win situation for community as well as the Government.

### **Transferability and Replicability**

The following issues have been of significance in sustaining the decentralized, community managed water supply programme:

- i.) Sustainability of institutions: Institutions being developed at village level have been made sustainable by continuous capacity building programmes, repeated discussions at the Village Assembly level, continuous facilitation up to withdrawal from the village level to taking up follow up initiatives, even after withdrawal, and facilitating support in case it is needed by developing linkages to resources. It has been observed that the

community is satisfied with the functioning of the VWSC and re-nominates the same people to the committees once the tenure is completed.

ii.) Social processes: The feeling of oneness and working for the common good needs to be maintained over time among the community, if the systems are to remain sustainable. Conflict resolution, empathy for the underprivileged groups, 'water for all' these themes are ingrained in the community during the first cycle. Once the community is satisfied with the services, this  lone is a major driving force to resolve issues and sustain the systems

iii.) Sustainability of water sources: One of the major issues for sustainability of the systems is the sustainability of the source itself. Water resource management (WRM) for drinking water security has been emphasized in the community managed programme. Groundwater recharge work, surface water storages, rooftop rainwater harvesting, maintenance of local sources, supplementation of deficit by piped water supply, conservation in use and conjunctive water use patterns are evolved in consultation with the community. The local wisdom of the people and their years of experience are taken into account while planning the WRM initiatives, which is able to make water supply sustainable.

iv.) Financial and Technical sustainability: The options evolved for the programme are socially acceptable, technically simple and financially viable which can be sustained within the means of the rural community. The options so provided are selected by the community and due to capacity building; financial computation and technical maintenance, the systems developed are proving to be sustainable.

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ii)

## **Encouraging citizens' engagement with city government through open discussion on a new online portal in the Republic of Korea**

### **2009 Category 3 Finalist**

Online Portal to Engage Citizens in Government Decision-making  
Seoul City's Oasis, Seoul Metropolitan Government

#### **Description**

Oasis is an excellent example of e-governance that provides citizens with faster and better services through information technology. Created on the basis of the fact that more Koreans have Internet access than ever before, Oasis was greeted even more enthusiastically than expected and has become established as a citizen's governance model.

#### **Summary**

Seoul City ran a citizens' creative idea suggestion system from 1997 to 2007 in order to urge citizens to participate in the policy making process of the city. However, it was a rather closed system in that citizens filled out a suggestion form and submitted it in person or by mail and were notified whether their ideas would be adopted or not a month later. Since those ideas were reviewed in closed-door meetings without the participation of the idea providers, the system was bound to have limited success and drew little interest and citizen participation. The OASIS system was created as a more open and interacting system to serve as a channel through which citizens actively participate in the city government and suggest fresh ideas for improvements. . Oasis (oasis.seoul.go.kr), which was initiated on 10 October 2007 represents creativity and imagination as Seoul City's vision. Oasis was greeted more enthusiastically than expected and became established as a citizen's governance model. As of 31 December 2008, 2.9 million citizens had visited the site, some 20,000 ideas were submitted, and 70 of them were adopted in the form of policies.

#### **The Problem**

Seoul City ran a citizens' creative idea suggestion system from 1997 to 2007 in order to urge citizens to participate in the policy making process of the city. However, it was a rather closed system in that citizens filled out a suggestion form and submitted it in person or by mail and were notified whether their ideas would be adopted or not a month later. Since those ideas were reviewed in closed-door meetings without the participation of the idea providers, the system was bound to have limited success and drew little interest and citizen participation. The ideas adopted were supposed to be developed and put into practice under the supervision of the relevant departments, but most of them were not brought to life, due partly to frequent staff shakeup and civil servants' lack of interest in the system.

#### **The Solution**

With the inauguration of the 4th elected mayor of Seoul, Oh Se-Hoon, Seoul City embarked on creating an information and communications system to serve as a channel

through which citizens would actively participate in the city government's decision making processes, suggesting fresh ideas for municipal improvements and bringing creativity and imagination to public policy making. As soon as he was sworn into office on July 1, 2006, Seoul Mayor Oh Se-Hoon launched the "100-Day Creative Seoul Promotion Headquarters," a temporary organization designed to lay the foundation for the "creative city administration" consisting of a group of civil servants and civil experts. The Mayor concentrated on spurring creativity and, as a result, created Oasis.

