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Networked Public Administration

Organisational Concept for a Federal eGovernment Switzerland

eCH White Paper

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1 Foreword

Dear Readers,

Regular feedback from surveys shows that the vast majority of the population and businesses in Switzerland are very satisfied with the performance of "their" federal administration. This is partly attributable to the fact that the administrative bodies deliver their services on a decentralised basis, ensuring proximity to the client. One strength of federalism is that the decision-making power is located as close as possible to the situation under evaluation. This provides strong motivation to deliver an efficient service.

This strength now needs to be transferred to the world of on-line administration, even if the fragmented structures of federalism are often cited as a major hurdle when discussing the reasons for Switzerland's poor standing in eGovernment rankings. Resolving these apparent contradictions is both necessary and possible. The use of information and communication technologies allows the Federal Administration to provide more efficient administrative services and to deliver them in a more "customer-friendly" way, whilst also preserving the decentralised decision-making structures as much as possible. The key term in this context is **networked administration**.

This study examines this phenomenon and analyses the trend towards networked administration as a contribution to the eGovernment vision for Switzerland. It provides a conceptual basis for the eGovernment Strategy Switzerland. It describes the background to developing a suitable administrative culture and is intended as a consultation paper. Much of what the study describes is implicitly incorporated into current approaches and is already being practised to some extent, but needs to be developed and discussed in greater depth.

This study provides a basis for the architecture of the eGovernment Switzerland. It also highlights how several instruments can be combined to implement the eGovernment Strategy and modernise the administrative services. It includes details of processes, process interfaces and service descriptions, etc. in the area of eGovernment. In short, all the issues which are dealt with by the specialist eCH groups and help to produce concrete results in the form of standards, best practices and resources.

The Organisational Concept for a federal eGovernment Switzerland, published in the form of a White Paper, is intended to provide a common organisational framework and basis for discussion. Developed by two leading international eGovernment experts in collaboration with a specialist from the Swiss Federal Administration, the concept has been put forward for

discussion amongst a wide variety of experts from the Administration at all federal levels, along with a number of other organisations. It is aimed at all those involved or interested in eGovernment, either to provoke debate or to encourage them to include related elements in their work. The discussion may well engender additional documents and events, which would help to refine the key principles and insights, and put them to productive use.

I very much hope that this report will make for interesting reading and look forward to further discussion.¹

Peter Fischer, Delegate for the Federal Strategy Unit for Information Technology.

¹ Threads to this discussion can also be found in the "Forum for Administrative Modernisation" at <http://www.amazee.com/forum-zur-verwaltungsmodernisierung>.

2 Introduction

In the initiatives to implement the eGovernment Strategy Switzerland, questions continually arise in a wide range of implementation projects as to the configuration of the intergovernmental cooperation, as well as the networking of distribution and production structures. How should the modernisation approaches of the strategy be interpreted and specifically implemented in administrative practice? *EGovernment Switzerland* requires a common conceptual basis at its core. This will enable the innovative solution concepts and implementations which already exist in many places to be easily exchanged, communicated, critically assessed and, in particular, transferred more effectively. This *eCH White Paper, "Networked Public Administration – Organisational Concept for a Federal eGovernment Switzerland"*, seeks to create such a framework.

Within such a framework, implicit organisational principles that are effective in practice and either detract from or enhance customer satisfaction and efficiency should be made explicit. It is primarily the awareness and explicit knowledge of what is done in practice, and how it is done, that makes it possible to critically assess the present structures and, if necessary, to redesign them. The *Organisational Concept* addresses the question of how to break open organisational and administrative structures that are rigidly fixed to a specific organisation or responsibility, and therefore tend to encourage the development of "closed" systems. An important finding has already been made in this context. In a networked administration it is possible for the process, result and structural quality of the public administration to be significantly improved without impairing the division of tasks which is fixed by public law, whilst also maintaining the federal scope of action.

Where does the public administration in Switzerland stand in this context? Despite the "EGovernment Benchmarks"² specified by the EU, where Switzerland is very low in the rankings, when it comes to quality-related attributes such as the evaluation of bureaucratic hurdles or the susceptibility of the public administration bodies to corruption, Switzerland actually scores very well compared with other countries.³ Indeed, it is evident that many globally active companies prefer Switzerland as a location due to the exceptional quality of its public services in many areas. Current national studies on the acceptance and use of eGovernment offerings by organisations and the general public commissioned by

² See Capgemini, eGovernment Benchmark 2009, www.ch.capgemini.com

³ See the International Institute for Management Development (Geneva): World Competitiveness Yearbook 2009, www.imd.ch/research/publications/wcy/index.cfm

eGovernment Switzerland also confirm the satisfaction with the online services currently on offer.⁴

A key concern of the *Organisational Concept* is therefore to examine and to highlight in a practical context which of the Administration's distribution and production structures contribute to the provision of a customer-friendly, effective and efficient service.

Overall, the *Organisational Concept* reflects the conceptual struggle to identify and present the complex interconnections in a holistic way, and to convert them into a coherent line of argument. The author is aware that for the *Organisational Concept* to be circulated beyond a specialist audience, a variety of translation aids are required to enable the general public to assimilate and discuss the insights and conclusions, so that they can be used as a conceptual framework for administrative practice. In particular, concrete practical experiences and projects will assist the rapid circulation of this information.

The *Organisational Concept* provides answers to the following four related key questions on the organisational configuration:

- *How can the Federal Administration offer its services in a customer-friendly way?*
- *How can services be offered in intergovernmental networks and how can administration processes be optimised?*
- *How can the resources, functions and infrastructures required for the provision and production of public services be used on a shared basis?*
- *Which culture of cooperation is to be established and which organisational and professional skills does public administration need for the implementation of networked service and for a process approach?*

The *Organisational Concept* deals with these questions as follows:

Chapter 1 contains the foreword by Peter Fischer, Delegate for the Federal Strategy Unit for Information Technology.⁵

Chapter 2 Introduction provides a content-based overview of the Organisational Concept.

⁴ See also the three national studies "*Companies and eGovernment*", "*Population and eGovernment*", "*Administration and eGovernment*" and the "*Summary report on the three eGovernment studies (Population, Companies and Administration)*". The studies were commissioned by the federal government in 2009 from the private research centre *gfs.bern*, and are based on representative surveys of the stakeholder groups. The studies can be downloaded from <http://www.egovernment.ch/de/dokumentation/studien.php>.

⁵ The eGovernment Strategy Switzerland was developed under the leadership of the *Federal Strategy Unit for IT (FSUIT)* which is part of the *Federal Department of Finance (FDF)*. The *Programme Office of eGovernment Switzerland* is managed by FSUIT and financed by the federal government. The Programme Office is the staff office of the *Steering Committee* and the *Advisory Board* of eGovernment Switzerland. It coordinates the implementation of the strategy.

In *Chapter 3 Positioning of the Organisational Concept*, the concept is placed in the context of the **eGovernment Strategy Switzerland**, which outlines the content-based framework. Focused on services and processes, the strategy is aimed at the **modernisation of the public administration**, in which the federal structures should be used as an opportunity.⁶ Readers who are already familiar with the *eGovernment Strategy* and its ongoing implementation can skim through this chapter.

In *Chapter 4 Basic principles of the organisational concept*, the conceptual basics are developed for a networked administration that uses interconnected services and processes. **Distribution, production and culture** are three organisation-related design dimensions which have to be addressed by the *Organisational Concept*. The Administration provides many of its services within a legally formalised framework – the **administrative procedure**. This provides valuable starting points for the theoretical development and substantiation of networked distribution and production structures (*Chapter 4.1 Design dimensions and design framework*). EGovernment should clearly simplify the customer's access to, and receipt of public services. The most important thing is therefore to uncover the structural causes for **administrative burdens** in the distribution and production structures and thereby obtain some practical guidance on organisational design (*Chapter 4.2 Administrative burdens as a starting point*).

Cooperation and networking represent the two **focal points for modernising** the public administration in the context of the *eGovernment Strategy Switzerland* (*Chapter 4.3 Production of public services*). The challenges are to be found in the number and variety of services and processes as well as the strict compliance with the constitutional and federal framework conditions (*Chapter 4.3.1.1 Complying with constitutional framework conditions*).

Cooperation and networking demand a clear understanding of the correlation between organisation-related ("local") processes in the intergovernmental network (*Chapter 4.3.1.2 Differentiating between the process-related perspectives*). The former concerns the provision of services for which the legally accountable administrative bodies assume full responsibility. The procedure then involves a regulated intergovernmental exchange of these services (*Chapter 4.3.1.3 Networking "local" processes through services*). To give an example in this context: during the building permit process, various services (register extracts, ancillary permits, expert reports, etc.) have to be provided by different authorities (such as the land registry, monument preservation, the office of the environment), so that the local building authority can issue its building approval decision for its own jurisdiction. The **intergovernmental control** in this procedure therefore does not concern the provision of services in the "local" processes, but in a networked context relates exclusively to the

⁶ *eGovernment Strategy Switzerland*, as passed into law by the Swiss Federal Council on 24 January 2007. See www.egovernment.ch, p. 6.

controlled exchange of defined services between the responsible bodies (*Chapter 4.3.1.4 Intergovernmental control of processes*).

Intergovernmental cooperation demands a **shared professional understanding** amongst the independent partners concerning the services to be provided as well as the content and time sequence of a procedure. Within the scope of **business process management**, public services and processes are to be documented systematically and consistently (*Chapter 4.3.1.5 Documenting services and processes*). The importance and direction that business process management assumes during the development of a networked administration, and the way in which the organisational and intergovernmental perspectives relate to each other, must also be questioned (*Appendix I: What sort of business process management does public administration need?*).

The **networking of distribution and production structures** is the second focal point of administrative modernisation (*Chapter 4.3.2 Networking intergovernmental distribution and production structures*). Through the *modularisation* of their process structures and through the operationalisation of the business processes, administrative bodies are able to break open "local" process and application silo structures of their own accord. On the basis of a growing intergovernmental offering of **reusable process and infrastructure modules**, the distribution and production structures can be *intertwined* more easily. The administrative procedure is ideally suited for use as a design template to identify reusable process resources, functions and infrastructures in the scope of the eGovernment implementation, and to plan and prepare it in a coordinated way.