The Mayor designated a civil servant in each department to manage and monitor citizens' ideas and had the Management Planning Office provide support for budget formulation, organizational reform, and legal revision. In addition, a civilian group named the "Imaginative World Club" manages the web site by reviewing various ideas suggested by citizens in terms of their quality and value and by discussing them with experts and Seoul municipal government.

The "Imaginative World Club" was opened by a citizen named Choi Jeom-Yong on Nov. 9, 2006. Since then, over 340 citizens have become active as members ([club.seoul.go.kr/sangnuri](http://club.seoul.go.kr/sangnuri)). The club serves as a think tank and plays an essential role in vitalizing Oasis by reviewing ideas posted on the site, replying to posts, recommending them to others, and offering site operation-related ideas to the municipal government on Seoul City.

In order to attract citizens' voluntary participation, Oasis needed to be unique enough to set it apart from other Internet sites. Seoul City simplified the membership process so that citizens could have easy access to the site and post their ideas, pictures, and other sources, and added various types of content to the site, including an animation theater, flash games, emoticons, and reward mileage.

The City reviewed various ideas suggested by citizens in a meeting held every other month in a casual environment entirely different from ordinary meetings in a formal atmosphere. It also strived to reach out to citizens for their active participation. They made every effort to promote Oasis and to improve its public recognition by attaching advertising posters to the interior of subway cars and buses, by broadcasting advertisements on radio (Seoul Traffic Broadcasting System) and via electronic boards, and by sending direct mail to the members of the Seoul City Homepage.

Once citizens post their ideas on Oasis, members of Oasis and civil servants read them and reply to the posts. Seoul City reviews them and selects some ideas with creativity, and a high number of votes, replies, and hits. It then holds a discussion with citizens, civil servants, and civilian experts, who engage in open debate on the viability of the ideas and seek ways to bring them to life. After the discussion, Seoul City holds a working-level meeting and selects the ideas that will be brought up for further discussion. Finally, it holds a meeting to make decisions on those ideas with the Seoul mayor, idea providers, experts, civil servants, and citizens in attendance.

Since the opening of the site on Oct. 10, 2006, the number of visitors to the site and public interest in it has been growing. Seoul City continues to hold a meeting every other month to bring fresh ideas to light, since the first meeting on Nov. 21, 2006. On Feb. 12, 2007, Seoul City added the “Wow Seoul” menu to the site into which citizens can upload their video clips and pictures and gain information on major tourist attractions in Seoul, in addition to other features. In Sept. 2007, Seoul City revised the site for a 3rd time and added new content, such as the “Guide to Oasis” and “Seoul City Policy” to encourage citizens’ active participation. In Dec. 2008, Seoul City redesigned the main homepage for site visitors to create easy access to a variety of information on the city government, so that they can refer to it when they suggest ideas.

### Lessons Learned

As is usually the case in development management, cooperation from employees and stakeholders can make or break a project. In the case with Oasis, by utilizing a humanistic approach to management, anticipating that civil servants working in relevant departments are bound to be discouraged in the face of various challenging management, was able to circumvent the impact of such problems on the success of the project. Problems often encountered include insufficient funding, a lack of workforce resulting in excessive workloads that eventually result in employees becoming more passive. In order to address these kinds of problem, Seoul City drew up an early plan to promote civil servants’ active participation and assigned the duty of replying to the posts on Oasis to staff in the Creativity Promotion Division so as to relieve the workload of the civil servants of other divisions and departments. They also introduced the “Oasis Keeper of the Month” system to reward the civil servant who posts the most replies. This motivated civil servants to participate in replying to citizens’ posts more actively.

It is, however, necessary for Seoul City to secure consistent funding for prizes to the citizens whose ideas were selected (prizes comprise gift certificates worth approx. US 73.00), rewards given to the civil servants who actively participate in the Oasis project by replying to posts and putting the selected ideas into action, and site upgrade and maintenance. Seoul City expects that public interest and participation in Oasis will grow consistently, and plans to come up with a legal basis in order to award the citizens and the civil servants who contribute to the development of the Oasis project.