Administrative burdens can be removed if the **distribution interface** of the public administration is consistently designed to reflect the **customer perspective** (*Chapter 4.4 Distribution of public services*). Convenient access to the service offering, ease of contact with the authorities as well as the swift and unhindered delivery of public services is possible through the intergovernmental networking of the service offerings, access structures and points of contact, etc. Without jeopardising the principle of authority, a large number of the design elements of the distribution interface can be defined, used and/or offered on an intergovernmental basis. As a result of this, their procurement and operation will become much more cost-efficient. An important basis for the development of a distribution network is the **Swiss-wide harmonisation, standardisation and provision of information resources on public services and processes** as well as other directory services (directory of authorities, organisations and personal identifiers, etc.).

The implementation of a federally supported eGovernment with networked services, processes and distribution and production structures requires a **cultural change** (*Chapter 5 Introducing the change*). In no way is the federalist political culture, with its pronounced

capability for self-organisation and self-coordination, challenged in this context. **Federal self-determination and networking are not mutually exclusive.** On the contrary, they are the essential ingredients for a customer-friendly, efficient and cost-effective Administration. The administrative modernisation in Switzerland will be a multi-faceted, challenging project which will stretch over several years – which is why **leadership at every level** is required. During the implementation of the modernising goals, the appropriate engagement and **participation** of key players on all governmental and hierarchical levels must be ensured. In addition to this, cooperation and networking in federal structures also requires shared rules and the application of standards. Ultimately, in the scope of organisational and personnel development, **network capability is to be developed and supported both as a collective (institutional) and individual competence.**

Chapter 6 summarises the **knowledge** gained in the Organisational Concept, from which **recommendations** are developed for the ongoing implementation of the *eGovernment Strategy Switzerland*.

Appendices I-V examine different issues from the main body of the report in more detail: business process management (BPM) in public administration, BPM documentation framework, service architectures, portfolio structure for priority projects.

3 Positioning of the Organisational Concept

3.1 EGovernment Strategy Switzerland

The strategy. The *EGovernment Strategy Switzerland*, as adopted by the Swiss Federal Council in 2007, describes fundamental potential and goals as well as additional basic principles. However, without a fully formulated Organisational Concept, the strategy does not convey any concept of a concrete future administrative organisation that is attuned to eGovernment.

The *organisation-oriented* concept shows that eGovernment makes it possible to achieve more than just an optimisation of the existing systems: services, processes and structures can essentially be redesigned as well. As a result of this, it is also possible to tap into the potential benefits of information and communication technologies (ICT) in a more systematic way.

The *Organisational Concept* specifies the organisational goals in relation to the *eGovernment Strategy Switzerland*. It describes and defines the design elements and principles with explicit reference to the basic principles listed in the *strategy*. The goal is a customer-friendly distribution and production network on all administrative levels, aligned with the service and business processes. In accordance with the federal structure of the state, this network system links the many administrative organisations together in terms of their effectiveness and their results, without putting their independence at risk. It rapidly becomes clear that the questions and methods of resolution concerning administrative modernisation extend beyond eGovernment.

The *Organisational Concept* should fulfil the following functions in particular with reference to the current eGovernment *implementation* in Switzerland:

- **Overall perspective:** Based on the goals of the *eGovernment Strategy Switzerland*, an *overall perspective* of the organisational design options of a federally anchored eGovernment (system approach) can be developed.
- **Framework of reference:** Those implementing the eGovernment project in the cantons, the municipalities and at the federal level are offered a shared framework of reference that facilitates a coordinated approach.
- **Design options:** The concept should help to highlight implicit guidelines and design principles for eGovernment projects and thereby establish a platform for communication, comparison and discussion. Design options can be checked and assessed against the

objectives of the eGovernment strategy, and can also be combined with economic considerations.

- **Positioning of the prioritised projects: the concept should help to situate the prioritised projects** of the *eGovernment Strategy* in an interorganisational perspective. This makes it easier to communicate the goals and results of the individual projects to the decision-makers.
- **Make the design potential of information technology visible:** The Organisational Concept should highlight additional *organisation-related* design possibilities offered by ICT today. In the *eGovernment Architecture Switzerland*⁷ these design elements can then be consistently linked with the technical infrastructure.

The *Organisational Concept* does *not* relate to questions concerning oversight of the implementation of the *eGovernment Strategy Switzerland*, which was already established with a corresponding framework organisation in 2007 (see www.egovernment.ch).⁸

Affected areas of competence. Corresponding with the three goals formulated in the *eGovernment Strategy Switzerland*

1. the business community conducts the administrative procedures with the authorities electronically
2. the authorities have modernised their business processes and communicate electronically with each other
3. the individual citizen can conduct important – frequent or complex – administrative procedures with the authorities electronically,⁹

the *organisational concept* covers those *areas of public services* which are also to be offered electronically to the two target groups, i.e. private individuals and organisations, by 2012.

⁷ Refer to the prioritised project *B1.06 eGovernment Architecture Switzerland* in the *Catalogue of prioritised projects*. Status 18 May 2009. See www.egovernment.ch

⁸ Refer to the *Public law framework agreement on eGovernment cooperation in Switzerland (2007-2011)*. See www.egovernment.ch

⁹ *eGovernment Strategy Switzerland*, as passed into law by the Swiss Federal Council on 24 January 2007. See www.egovernment.ch, p. 6.

The areas most affected are **information services, administrative decisions, the management of official registers** as well as **internal administrative processes**.¹⁰ In conformance with the direction of the eGovernment Strategy, the *Organisational Concept* neither covers the full range of services of the public administration activity¹¹ nor does it lay any claim to covering all of the potential for modernisation at once.

Constitutional framework conditions and requirements. The *organisational concept* has to take into consideration the special framework conditions and requirements of the public fulfilment of tasks:

- Public tasks and services have a **legal basis** (legality principle). Within the scope of the federal configuration of the state, a designated entity is exclusively responsible for the provision of *every individual service (principle of responsibility)*. Authorities are therefore effectively monopoly suppliers – in the context of the execution of the law, there is only limited scope for an open market for public services .
- A large number of public services are directly associated with the **fulfilment of the obligations** of the service recipient, or must be accepted by them as (legally sanctioned) **compulsory services**.¹² Against this backdrop, a general transfer of the customer metaphor to the relationship between the citizen and the state is hardly adequate – in this context it is more accurate to speak of *service recipients*. In view of the reorganisation of the distribution interface, however, the customer metaphor still holds water. Service recipients should therefore be treated like customers and receive simple and secure (unbureaucratic) access to public services.

¹⁰ In detail, these are as follows:

- Services concerning the *information obligations* of the authorities (e.g. provision of statistics, information on health care etc.);
- Services in the context of the *individual reporting obligations* to be completed by individuals and companies. For instance, any change in a person's marital status or a company's legal status will have to be updated in the corresponding public registers (register management and certification as public services);
- Services in the context of *individual declaration obligations* to be completed by private individuals and companies (e.g. inspections and decisions concerning the submitted tax declarations);
- Services in the context of the inspection and approval of individually placed claims for completion of work or for funding (permission, application and funding procedures such as building permission, landlord licensing, AHV / IV benefits, etc.).

¹¹ This also includes (in the context of the completion of the task) services surrounding the provision and maintenance of public services (roads, schools, hospitals, etc.). The *Organisational Concept* does not address other central areas of the Policy Cycle such as policy formation and drafting of laws, nor does it concern the legislative or the judiciary.

¹² Government work is aligned towards the achievement of social outcomes. The scope and content of public tasks and services are *negotiated politically* and decided, and do not therefore necessarily take the specific requirements of the individual service recipients into account.

Customer interest as a design principle?

The Organisational Concept aims to productively resolve the potential conflict between the primacy of public task fulfilment and the identified needs ("customer requirements") of the service recipients. This is the case when it is possible to conclusively demonstrate the way in which the customer's interest can be anchored as a principle to the distribution design without encountering difficulties due to legally reasons (such as the responsibility or legality principle).

Practical feasibility and use. The *practical feasibility* of the *organisational concept* is essential and must be consistently transferable at the federal, cantonal and municipal level. As part of an **evolutionary development approach**, consideration must also be given to the differing levels of organisational and technical developments on the one hand, and the financial and organisational possibilities on the other. The motivation to collaborate on intergovernmental eGovernment programmes is linked to the existence of tangible benefits in the individual areas of responsibility (e.g. as a result of extensive savings possibilities, quick wins, etc.).

Prioritised projects. Intense work is currently being undertaken on the conceptual, organisational and technical conditions for a federally based *eGovernment Switzerland service network*. In this context, a few examples of *prioritised projects*¹³ that deal directly with questions relating to organisational design:

- The *Catalogue of Prioritised Projects* lists a total of seventeen prioritised public **services with mandatory cross-organisational boundaries** (*projects A1.1 – A1.17*).¹⁴ In this context, questions concerning the networking and cooperation in intergovernmental administrative procedures are at the fore.
- The description of the **overall architecture** of eGovernment Switzerland is outlined in the prioritised project *B1.06 eGovernment Architecture Switzerland*¹⁵ (responsible office: Federal Strategy Unit for IT (FSUIT) in the Federal Department of Finance (FDF)). The key statements and design principles of the Organisational Concept are reflected here in the business architecture for instance, as well as in the corresponding architectural principles. The architectural development assumes a shared vision of eGovernment

¹³ See *Catalogue of Prioritised Projects*. Status 18 May 2009. See www.egovernment.ch

¹⁴ See *Catalogue of Prioritised Projects*. Status 18 May 2009. See www.egovernment.ch

¹⁵ See *Catalogue of Prioritised Projects*. Status 18 May 2009. See www.egovernment.ch

Switzerland, for which the Organisational Concept would like to put forward points to consider.