The success of the Oasis project can be attributed to various factors. Above all, the site urges citizens to participate in the city government’s policy making by suggesting ideas, and reflects their ideas in city policies through discussions among citizens, civil servants, and experts, which attracts public attention to and interest in the site. Also, the site proves that Seoul City takes citizens’ ideas seriously enough, and Mayor himself leads public discussions about their ideas.

The continuous development and success of the Oasis project lies in the Seoul Mayor’s leadership, in the determination to keep up with historical demands for change, in citizens’ active participation, and in civil servants’ passion for bringing citizens’ ideas to reality.

### **Transferability and Replicability**

Oasis serves as a model for other institutions as it was conceived as a portal that thrives on citizens' participation and interest and thus sets itself apart from other similar sites. For this reason, Oasis has been benchmarked by many institutions, for providing both citizens and the local government with opportunities to suggest their creative ideas for administrative reform and to communicate with each other, unlike other participatory systems that tend to be one-off and mostly for airing complaints and administrative grievances.

The institutions that have benchmarked Oasis vary, including public institutions (including the Presidential Transition Committee), Northern Chungcheong Province Office, Korea Coast Guard, Busan City, Daegu City, and private institutions, including Samsung Electronics, Samsung Fire, Woongjin Coway, Yonsei University, and Ewha Womans University.

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## **4. Advancing knowledge management in government**

Knowledge Management involves collecting, storing and disseminating knowledge in organizations. It facilitates the sharing of knowledge and its preservation toward continuity in the face of organizational change. In the case of Poland represented here, knowledge management contributed to public sector reform and was effective more so toward the discontinuity of previously held and obsolete concepts and practices in public administration. The case shows human resources development at the center of organizational change and the redefinition of these resources through innovative educational processes. For developing countries the Polish example emphasizes the need for flexibility in providing comprehensive educational programs that reflect the needs of diverse organizations and potential public service professionals.

i)

### **Transforming public administration practices and culture by providing adequate responsive training in Poland**

#### **2009 Category 4 Winner**

National School of Public Administration/ Krajowa Szkoła Administracji Publicznej (KSAP)

## Poland

### Description

This initiative comprised the establishment in 1991 of a National School of Public Administration (known in Poland as KSAP) with the mission to provide adequate and appropriate training for public servants. From the on set, KSAP has been instrumental in knowledge sharing among Polish public administration agencies, and in popularizing values and attributes typical of effective, efficient, open, responsive, socially responsible, and transparent systems of governance. Since its establishment KSAP has offered more than thirteen thousand specialized courses and approximately twenty-six thousand civil servants have received training.

### Summary

Education and human resource development were recognized as central to administrative reform in Poland. Political leaders provided the necessary support for the establishment of a School of Public Administration, and although faced with many challenges in developing contemporary curricula and course delivery, educators at the new school used several innovative methods to deliver a program that was current, flexible, and inclusive by setting up a framework for collaboration across administrative organizations and sectors regarding their human resource needs, and by facilitating knowledge sharing in public administration nationally and internationally.

### The Problem

In 1989 Poland staged its first elections in forty years signaling the beginning of a new era in Polish public administration. Although, the obsolete practices of the prior authoritarian government remained deeply entrenched in governmental bureaucracy, Parliament recognized that institutionalizing democracy would require a general transformation of bureaucratic culture. This challenge is known to confront countries in transition and related issues can make or break successful reform.

Re-conceptualizing government as being in the service of the people demands responsiveness and the bureaucratic practices fell disappointingly short of civic and political expectations when it came to delivering adequate public services. The public sector was perceived as ineffective and inefficient. Moreover, the remnants of an authoritarian style of administration contributed to perpetuating processes that were very often cumbersome to citizens.

Improvements could be achieved through incremental yet steady change, including the democratization of government agencies and modernization of available legal, institutional and technological infrastructures. This would call for continuous allocation of funds to be invested in educating and training public personnel, which itself would entail the establishment and execution of a system for training-needs analysis and of training program curricula for civil service professionals. There was no specialized institution in Poland that could promote the required improvements in Polish public administration by gathering and disseminating knowledge concerning best administrative practices that could popularize the appropriate attitudes and values, and that could

provide a platform for the exchange of information among civil servants employed in public administration, or for achieving a center for administrative expertise and excellence.

### The Solution

Poland chose the “fast track” approach toward organizational change when in May 1990 the government in power proposed the establishment of a school for training and preparing government public service professionals. This was supported by Parliament, mandating the provision of adequate training to public personnel. At the beginning of September 1991, KSAP admitted its first class of students with the commitment to educate them for public service and to produce politically neutral and competent, responsible professionals with impeccable ethical reputations. In addition the school would endeavor to popularize values and attributes typical of effective, efficient, open, responsive, socially responsible, and transparent systems of governance.

From its inception, the school was forward-thinking. Essential components of KSAP’s teaching system are: (a) continuous research on training-needs and assessment of its curriculum in relation to these; (b) a steady contact with its stakeholders, primarily offices of public administration at central, regional, and local levels of both governmental and self-governmental organizations. This interactive approach allows KSAP to change both the content and format of its curriculum to adequately address the needs of the public sector. Through close ties with public administration agencies, KSAP is also in a position to initiate changes and improvements, which result from the School’s research into best practices from the international public sector.

In order to address problems inherited from prior governments KSAP launched an abundance of teaching and research programs with the aim of contributing to a massive, large-scale, transformation of Polish public administration, rather than pursuing incremental change. The teaching curriculum was designed to target two groups of public servants: one includes an eighteen month program for university graduates under thirty-two years of age. On completion they are expected to enter public service careers. The second includes a variety of continuous training courses offered to those already employed in government organizations with the need to embellish their qualifications and at the same time benefit from training strategies in line with the new conceptualization of Polish public service administration. Since its establishment almost one thousand students of the first teaching track have graduated from KSAP, and a total of approximately twenty-six thousand civil servants have completed various courses offered by KSAP. More than thirteen specialized courses have been offered by the end of 2008.

In general, KSAP pursues a close relationship with its stakeholders and in addition to its focus on the transformation of Polish public administrative culture and practices and culture, several program initiatives have been for the benefit of civil society and nongovernmental organizations. Some of programs include courses in strategic management and Total Quality Management. Other client and service-oriented courses include the one-step approach to processing citizens’ administrative issues (which means



elimination of organizational funnels, streamlining procedures, and making the citizen possible to contact the office only once), and e-government.

Within the period of 1992-2008, approximately thirteen performance assessment questionnaires were distributed and processed by KSAP. During this period KSAP students prepared thirty-four topical “know-how” conferences on the emerging and most important administrative issues. In addition, independently from this initiative, KSAP organized three hundred conferences with a more academic focus. KSAP also has a tradition of organizing meetings with prominent, high-profile international administration practitioners. During the period under review, almost eight hundred meetings of this kind were organized.

The most recent development at KSAP (introduced in 2008/2009) is the establishment of a seminar and tutorial system of learning. Both forms of learning allow(a) the introduction of highly specialized courses (addressing emerging public administration issues of significant concern) into the curriculum, and (b) ensuring that contact between the teachers (mostly high profile academics with practical experience in public administration) is very individualized, as a result making feedback more effective.

### Challenges

Three major challenges confronted KSAP:

1) A human resource deficit through lack sufficiently high-profiled teachers to deliver courses.

In general, KSAP has no full-time faculty. The School relies on specialists in the specific course related fields, hired in the short-term as required. Those involved have built long-lasting relationships with the School. In many cases they are leading experts and are very often also practitioners, essentially, with the necessary academic grounding.

2) As symptoms of traditional organizational culture, there was the reluctance among stakeholders to interact closely with administration, to openly state their opinions or to express their expectations. Similarly, seminar type formats for course delivery with active student participation were not readily acceptable in place of more formal and static methods.

Seminars and topic workshops, however, emerged as one of the major features of the School in knowledge management, in particular, regarding current issues, and the application of new information and communication technologies to public administration, as Poland mover toward processes of e-government. There has also been a concentrated effort to make use of case studies and domestic as well as foreign administrative internships as other applied method for honing skills needed.