- In the prioritised project *B1.03 Uniform Inventory and Reference Database of Public Services* **information resources** are provided, which are intended to support both the **networked cooperation** as well as the **customer-oriented preparation of service offerings**¹⁶. The corresponding standards are now available and are valid throughout Switzerland.¹⁷ These information resources, required for the intergovernmental networking of services, processes, distribution and production structures (such as service inventories, services and process documentation, etc.) should then be offered on a corresponding documentation infrastructure as **services which can be used throughout Switzerland** (responsible office: Swiss Federal Chancellery in cooperation with the State Secretariat for Economic Affairs, SECO, in the Swiss Federal Department of Economic Affairs, FDEA). When compiling the inventory of public services in Switzerland it is also possible to allocate legally fixed jurisdictions (see prioritised project *B2.02 Directory Service of the Swiss Authorities*¹⁸). Therefore, the prioritised project B1.03 aims at the harmonisation, standardisation and provision of information resources as required for the process integration in federal administrative structures.
- With the implementation of eGovernment projects, the **legislation requirement** is to be evaluated at an early stage. Simplifications of the administrative processes may lead to an increased requirement for adaptation, particularly with procedural regulations. The Organisational Concept provides methodical criteria for the evaluation of the legislation requirement (see prioritised project *B1.02 Legal foundations*. Responsible office: Federal Strategy Unit for IT (FSUIT)).¹⁹
- Wide-ranging **exchange standards and platforms**²⁰ for cross-authority business are also undergoing preparation (please refer to the prioritised project *B1.11 Nationwide exchange standard for electronic records and documents*, responsible office eCH; also see *B2.05 Service for inter-authority data exchange*. Responsible office *Swiss Federal Statistical Office, SFSO*).²¹

¹⁶ See also the prioritised project B2.01 *Access to electronic public services (portals)*.

¹⁷ In the scope of the *Swiss eGovernment Standardisation Organisation eCH* (www.ech.ch), among others, the following standards have been provided for the uniform professional documentation of public services and processes: *eCH-0073 Documentation of public services and processes (documentation standard eGov CH)*, www.ech.ch

¹⁸ See *Catalogue of Prioritised Projects*. Status 18 May 2009. See www.egovernment.ch

¹⁹ See *Catalogue of Prioritised Projects*. Status 18 May 2009. See www.egovernment.ch

²⁰ Refer to *W. Müller, Federal Strategy Unit for IT: Event Bus Schweiz – Konzept und Architektur (2006)*, www.isb.admin.ch

²¹ See www.ech.ch

- The consolidation and further development of the existing Swiss eGovernment portal-network is being implemented in prioritised projects *B2.01 Access to electronic public services (portals)*²² (responsible office: *Federal Chancellery*).

In conformance with the alignment of the *Organisational Concept*, this White Paper does not provide an in-depth discussion of these and other prioritised implementation projects. However, the document still contains a number of cross-references. Chapter 6 also contains recommendations on the current implementation of the *eGovernment Strategy Switzerland*.

3.2 Modernisation as a primary focal point

Several focal points on the modernisation of the public services come together in the eGovernment Strategy:²³

- The removal of administrative burdens (*bureaucracy*) for organisations and individuals;
- Efficiency, flexibility and cost-effectiveness of the administration;
- Reorganisation of administrative structures;
- Taking the values of sound administrative management into consideration.

Removal of administrative burdens for organisations and individuals. Administrative burdens (bureaucracy) should be dismantled within the organisational design of the eGovernment without jeopardising the effectiveness and efficiency of the administration. The **responsibility principle**, which is a structural cause for the occasionally extreme fragmentation of offers and supply routes within the distribution organisation, can – as far as distribution is concerned – be replaced by a new design principle that is focused on the customer. Bureaucratic hurdles can be clearly reduced according to the motto "**customer requirements come before performance and before jurisdiction**". As differing examples of Swiss municipalities and cantons demonstrate, the targeted removal of administrative burdens allows organisations to achieve key location-related advantages.

²² See *Catalogue of Prioritised Projects*. Status 18 May 2009. See www.egovernment.ch for the uniform, customer-related structure of the service offerings on administrative portals, refer to *eCH-0049 Themes Catalogue for eGovernment Portals*, www.ech.ch.

²³ Please refer to the *eGovernment Strategy Switzerland* www.egovernment.ch

Swiss public services achieve a high rating in an international comparison

The annual eGovernment benchmarks of the EU²⁴, in which Switzerland ranks among the lowest, provide little information on the true performance of the administrative bodies that were evaluated. A different picture emerges when quality-related criteria are taken into consideration (bureaucratic hurdles, susceptibility to corruption, etc.). According to the *World Competitiveness Yearbook 2009*²⁵ Swiss public administration notably places fewer obstacles in front of organisations' business activities than is the case in many other countries (the Swiss public administration occupies sixth place from a total of 57). This also appears to have had a positive influence on the choice of location of some globally active companies, as underlined by success stories from a wide range of municipalities and cantons.

At the **production level**, the customer-oriented redesign of the distribution interface requires the use of new kinds of process control and design (refer to *Chapter 4.3 Production of public services*). Administrative burdens can therefore be dismantled effectively through corresponding changes to the production structures and relationships.

Efficiency, flexibility and cost-effectiveness of the network. In the future, the performance of individual cantons and municipalities will depend less on the size of the units, than on **the performance of the organisational networks** in which these units are incorporated. In the intergovernmental distribution and production network, federalism and the autonomy of local municipalities are not impaired but rather strengthened. The **administrative activities in networked structures** can be designed in a more effective, efficient and transparent manner. Reservations concerning inadequate efficiency and service quality of the long-established structures can be set aside, and smaller municipalities and cantons can be maintained in their long-standing spatial structure. Interoperability can continue without anything having to change in terms of the institutional variety of the public administration. In this way the proposition of the *eGovernment Strategy Switzerland*, in which "**Federalism is to be taken as an opportunity**"²⁶ also gains concrete form.

²⁴ See Capgemini, *eGovernment Benchmark 2009*, <http://www.ch.capgemini.com>

²⁵ See the International Institute for Management Development (Geneva): *World Competitiveness Yearbook 2009*, www.imd.ch/research/publications/wcy/index.cfm

²⁶ *eGovernment Strategy Switzerland*, p. 5, www.egovernment.ch

Reorganisation of administrative structures. The new organisation-related thinking²⁷ supports administrative decisions on both the most suitable and cost-effective design of organisational structures and working procedures by allowing the formulation of alternatives and/or making these visible. In this respect, it is not essential to maintain the established structures under all circumstances. It does not prevent the opportunities offered by eGovernment from being used for a **simplification of administrative structures**. The design options discussed in the Organisational Concept also open up a wide field of application with **municipal mergers** which may become necessary due to serious structural problems.

Alignment with the basic values of sound administrative management. The Organisational Concept supports the modernising goals of the eGovernment strategy whilst at the same time safeguarding the conditions and restrictions which public administration bodies are subject to, as stipulated by the constitution and other guiding principles. The basic values which comprise *Good Governance* and can be supported by an organisation-centred eGovernment include:

- Democratic involvement in the legislation and administration;
- Regularity, reliability as well as effectiveness and efficiency of the administration (including the quality and political consistency of the measures);
- Transparency and clarity (as a basis of service quality as well as the democratic administrative control).

The implementation of the challenging modernisation goals of the *eGovernment Strategy Switzerland* requires a cultural change in the public administration. The key word in this context is networking capability. The organisational (collective) and professional (individual) competences and skills required for the development of networked service structures must therefore be developed in a systematic manner (see *Chapter 5 Introducing the change*).

²⁷ The "Orientation on services and processes" represents one of the seven basic principles of the strategy, see *E-Government-Strategy Switzerland*, p. 6 www.egovernment.ch

4 Basic principles of the Organisational Concept

4.1 Design dimensions and design framework

The *Organisational Concept* proposes a **systems approach** for the **provision and production of public services that gives due consideration to** the modernisation requirements of the eGovernment-Strategy. In this context, special attention must be given to the interactions and interdependencies of these two *design dimensions*.

The **distribution interface** of eGovernment concerns **the area of public administration that is visible and accessible to customers**, in other words their user interface. This essentially means simple, **straightforward access** to the service offering, ease of communication with the authorities, as well as rapid and **smooth delivery** of public services (removal of administrative burdens as a strategic requirement). As bureaucratic hurdles at the distribution interface can be attributed to fragmented silo-type production structures, the redesign of the production relationships is of crucial importance.

In this document, the term **production** refers to the **that part of the creation of the service** which is not visible to the customer at the distribution interface. From the **production perspective**, a description is required as to how the administrative body has to organise itself to be able to deliver public services in a way which is customer-friendly as well as efficient, cost-effective and of high quality. In this context, the provision of the service has to be designed to minimise the administrative burdens to the customer, particularly in the form of avoidable administrative contacts. The *Organisational Concept* therefore sets out frameworks and measures that are necessary for the intergovernmental **networking of services, processes, distribution and production structures**.

The Administration produces its services, which largely consist of decisions, in a legally formalised framework – the **administrative procedure**. This provides the *Organisational Concept* with the factual and practical background for the conceptual development and justification of new forms of interorganisational cooperation.

The **administrative procedure** is suitable as a **design framework** for the networking of the public administration's distribution and production structures for several reasons.