3) Many practices by KSAP were new, or were new applications of already existing international best practices. Their application and adaptation to local circumstances gave rise to high implementation costs measured mostly by the efforts of staff and faculty.

KSAP was established on the premise of revolutionary change to transform Polish administration, but additionally that change was achieved through a plethora of smaller, concrete steps and networking links extending across the world that constituted a dynamic process of organizational and social learning. KSAP has demonstrated concurrently the validity of both incremental and revolutionary processes of organizational change.

### Transferability and Replicability

KSAP pursues its organizational development strategy based on a close relationship with its stakeholders. Many curricula (even those of a multidisciplinary character) are designed in close cooperation with public administration agencies. Participants can assess respective curricula according to their interest. Many courses are offered, as a product of various types of training needs assessments. KSAP's experiences and practices (both general and specific) proved to be highly sustainable and have had a tremendous impact on organizational design and curricula of other public administration schools in Poland and in the region. Its practices and initiatives have been received with great interest in the public sector, mostly for their sustainability and, above all, transferability.

The School presents a time-line reflecting the progress on its development, which may be useful as a guide to similar organizations in their planning processes.

1991-1992: creation and design of basic curriculum

1992-1995: development of generic basic curriculum and feedback practices

1996-2002: strong internationalization of curriculum, strong international cooperation and broadening teaching offer to Eastern and Central Europe, stronger focus on continuous training programs,

2003-2007: introduction of a more systemic approach to training needs assessment and teaching feedback

2008-2009: introduction of seminar and tutorial system (augmented with the system of study visits)

### Lessons Learned

Three key factors are presented in this case as instrumental in administrative reform: collaboration between political and administrative leaders, the role of human resource development in contributing to organizational change, and the importance of flexibility in education systems toward realizing results in the short-term.

This case is an excellent example of collaboration among leaders. Political representatives establish a dire need within the national administrative framework and stakeholders seize the opportunity to collaborate in their mutual interest. There are many examples of a more dichotomous relationship between political representatives and public administration leaders in most countries, but in the case of Poland, the role of political representatives is facilitative, which provides direction to educators leads to team work among stakeholders, and to positive results.

There was early recognition of the human side of public administration in steering organizational change and improvement. Polish leaders saw that developing their human

resources was fundamental to reforming government institutions in order to ascertain democratic approaches in delivery of public goods and services. Educational socialization and instruction were selected as tools. Courses promoting democratic values were understood as being as important in public service delivery as communication, European affairs, management, public finance, and technology. Indeed, building the public service ethos essentially provides the source of inspiration for public service professionals.

KSAP succeeded in developing and offering a flexible education system. First, programs were designed to include aspiring public service professionals as well as to provide opportunities for career bureaucrats to update their knowledge and skills. Secondly, KSAP liaised with stakeholders to determine the knowledge and skills needed in their various institutions. Whereas the target was primarily government agencies, nonprofit organizations and private owned-organizations were also included in the collaborative efforts. Next, there was enough flexibility in the curricula to allow individuals to chart courses that would satisfy their individual interests in addition to meeting the essential requirements of the programs. Finally, programs facilitated several learning methods that served to customize the learning process, as well as to be reinforcing to each other.

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# PART THREE

## Lessons Learned from the United Nations Public Service Awards Winners and Finalists

2009



## Chapter Three

### Lessons Learned from the UN Public Service Awards

We have wasted opportunities and face additional challenges, making the task ahead more difficult. It is now our responsibility to make up lost ground –and to put all countries, together, firmly on track towards a more prosperous, sustainable, and equitable world.

Ban Ki-Moon Secretary General of the United Nations

#### **1. The United Nations Public Service Awards and Achieving the Millennium Development Goals**

Much progress has been made toward achieving internationally agreed on development goals and to build on this UN Member States can learn from each other in addressing as well as in avoiding some of the difficulties that challenge their advancement. The twelve successful innovations described in this publication afford us the opportunity for many lessons in governance and public administration, especially in the following areas: innovative citizen engagement and participation in governance, innovative human resources management, and innovative management strategies. The importance of fostering relations with citizens was apparent in several cases with citizens' interests at the center of public sector decision-making as well as with citizens becoming actively involved with policymaking and in the delivery of public services. We can also discern from the UNPSA examples that institutional building rests to a great extent on human resource development and that the utilization of modern information and communication technologies is an investment in an organizations human resources. Developing ICT infrastructures empowers employees to achieve organizational outputs more efficiently and more transparently, in either situation transcending traditional expectations of behemoth type of bureaucracy, buried in 'red tape', unresponsive, and unaccountable. Successful stories from the 2009 UNPSA demonstrate a positive correlation between these aspects of public administration and governance and effectively solving public problems. The success of many of the innovations in public administration and governance evidently rests on inclusion and responsiveness. Outlined below are the lessons learned from the cases that demonstrate this.

#### **Innovative citizen engagement and participation in governance**

Educating citizens is an important aspect of public service delivery by enabling them to care for themselves when this is an essential aspect influencing policy outcome and service effectiveness. This was demonstrated, for example, in cases that address improving government responsiveness and health care. Educating citizens can contribute

to increasing restoration to health, reducing periods of hospitalization and reducing requirements for follow-up visits to health care facilities. Educating citizens also strengthens governments when they can benefit from diverse perspectives in decision-making and problem solving processes, and receive constructive feed-back on improving service delivery. Dialogue with citizens facilitates this and when this dialogue commences with citizens from an early age it can become a fundamental aspect of citizenship.

Citizens' perception that government is acting directly to demonstrate interest in their individual well-being and that of their families contributes to their satisfaction about governance, their willingness to cooperate with regulatory processes, and their willingness to pay for services. This can be achieved through combinations of citizen engagement and public sector response to inputs from citizens. Citizens want to know that their opinions are fairly considered. Facilitating the measurement of public service delivery according to citizens' values is another way to reassure them that their government is acting on their behalf.

Citizen engagement and participation in governance is an effective way to achieve social consensus and solidarity. This can be conducive to successful policy implementation. An example of this is agreement on a vision for a city or country, with related goals and objectives that require citizen involvement and cooperation. Sometimes incentives are necessary to achieve agreement and initiative among citizens, for example, in cases such as utilizing new technologies that may require practice and tuition in the short-term, but yield enormous benefits in savings for government, as well as for citizens.

For all of the reasons listed above, citizen engagement and participation in governance is vital to achieving the Millennium Development goals, for example, toward ensuring environment sustainability. UN Member States agree to reduce by half the number of people without access to potable water. In large parts of the developing world, continuous access to safe supply of water is often limited and water often contaminated, exposing the public to health risks. Educating citizens on how to decipher the purity of their water and engaging them in delivery management can contribute to increasing access and reducing waste. Case in point, in Gujarat, India, a Special Purpose Vehicle was established as an autonomous organization on which government representatives and NGOs are represented. This tripartite relationship involves a transfer of powers, resources and responsibilities to the community – leading to a paradigm shift in governance. This is a major innovation, which is proving to be helpful in empowering the poor and increasing access to drinkable water and improved standards in water sanitization. This led to the formation of Village Water Sanitation Communities, a strong partnership with NGOs, and has brought access to clean and dependable water supply to nearly 160 million people so far.

The committee was able to address key challenges such as the unwillingness to pay user charges, caste and religious divisions and gender based exclusion. It has succeeded in combating the negative feeling that communities cannot handle management of complex services, such as water supply, which should be left either to the governments or to the

private sector. The project broke myths regarding the community, regarding their capacity to plan, implement and manage in-village infrastructure and development work, and regarding the role of women in rural society, as women traditionally relegated to the background found their voice and have often led from the front.

The Gujarat, India case proposes an alternative to the traditional Public-Private-Partnership paradigm by engaging in a Public-Private-**People**-Partnership. In this new paradigm the challenge is to determine how to attach a value to people participation. The social process-driven approach has provided a new dimension to the “engineering” approach to water management issues. An important lesson learned is that decentralization is important, but at least as relevant is the process, namely people working together and making it a community-led process effort.