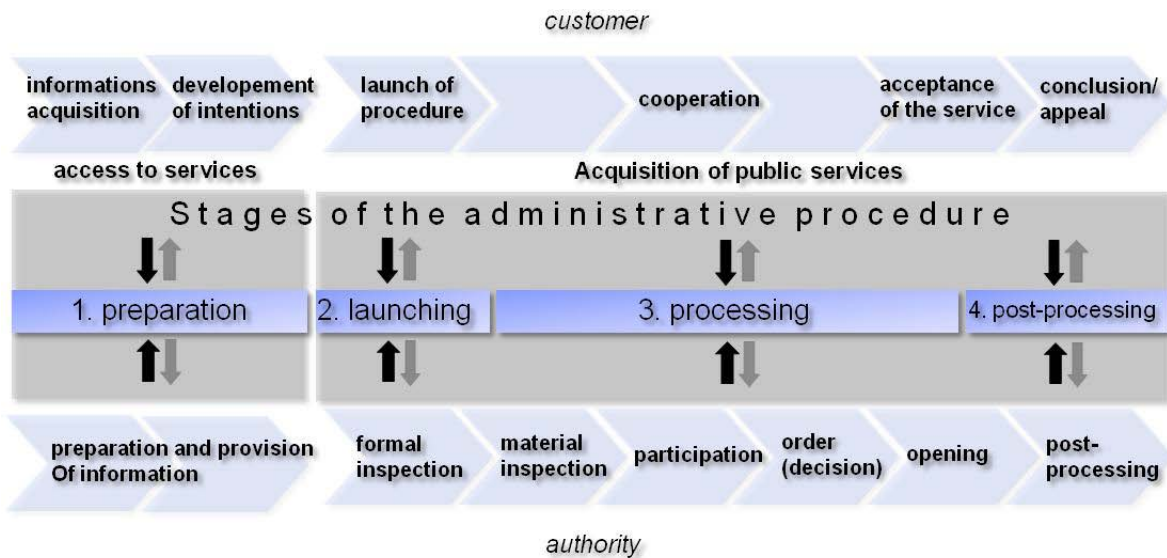
- The administrative activity is associated with **legal framework conditions**, meaning general administrative and processing instructions.²⁸ These must always be taken into consideration in the redesigning of the distribution and production platform.
- The administrative procedure sheds light on the **specific attributes of the state provision of services**: public services are provided in a public-law mode, i.e. on the basis of tasks and responsibilities assigned by law. Therefore, in the departmental procedures, the responsible authorities can neither be replaced, nor can public tasks be carried out by the private sector without further provision (see Chapter 4.3.1 *Intergovernmental cooperation model*).
- In the administrative procedure, the action strategies of the authorities and customers are linked together. With close reference to the *Distribution Model for Electronic Business*²⁹, the interaction between customers and administrative bodies along the administrative procedure can be represented by a **stage model** comprising the following four stages:³⁰
 - Preparation stage;
 - Launching stage;
 - Processing stage;
 - Post-processing stage.

The stage model of the administrative procedure also puts itself forward as a **design framework** for a customer-friendly, networked public administration *distribution interface* (see 4.4 *Distribution of Public Services* as well as *Appendix V: The stage model of the administrative procedure*).

²⁸ As an example, please refer to the *Federal Law on the Administrative Procedure, SR 172.021*, as well as the relevant provisions on the administrative management in the *Governmental and Administrative Organisation Law (RVOG), SR 172.010*

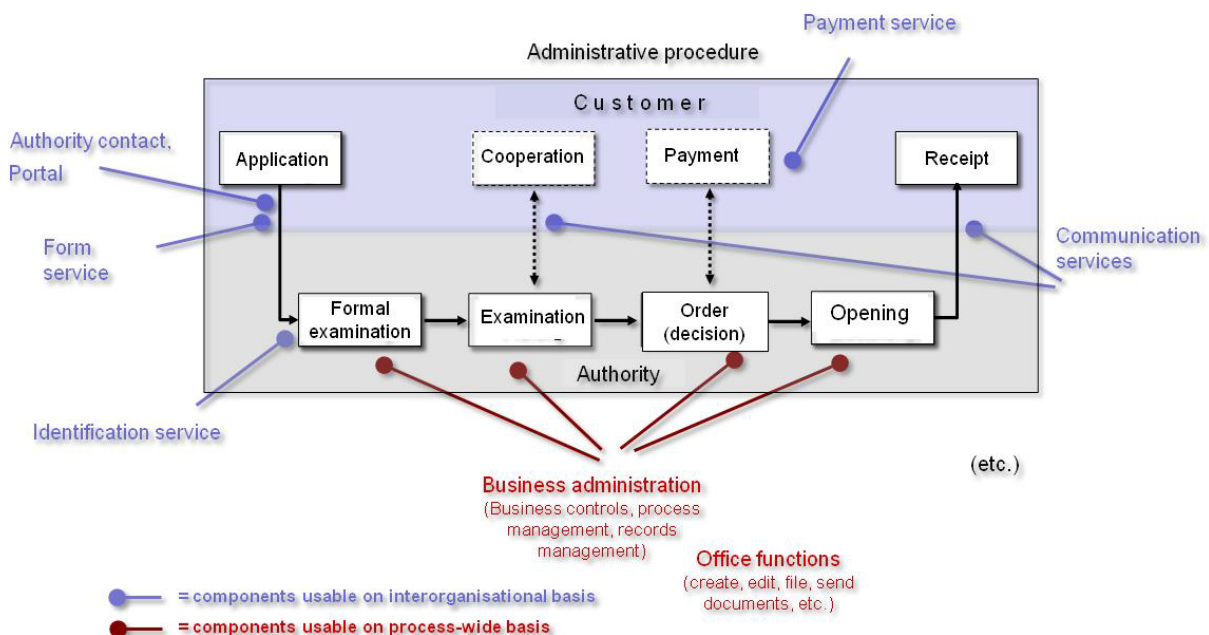
²⁹ The model was developed by B. Schmid, University of St. Gallen. We follow the outline of M. Gisler, *Contractual aspects of electronic markets according to the Swiss Code of Obligations. University of St. Gallen dissertation no.2281, 1999, p.28ff.*

³⁰ See K. Lenk, *Der Staat am Draht, Berlin 2004, p. 76.*



(Fig. 1) Four-stage model of the administrative procedure

- In addition to this, the **process-related uniformity** of the administrative procedure provides starting points as to how
 - processes defined differently at the professional level can be composed at the operational level with a small number of **similar completion elements**, and
 - the way in which the required resources, functions and infrastructures **can be used on an intergovernmental basis**.



(Fig. 2) Legally formalised process elements of the administrative procedure

4.2 Administrative burdens as a starting point

From the customer's perspective, a directly added value of *eGovernment* is in the **removal of administrative burdens**, in other words in a clear simplification and improvement to the access channels for the service offering, as well as in the way in which the required services are received. *EGovernment Programmes* are therefore strongly geared towards either removing or reducing bureaucratic hurdles, which are often costly, through a redesign of the distribution interface.³¹ The following analysis highlights that the **causes** of administrative burdens are often to be found in the actual **production structures** – the realisation of a customer-friendly distribution interface must therefore include the redesigning of the production structures.

4.2.1 Naming the structural causes

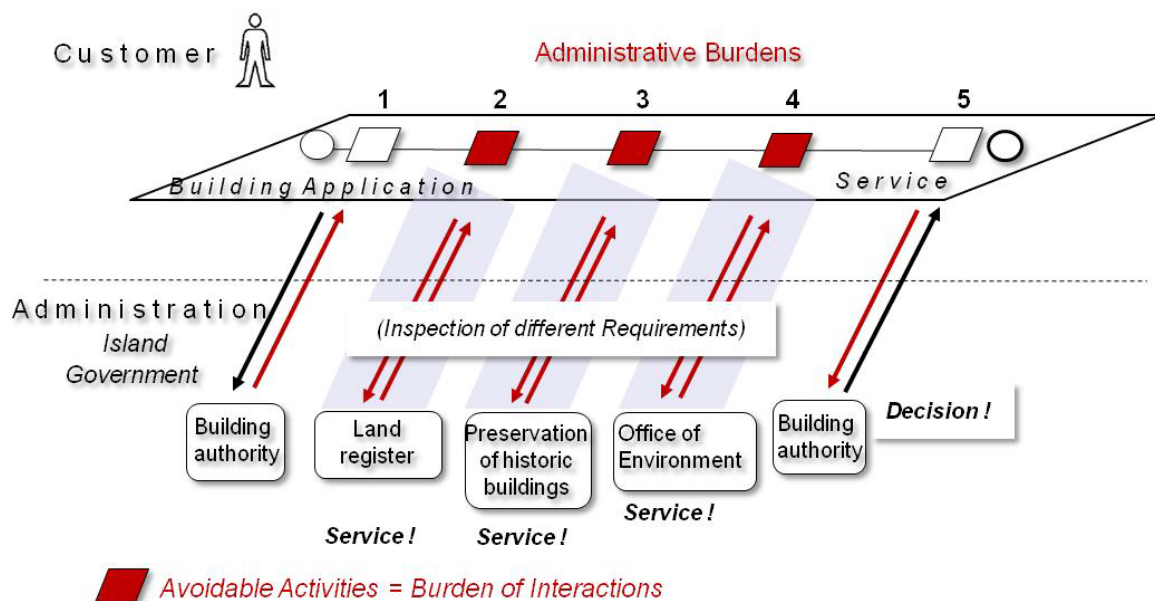
Administration customers make use of public services on the basis of requirements that reflect certain **life events** (e.g. marriage, moving home) or **business situations** (e.g. establishment of a new company). When attempting to contact administrative bodies, however, they are often confronted with complicated and frequently incomprehensible obligations, burdens and obstacles. This tends to have a negative impact on the image of that administrative body.

Interaction-related burdens. When dealing with authorities, customers³² often have to take on **control and coordination tasks** themselves. These frequently involve time-consuming interaction which could be eliminated by networked distribution and production structures. The customer not only has to be proactive in seeking out the service for themselves, but must also be adept at ensuring the correct sequence of the processing and responsibility-related exchanges between the different authorities involved. With many approval procedures, applicants have to go through an "authority marathon", involving extra time and resources, as they try to find their way (generally unassisted) through the "jungle of responsibilities" for different governmental agencies before finally obtaining the service they require. With certain *life events* (e.g. marriage), or *business situations* (e.g. establishment of a business), there is also the fact that a single requirement frequently means consulting several public services which have to carry out the various procedures individually, with no overall coordination. Customers also face a wide range of **certification burdens**. For a specific application to be authorised by the agency responsible, customers must bring along

³¹ See K. Lenk: *Bürokratieabbau durch E-Government. Handlungsempfehlungen zur Verwaltungsmodernisierung in Nordrhein-Westfalen auf der Grundlage von Entwicklungen und Erfahrungen in den Niederlanden (Gutachten)*. Bochum (2007).