### **Innovative human resources management**

To a great extent effective governance and public administration depends on the availability and disposition of public service professionals. The 2009 UNPSA winners and finalists reveal in a number of ways that the challenge to adequately staff government agencies may be due to a dearth of employees, as much as to a lack of motivation to public service. Understanding this is vital to the success of public sector recruiting strategies, employee satisfaction, and staff turnover. In countries where government is the largest employer, the public sector might not appreciate the need for concern over this matter, but employee satisfaction is critical to productivity and performance levels and motivational sources determine employee satisfaction. For the past thirty years, public administration scholars in North America and Western Europe have conducted many studies to construct a model to explain public service motivation. This is a work in progress, but a frequent research result is that public employees are more intrinsically motivated than extrinsically so, and the intrinsic motive is essentially satisfied achieving meaningful work.

Traditional bureaucratic structures have customarily dampened employee motivation, for example, through unrealistic workloads, and out-dated, inflexible procedures. Public managers are therefore challenged to make public employment more attractive and invigorating. Human resources managers are increasingly more focused on employee career development, for example, by accommodating, as far as is practical, internal recruitment for filling vacancies. Providing more options for presenting employment benefits is another effective employee career development strategy. One such option is to offer subsidized educational programs.

Many of the 2009 UNPSA success stories thrived on innovative human resource strategies, through utilizing ICT, for example, for capacity development and toward human resource empowerment by contributing to enhancing their efficiency. Citizen direct consultation with experts contributed to increasing trust in government. Human resource development was also used as a strategy for public sector reform, through transforming the mind set to achieve change in organizational culture, replacing old bureaucratic methods with contemporary, sometimes customized, educational programs.

Customization processes demonstrate collaboration between political and administrative representatives, a relationship that has often been at odds, as recorded in the history of public administration.

### **Innovative management strategies**

It would be straight forward to expect that innovation entails high levels of experiment; however, successful stories from 2009 UNPSA winners and finalists show that strategic management processes are essential. These include setting clear objectives and realistic timelines, with timeliness as an important aspect. They also include open dialogue with potential partners to foster healthy partnerships and working relations. In the instance of unexpected challenges occurring in the process of implementing innovative policies, further innovation proved to be effective. Process flexibility was also a useful alternative, contributing to accommodating system modifications and to raising levels of inclusion.

## **2. Key principals and strategies for innovation in governance and achieving the Millennium Development Goals**

From its inception in 2003, the annual UN Public Service Awards contest has provided an opportunity to review innovative practices in governance and to learn from the experiences of the award winners and finalists what works most effectively in materializing innovations as successful public service. An earlier UN publication *Good Practices and Innovations in Governance (2009)* includes a summary of the lessons derived from previous years as guidelines for fostering innovation in public service delivery. In the summary, ten factors were presented that were found by the award winners to be critical to building an enabling environment for innovation. These ten factors fit in essence into the following three categories: collaboration, effective leadership and learning. First, we will review the findings from past winners, and utilizing similar methods of assessment, we will consider the lessons provided from the experiences of the 2009 UN Public Service Awards winners and finalists, which present an additional three factors, as follows: citizen-centric governance, public sector professionalism, and strategic approaches to public management.

Based on successful case studies from past UN Public Service contests, collaboration, effective leadership, and learning were central to the successful development and implementation of the innovative projects. Collaboration comes in many forms and in the cases reviewed, cooperation, partnerships and teamwork paved the way for innovative ideas and practices by contributing to building strategic relationships within organizations as well as with civil society and citizens in general. Such relationships lead to cooperation and to sharing of resources, in this way expanding the potential and scope of the public organizations in accommodating the requirements for implementing new and innovative programmes, and in responding to public needs and expectations.

From the second key factor, effective leadership, we learn that public managers thrive on clear political leadership. That is, leadership informed by and founded on agreed principles, such as commitment, first and foremost, to serving the interests of the public



and to enhancing the quality of their lives. This serves as the foundation for public policy decision-making and provides the public manager with a clear frame of reference in determining their own leadership objectives, as well as in making difficult choices, and when required to, in exercising their discretion. Clarity in leadership objectives can be forceful in promoting innovative practices and programs within public organizations, where successful implementation is contingent on employee effort and motivation. Shared values have been proven to be germane to public employee job satisfaction and to increasing their productivity. In many cases innovative projects are successful in part because public leaders have been able to gather human resources commitments in respect of shared public centered principles and values.