³² Stages 2-4 of the administrative procedure are especially affected in this context.

a stack of certificates (proof) to validate official entries in public registers (e.g. confirmation of an entry in the land register, excerpt from criminal records, etc.).

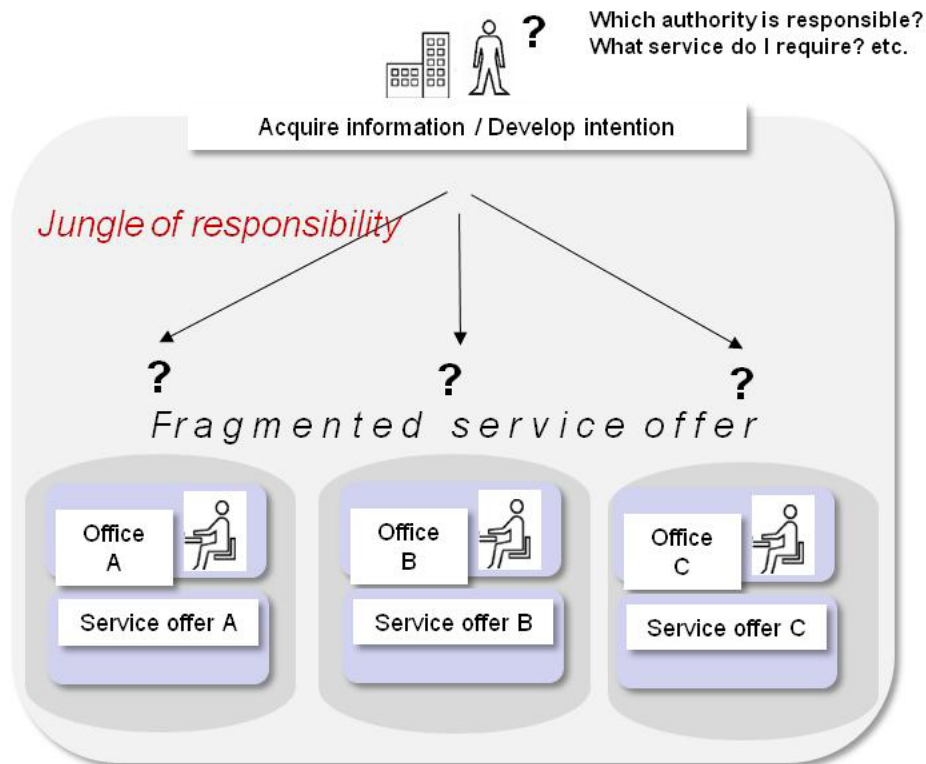


(Fig. 3) Interaction burdens occur with silo-type production and distribution structures. The control and coordination of the procedure are often left to the customer

Information and communication burdens. Also when using the internet, the targeted and rapid acquisition of information³³ on requested services and resources requires the customer to be well or extremely well informed about the responsibilities and the organisation of the public authorities. The plethora of information as well as the multitude of different access channels and contact media (authorities, postal services, telephone, internet etc.) are positive in some respects, but add to the confusion.³⁴ The search for the right service, responsible agency or required application form, not forgetting the effort needed to understand administrative procedures ("What do I have to do and in what order?") can be very time-consuming and frequently have a frustrating outcome. In addition, a considerable amount of administrative contacts may become necessary due to lacking, unlocatable or insufficient details and information on the required services (*the wrong door effect*: "No, our authority is not responsible for this!"). All this could be avoided.

³³ "Stage 1" of the administrative procedure ("Acquiring information / establishing intention") is especially affected in this context.

³⁴ The design and integration of the means of access and contact media require an overall concept. See also the prioritised project *B2.01 Access to electronic public services (portals)* in the *Catalogue of prioritised projects*. Status 18 May 2009. See www.egovernment.ch



(Fig. 4) Distribution structures tied to agency responsibility: "Responsibility before service and before customer requirement"

An analysis of the bureaucratic burdens does not identify the inertia of the administration as a cause, as frequently suggested. Far more than this, it reveals **structural and organisational reasons**, which also impair the efficiency of the Administration in the system as a whole. Such bureaucratic burdens are the logical consequence of a **heavily fragmented administrative organisation** in which principles of responsibility function, without further consideration, as organisational blueprints for service production and distribution (development of silo structures).

4.2.2 Removing administrative burdens

Taking into account the interactions and relationships between production and distribution structures, initial conclusions can be drawn on the design of a barrier-free and efficient public administration – for which there are many good practical examples in Switzerland:

- **Removing interaction-related burdens.** The number of interactions on the customer side can be systematically removed, particularly by **re-transferring control and coordination activities arising during the procedure to the authorities**, in other words moving them from the distribution interface over to the internal service production process. The model of intergovernmental control and cooperation on the basis of networked services can therefore be taken as an example (see Chapter 4.3.1 *Intergovernmental cooperation model*).

- **Remove information and communication hurdles.** There are two elements required in order to ensure customer-friendly structures for the delivery and use of services according to the principle “**customer requirements come before performance and before jurisdiction**”: firstly, that the authorities approach things from a customer's perspective (see *Chapter 4.4.1 Simplifying access to services*) during the design of the distribution interface. Secondly, that on the basis of a procedure-related consideration of the administrative activity, they "modularise" their business processes with a view to identify reusable ("generic") distribution elements and to then make them available in a customer-friendly distribution network. Despite the considerable fragmentation of the administrative organisation, it is possible to remove information and communication burdens at the distribution interface in this way, for example by the intergovernmental concentration of services according to requirements and target groups, as well as convenient access to networked points of contact.

As far as companies are concerned, it is essential that the simplified administration makes it possible to considerably reduce their **bureaucracy costs** (process costs).

4.3 Production of public services

This chapter gives an explanation of how the public administration should organise itself to provide its services in a manner that is customer-friendly, efficient, cost-effective and of high quality. The relevant organisational design elements are described which enable the administrative bodies of all governmental levels,

- to **work together in high-performance networks** (*Chapter 4.3.1 Intergovernmental cooperation model*) and at the same time
- to **network their distribution and production structures across organisational boundaries** (*Chapter 4.3.2 Networking intergovernmental distribution and production structures*).

Some of the **challenges** in the modernisation of the production of public services are to be found

- in the provision of basic resources and shared instruments which facilitate an effective operational networking of a **large number of independent service units** (i.e. the Federal Administration, 26 cantons and almost 2800 municipal administrations). The difficulty here is determining cooperation models that are both compatible with federalism and translatable into practice.
- in the **large number and variety of public service departments**³⁵: how can the isolated "local" worlds of business processes (the "silos") be networked and technically integrated at the organisational level?
- in the **given constitutional and structural framework**:, Federalism and the principle of fixed jurisdictions must be guaranteed. At the same time consideration must be given to situations of unequal development resulting from the different financial, operational, organisational and technical resources of the cantons and municipalities. The intergovernmental design goals specified in the *eGovernment Strategy* must be effectively **transferable** to a regional and/or local level, where they must also meet the corresponding **motivational situations**. In terms of the federal organisation and decision-making structures in Switzerland, it must also be possible for the intended intergovernmental network to be able to "grow from the bottom up". The development of networked production and distribution structures in eGovernment therefore requires a high level of participation at all administrative levels.

³⁵ In the *eCH-0070 Services directory eGov CH* (www.ech.ch) more than 3000 public services from the three levels of the federal government, the cantons and the municipalities are listed.

4.3.1 Intergovernmental cooperation model

The establishment of a new intergovernmental cooperation model requires a departure from a narrow interpretation **of the principle of fixed jurisdictions**, which has previously encouraged "silo" structures in the distribution and production of public services, with all the associated negative side-effects on customer satisfaction and performance. In a networked administration, both the constitutional principle of fixed jurisdictions and the principle of a legally binding **division of tasks** are still adhered to. It is necessary, however, to rethink and redesign the interconnectedness of responsibilities, services, processes and actors from the very beginning

4.3.1.1 Complying with constitutional requirements

The cooperation between the various authorities in a procedure in which the work is frequently shared between many actors, occurs against the backdrop of a legally based and sovereign delegation of tasks. In the federal system, jurisdictions and responsibilities are distributed between the federal government, the cantons and the municipalities. The **administrative procedure** as fixed by law delimits the freedom of design for an intergovernmental cooperation, in which authorities are legally obliged to exchange services (see *Chapter 4.1. Design dimensions and design framework*). These services are produced **in the administration units** of the corresponding legally competent bodies. For this reason, the administrative procedure distinguishes structurally **between intergovernmental and internal ("local") business processes**. The services which are produced in local processes are exchanged or handed over at the intergovernmental procedural levels. Control issues of intergovernmental cooperation will be addressed further below under this aspect.

To give a contextual example: to verify a building application, the "leading" building authority requires a wide range of services from other authorities, e.g. a register extract from the land registry, a permit from the environmental office and a listed building preservation certificate, etc. All these additional services required to issue the overall planning permission decision must be provided within the scope of the planning permission procedure. The production of these services (i.e. registration in the land register, ancillary permits and/or certificate from the office of the environment and listed buildings preservation) lies within the sovereign responsibility and duty of each of the authorities participating in the procedure.