Finally, the third factor derived from past winners is learning, which encompasses knowledge management and knowledge sharing, disposition and commitment to life-long learning, and, indeed, organizational structures conducive to these. The quest for knowledge is well known as a fundamental principle in the field of public administration. During the twentieth century public administration scholars and practitioners world-wide understood the complementary relationship between scholarship and practice and were committed to building a field based on scientific knowledge (based on evidence). At the turn of the century, with the advent of the Information Age, Information and Communication Technologies can provide for collecting and distributing knowledge, therefore, if utilized, the scope for knowledge building in public agencies abounds. Certainly the utilization of these technologies as learning tools becomes critical to effective and innovative public processes in several important ways, as follows: distributing and exchanging educational and informative material between public employees and citizens, facilitating communication between citizens and public agencies to inform public policy, accommodating storage and retrieval of organization's collective knowledge and expertise toward continuity, and very importantly, achieving these in a timely manner. Many of the past UN Public Service Awards winners achieved momentum in innovative practices by created learning environments facilitated by ICT.

Collaboration, effective leadership and learning have proven to be vital factors in building and sustaining innovative public sector environments. Adding to these, from reviewing case studies of the successful 2009 UN Public Service Award nominees, three others factors have been identified, as follows: citizen-centric governance, public sector professionalism, and strategic approaches to public management. Citizen engagement empowers citizens to influence public decision-making, an educational process for the citizens, as well as for the decision-makers. This process builds on good communications and open dialogue across public organizations and with their publics. Organizations that support citizen experiences in innovation help to build their confidence in innovative activities, both as beneficiaries and as creators themselves. Their engagement in this way facilitates a social auditing tool that public agencies are wise to capitalize on in tracking citizens' satisfaction and in building citizens' trust in their government.

It is important to citizens' that government is formulating goals from their view point, and devising normative processes to impact their wellbeing and quality of life favourably. To a great extent, governments assume a responsibility to citizens, and that they are

proactive in this regard engenders reciprocal responsiveness that is central to innovative and successful public programmes. Citizens feel assured when they perceive that theirs is a concerned government. Often this concern can be demonstrated with flexible public programmes that allow for attention to minority issues and in this way encourage public participation and responsiveness. Innovation is a key factor in achieving programme flexibility, since it can provide alternatives and for customization based on these.

Studies have shown that public service career aspirants are receptive to recruiting strategies that appeal to their sense of professionalism. For this reason professional organizations and institutes of higher education can play an important role in building public agency human resources. Successful 2009 UN Public Service Awards innovation cases demonstrate that trained, professional and well prepared human resources were critical to their success. Professional organizational structures and humanistic approaches to management contribute to sustaining the professional motive. Investment in supportive ICT systems, for example, is well conceptualizes as a demonstration of this, and indeed as an investment in human resources.

Strategic management is primarily concerned with acute awareness of an organizations' contextual environment. Public managers are almost always confronted with challenges emerging from their context in social, political, economic, and technological terms. In many cases, these are also the elements of advantage. How to manage these strategically is an important area of concern. Setting clear goals and objectives, timeliness, openness with potential partners, and flexibility were listed in section 1- of this chapter as important lessons derived from the 2009 UNPSA success stories. Indeed motivation thrives on contextual momentum, building on internal strengths and external opportunities, and is guided by clear thinking and planning. Clear thinking fostered innovation. Clear thinking built on problem solving approaches that focused first on identifying the source of the problem. The ability to react positively to challenges as opportunities for growth was another management strategy conducive to innovative solutions. Finally, a high threshold level for frustration proved to be a useful resource.

Below is a list of key principals for innovation in governance and public administration, as a summary of lessons learned on innovation in governance and public administration.

#### List of Key Principles and Strategies

Collaboration  
Effective Leadership  
Learning  
Citizen-centric Governance  
Professionalism  
Strategic Approaches to Public Management