4.3.1.2 Differentiating between the process-related perspectives

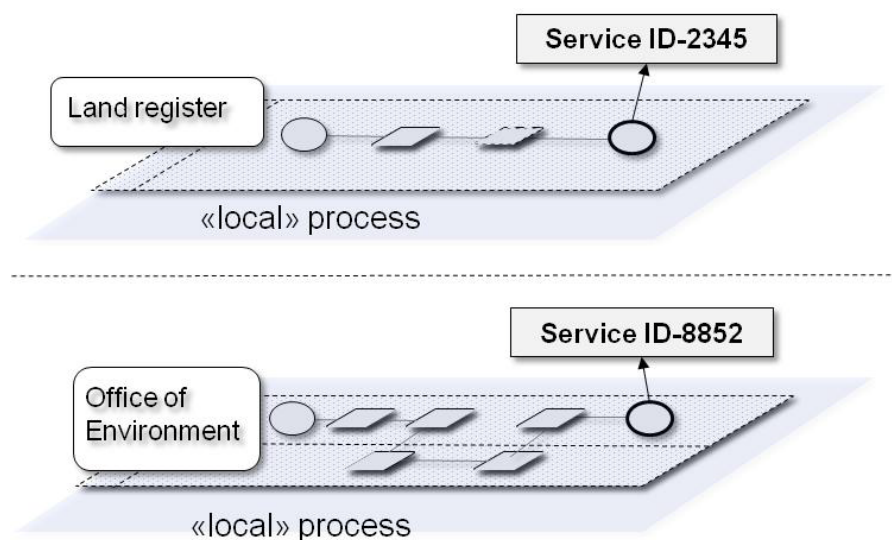
The development of networked forms of cooperation has to take into account **the differing process perspectives**, levels of control and jurisdiction, as these are prescribed by the

administrative procedure. The following views on an administrative process can be taken, depending on the standpoint of actors in the administrative system:

- the **organisation-related perspective** of an administrative unit on the business processes under its jurisdiction (**local processes**);
- the interorganisational **perspective**, which focuses on the control and cooperation of the different actors in the administrative procedure (**public process**);
- the customer's perspective on **necessary contacts with government bodies**, entailing interactions with the administrative bodies in the course of the procedure.
- the customer's perspective on his or her own internal process (**customer process**) in which the need arises to selectively interact with the authorities (e.g. on a building project).

These perspectives can be linked in the form of a process architecture. In this way, a **shared understanding** of the interplay between the different local processes in the procedure can be developed under the aspect of intergovernmental control and cooperation.

Organisation-related perspective ("local" processes). For obvious reasons, in the scope of business process management, administrative bodies primarily focus on an adequate understanding of their own local processes (internal perspective of processes). The internal organisation-related perspective reflects locally defined requirements according to the professional and operational control of processes within their own jurisdiction.



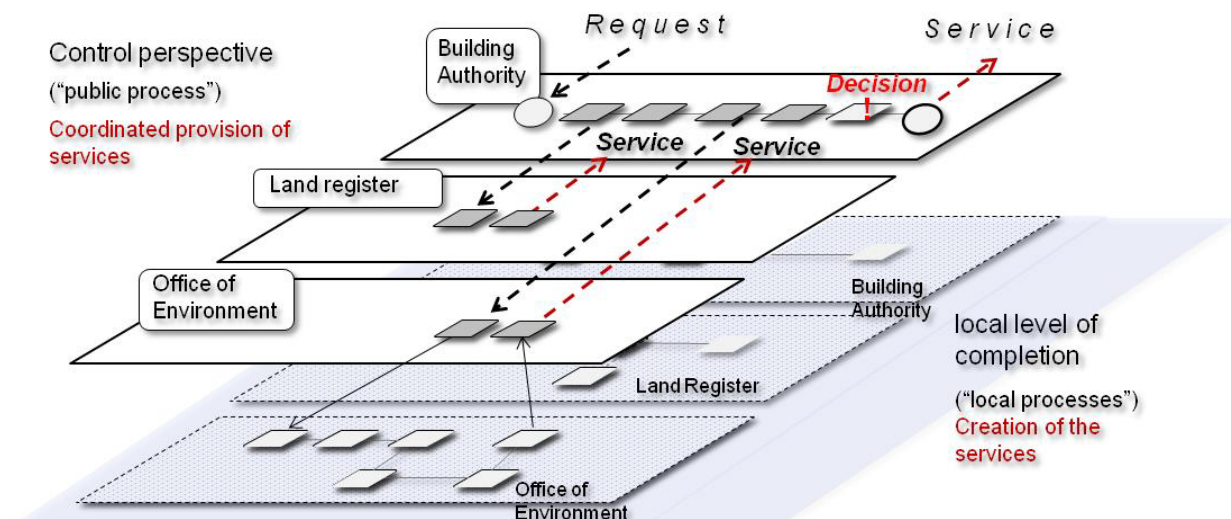
(Fig.5) Organisation-related perspective of services and processes

Interorganisational control perspective ("public" processes). Organisational interoperability in eGovernment requires the actors to have a common and agreed external perspective or **shared understanding** of the intergovernmental correlation of services and processes. **Process integration** demands intergovernmental **standardisation**,

harmonisation and integration of service and/or process-related information (data). In such an external perspective, only those service elements, procedures, processing interfaces, participants etc., which are required for the regulated and coordinated cooperation, need to be addressed in a professionally transparent manner. This is not the case for local processes.

- In conformity with the standard *Business Process Modelling Notation (BPMN)*³⁶, Version 2.0, the expression "public process" is used in the *Organisational Concept* for the presentation of interorganisational sequences in a single procedure.

From the cooperative service creation perspective, the "local" production processes represent "black boxes". There is no need to exert any active influence on the "local" process activities from the external level. With respect to the legally binding distributio of jurisdictions, this would in fact be prohibited.



(Fig.6) From a control perspective, the "public" process describes the interplay between the "local" actors in the case of the intergovernmental creation of services³⁷

Customer perspective on the administrative procedure. It is also possible to present administrative procedures from the customer's perspective and to document them as elements of the customer process. The uniform description of *visits to authorities*³⁸ should support the customers in being able to play their part in the completion of the procedure without stress and in a straightforward manner.

³⁶ See the *Object Management Group* www.omg.org. Link to the standard *Business Process Modeling Notation (BPMN)*: www.omg.org/spec/BPMN/. The BPMN standard is included in *eCH-0073 Documentation of public services & processes*.

³⁷ Both levels can be presented with the same standard notation pursuant to BPMN (V 2.0); the figure contains a simplified version of the BPMN notation.

³⁸ To this end, the *eCH-0088 Descriptions of authority visits* standard is currently being prepared. Pursuant to this standard, visits to government bodies, meaning administrative procedures from the customer's point of view, should be described in a uniform way on administrative websites and other accessible forms of media.

4.3.1.3 Networking "local" processes via services

It was previously explained that in the procedure, the individual lines of action of the involved authorities are linked and coordinated via the **exchange or handover of services that are legally specified and delegated on a sovereign basis**. The (local) processes of the participating bodies interact via the reciprocal exchange or networking of services. In this procedure, authorities provide the processes of other authorities with service elements which they produce. Intergovernmental cooperation therefore functions according to a **model of cooperation** in which **"local" processes are networked in a "public" process via the coordinated exchange of explicitly agreed services**.³⁹

In accordance with **version 2.0 of the BPMN-Standards**⁴⁰, which envisages the modelling of interorganisational cooperation contexts⁴¹, the following conceptual **distinctions** prove useful:

- Services, processes and authorities are incorporated in the intergovernmental procedure in either a "leading" or a "participating" mode. The way in which they are incorporated is legally specified.
- A service demanded by a customer represents the **"leading service"** of the procedure.
- The authority responsible for the leading service in the procedure (which therefore constitutes the leading authority) uses in its business process **supporting services** delivered independently by the participating authorities through their own internal processes.
- In addition to the documentation of local services and processes, the **public process** describes the **shared professional perspective of the authorities involved** on the sequence of the cooperative creation of services, particularly under the aspect of

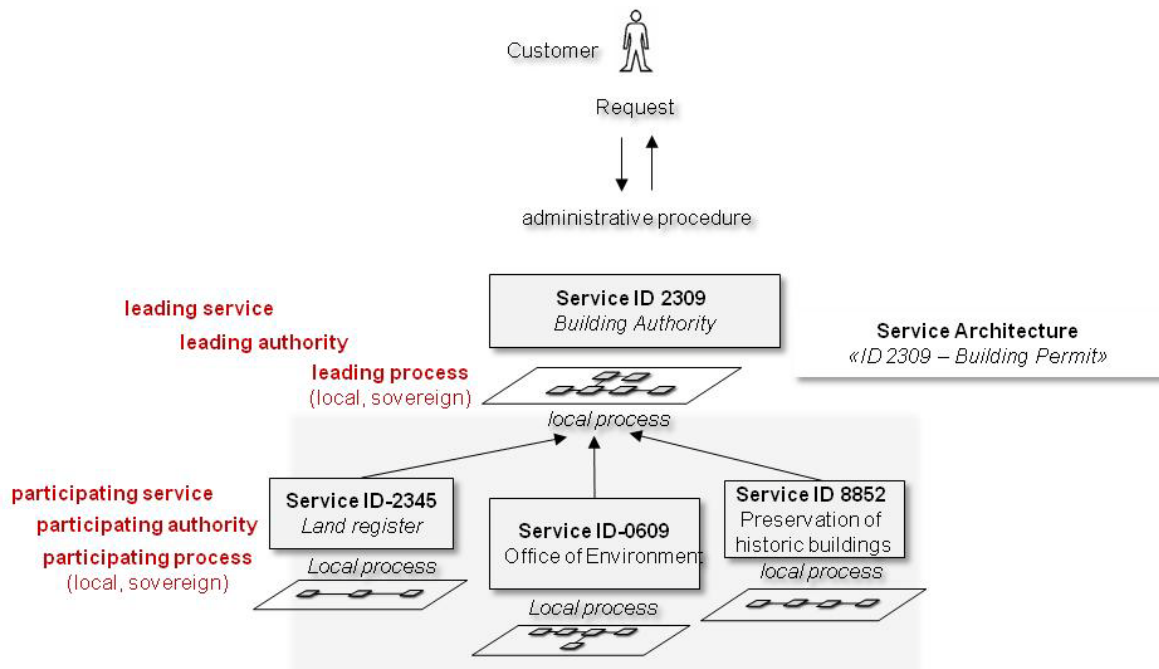
³⁹ With the strongly ICT-supported modernisation of production structures in private business which can be seen to have occurred in the context of the advanced globalisation of the markets in recent years, a new cooperation and production model appears to be asserting itself successfully which also functions on the basis of a networking of services. According to this "service-oriented" model, the partners can largely act independently – if in the context of the mutual cooperation they undertake to provide the services required from the participating processes both on schedule and at the agreed level of quality. The advantage of reorganising the cooperation on the basis of a networking of services is that the processes and applications of the cooperating partners can be decoupled and as a result, process costs can be reduced, for example. At the same time, the flexibility of the business relationships is clearly increased. See *L. Cherbakov: Impact of service orientation at business level. IBM Systems Journal, Vol. 44, No 4, 2005*. Also see *W. Müller: Entkoppelte Prozesse – Massnahmen zur Stützung der lokalen Autonomie im Zeitalter der elektronischen Zusammenarbeit*, In: *eGov Präsenz, 2010/2*.

⁴⁰ See *Object Management Group, www.omg.org*. Link to the standard *Business Process Modeling Notation (BPMN): www.omg.org/spec/BPMN*. With Version 2.0, the BPMN standardisation framework offers the advantage that both organisation-related and interorganisational process perspectives can be mapped in corresponding needs-based models.

⁴¹ See the overall view of *Th. Allweyer: Collaborations, choreographies and conversations in BPMN 2.0. Extended concepts for the modelling of spanning business processes. Kaiserslautern 2009*.

intergovernmental procedural control, with a focus on the regulated exchange of agreed services.

From a production viewpoint, public services take shape through the process-related combination of partial services, that are delegated on a legally binding basis and are produced locally, into a "comprehensive product". The latter denotes the service provided to the customer. With regard to this "leading" service, the participating services have a support function.



(Fig. 7) Interweaving of services, processes and authorities using the example of a building application

4.3.1.4 Intergovernmental control of business processes

With the structural distinction between the public and local processes as specified , **the existing legal distribution of jurisdictions remains unaffected by increased intergovernmental cooperation**. Since intergovernmental control **does not cover local processes**, it can by definition be treated as a matter that is *to be settled* among the authorities concerned on an ad-hoc basis .

- In this situation it is understandable that authorities frequently leave interorganisational control and coordination tasks to their customers. They are used to help them only as far as their jurisdiction is directly concerned. Yet in order to alleviate the administrative burden on the customers, those interorganisational control and coordination processes could become a matter of concern for interorganisational governance, where they are then organised in a flexible manner – provided that procedural regulations do not stand in the way.⁴²

The following intergovernmental aspects of the service provision are to be defined: the service elements to be exchanged in the procedure are to be accurately described and agreed upon. In addition there is a need to specify the **operational control responsibility** and the definition of the time and sequence of shifts of material responsibility among authorities in the course of the provision of individual services (*see Chapter 4.3.1.5 Documenting services and processes*).

For practical reasons, the *operational* procedural responsibility for the “public” business process could best be handled by the “leading” authority⁴³. but insofar as the **procedural control, as an activity that is to be completed, does not concern legal issues of jurisdiction**, it could as well be allocated on the basis of other criteria, entrusting for instance a single point of contact with process coordination (*see Chapter 4.4.2.1 Confident and straightforward handling of procedures*). The following is required: 1. the role of an authority in the overarching “public” process is in conformance with its jurisdiction. 2. The overarching procedural responsibility (in terms of “control and coordination”) is explicitly agreed upon among the participating bodies. 3. The control and coordination activities make use of a common and harmonised information basis (*information sharing*).

⁴² An explanation of the many procedural regulations in the area of public administration clearly shows that services and responsibilities always have a legal basis, while the intergovernmental orchestration of the services is to be explicitly defined in a procedure among the different actors.

⁴³ The “leading” authority is legally responsible to the customer for the service rendered.

Adopting the approach taken by the UK *eGovDirect*-Initiative,⁴⁴ the Swiss authorities could actively push forward the definition of shared service and process structures in **mixed committees**.⁴⁵

The cooperation and control model described so far represents the basis for the **optimisation and modernisation of the business processes** of the public administration that is envisaged for the *eGovernment Strategy Switzerland*. Its use is particularly important,

- if several services are required to fulfill the demand of an individual customer and these are provided in the form of a **service package**: operational control then has cover the intergovernmental provision of the complete service package. The intergovernmental process, in which the individual services comprising the required service package are combined ("orchestrated") has to be defined separately (*see Chapter 4.4.2 Simplifying the receipt of services*).
- if **certificates** of register entries are no longer submitted by the customer, but can be obtained through **internal official channels** (*see Chapter 4.4.2 Simplifying the receipt of services*).
- in all **internal administrative processes** in which several actors with different responsibilities participate (e.g. with supra-departmental processes such as reporting procedures etc.).

The complexity and the cost of the control of intergovernmental processes tend to be limited since they are restricted to the time frame and factual sequence during the exchange of services. The focus is to be on the controlled exchange (or controlled transfer) of services to those in the process leading the procedure. Therefore, the local processes incapsulated in the "public" processes do not have to be overseen externally, which saves much coordination and control-related costs.

4.3.1.5 Documenting services and processes

As a condition of the intergovernmental cooperation within a mutually organised **business process management**, "local" service processes as well as intergovernmental ("public") processes have to be systematically and uniformly described and documented. The purpose of this documentation is to create a **shared professional understanding. Process**

⁴⁴ In the scope of this initiative, so-called Production and Delivery Councils have been used. See *T. Schuppan. Die EU-Dienstleistungsrichtlinie aus E-Government-Sicht: Mode oder Modernisierung, Verwaltung und Management, Volume 15 (2009), Issue 6.*

⁴⁵ In Switzerland, such coordination committees could be agreed via a corresponding addendum to the public law framework agreement regulating E-Government cooperation between the Federal Government and Cantons. See www.egovernment.ch.

integration and **information integration** go together in this context. The cooperation can now be flexibly arranged on the basis of an exchange of professionally agreed services, while the production of the individual service elements in accordance with the legal assignment of tasks remains the sole responsibility of the competent bodies.

Professional documentation and regulations with regard to intergovernmental cooperation essentially concern **standard formats for documentation** as well as the common specification of the following few elements.

- **Service inventory.** Public services, i.e. the results (products)⁴⁶ of the administrative activity, must be clearly identifiable in the context of intergovernmental cooperation, and therefore compiled and maintained in a services inventory (see *eCH-0070 Services Inventory Gov CH*).⁴⁷ The regulated exchange of defined services is a key element of the cooperation.
- **Service architecture.** The legally specified form of interconnecting services can be documented in the form of a so-called service architecture (see *Appendix II: Documenting and using service architectures*).
- **Service description.** Material attributes of the individual services are to be compiled such as, for instance, results, accountabilities, etc. This compulsory service description enables cooperation among the administrative bodies .
- **Process description.** The description of the "public" process is required for the professional coordination of the differing service providers in the procedure. The description of the "local" processes is part of the organisation-related business process management.

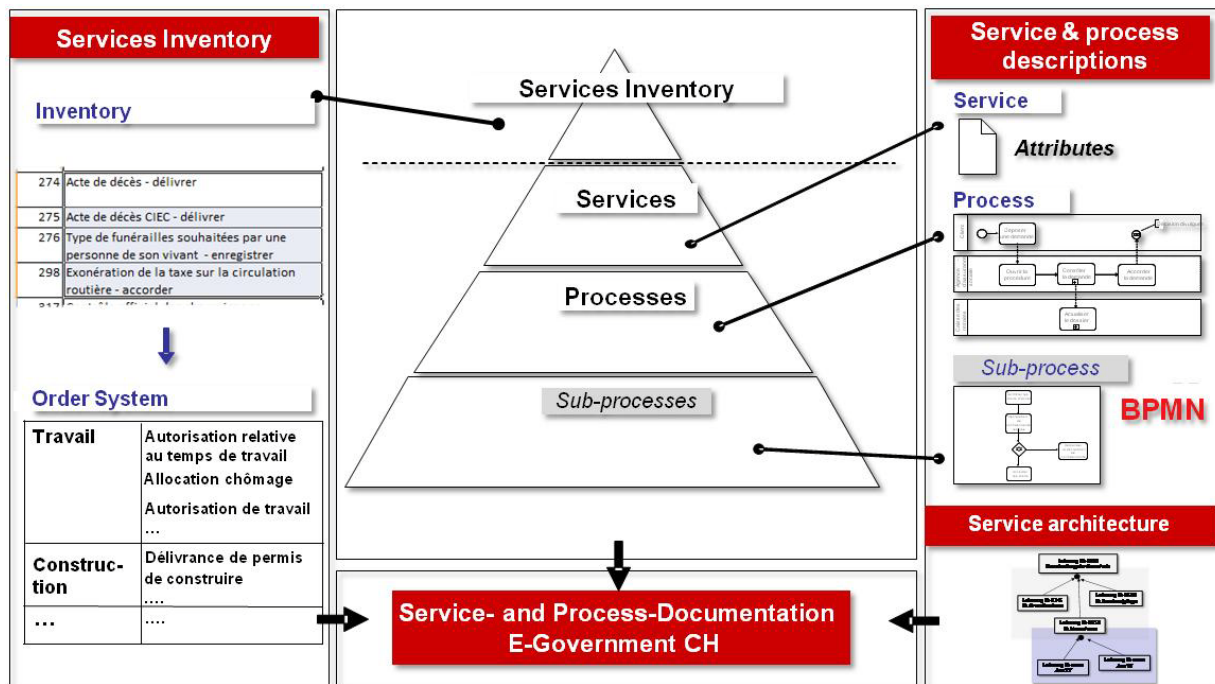
The **harmonisation of the information resources for public services and processes** which is necessary for the establishment of intergovernmental cooperation and for the networking of distribution and production structures requires appropriate **BPM standards of documentation**⁴⁸. For this reason it is necessary to describe the required process resources systematically and on the basis of shared responsibility pursuant to the BPM standards, as

⁴⁶ Many model descriptions concerning administrative architectures completely omit the observation of the performance level. "Processes" and/or "process chains" are discussed when – as in the administration procedure – services and/or the networking of processes on the basis of a coordinated exchange of services is discussed. In this case it is difficult to achieve an adequate understanding of the cooperation relationships and process structures in networked administration structures.

⁴⁷ See the standards and results of prioritised project *B1.03, Uniform Inventory and Reference Database of public services* such as *eCH-0070, eGov CH services inventory*, as well as documentation standard *eCH-0073 Documentation of public services and processes*. Further information is available under www.ech.ch as well as www.egovernment.ch

⁴⁸ See *eCH-0073 Documentation of public services and processes* (documentation standard eGov CH), as well as the eCH implementation aid *eCH-0096 BPM Starter Kit* under www.ech.ch

well as to maintain them and make them accessible in a **Swiss-wide BPM repository** (BPM documentation).



(Fig. 8) BPM documentation elements (pursuant to eCH-0073) for the description of "public" and "local" processes

To develop such a BPM documentation infrastructure, work is already underway in the context of prioritised project *B1.03 Uniform Inventory and Reference Database of Public Services* (see the figure in Appendix III: Cooperation requires intergovernmental information integration).⁴⁹

- Achieving a shared understanding as a basis for the operational processing of intergovernmental processes is an important focus of business process management in public administration. (See also **Appendix I: What sort of business process management does the public administration require?**)

⁴⁹ Please refer to the planned results for prioritised project *B1.03, Uniform Inventory and Reference Database of Public Services* (see chapter 3.1 E-Government Strategy Switzerland).

Business process management implemented department-wide

Since 2010 employees in the Federal Department of Foreign Affairs (FDFA) enjoy online access to the business process documentation of the entire department (FDFA Scout). The BPM documentation is maintained on a department-wide basis, serving the operational business activities as reference information. The processes are described in BPMN with short annotations concerning individual activities. General concepts and templates are also available. The goals, basic principles, results and organisation of business process management in the FDFA are governed by a federal executive order.

4.3.2 Networking intergovernmental distribution and production structures

Using the following two complementary **networking strategies**, administrative bodies can break open inefficient and costly silo structures in their business development activities, and at the same time remain responsible for the speed of their modernisation efforts.

- As a result of **process modularisation**, certain operational processing sequences of individual processes are replaced by services provided on an **interorganisational** basis or across different processes.
- As a result of **process operationalisation**, certain process functions, resources and infrastructures needed for the operational completion of the processes are replaced by execution elements provided on an **interorganisational** basis or across different processes.

Modularisation of processes. *Process modularisation* is understood as the **splitting of an organisation's interconnected business processes into independent process sequences** or entities; these can be flexibly combined and, for example, outsourced.

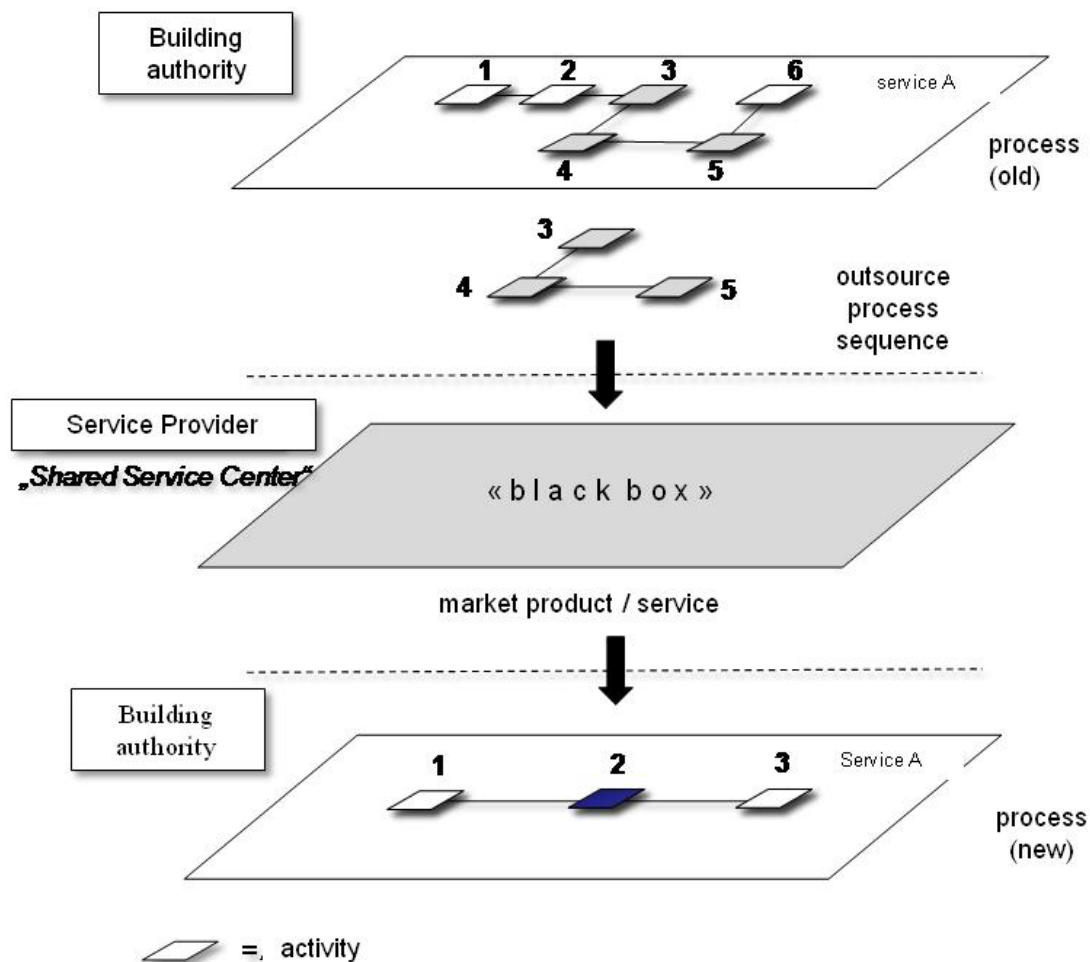
Modularisation enables the redesign of the business processes in such a way that a process sequence which was previously completed within the (local) master process is outsourced.

To replace this processing sequence, a finished product (or service) is then purchased and subsequently incorporated ("consumed") in the process. In other words, the external service invoked by the master process replaces the previously outsourced processing sequence.

From the master process perspective, the production process of the added element represents a *black box*.⁵⁰

⁵⁰ It is no coincidence that the modularisation approach presented here has certain similarities with service-oriented architectural concepts discussed in informatics. Here, the decoupling of externally usable services from the actual service implementation, i.e. the technical provision of a service, plays a central role.

Modularisation not only changes and optimises production processes in a fundamental way. It also has a considerable impact on redesigning the distribution interface of public services. The design of simplified access channels, the concentration of service offerings, the establishment of points of contact, etc. – these represent the visible results of a procedure-related process modularisation coordinated amongst the authorities.



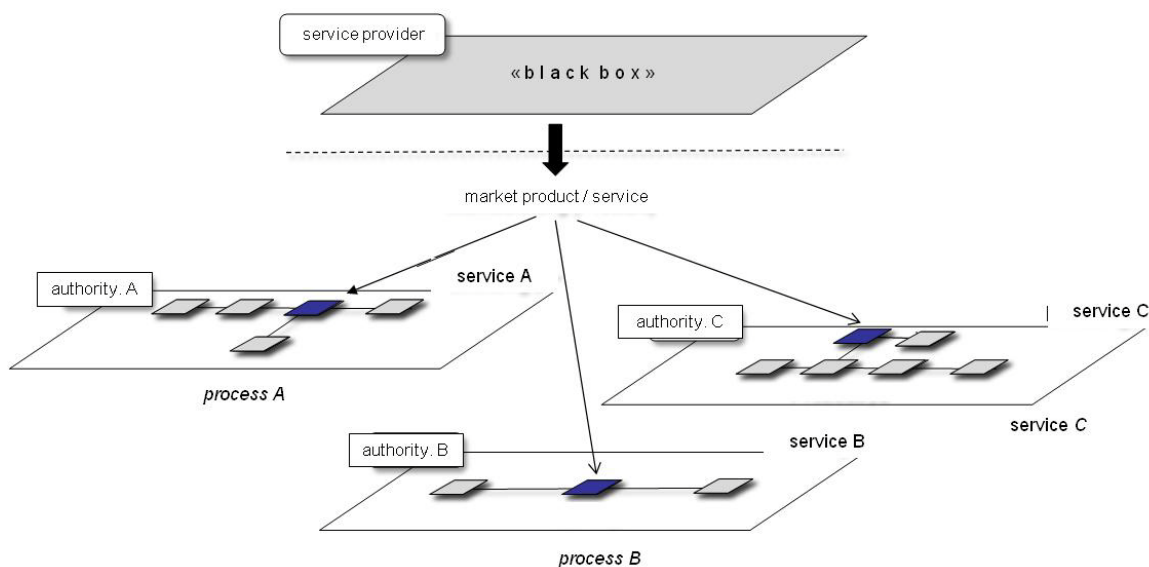
(Fig. 9) Redesign and simplification of a local business process through the modularisation of the processing sequence

In the local organisational context, the modularisation initially requires a **targeted simplification of processing sequences**. In view of the aforementioned process-related uniformity of the administrative procedure (see Chapter 4.1 Design dimensions and design framework), **administrative processes** – irrespective of what kind – have a **considerable potential for modularisation** that should be systematically exploited by eGovernment programmes. In this context a large number of process elements that previously had to be provided, operated and paid for in the "local" processes (such as application intake, authentication, payment, provision etc.) may now be accomplished on a **process-independent and interorganisational basis**, which means that a wide range of different processes in different organisations can use the same process modules (**multiple use**

principle). This creates economies of scale in the context of the **overall cost-efficiency** of the public administration.

A particular feature of the process modularisation in a public administration context must be taken into consideration. Only those process modules which **do not contain any sovereign decision-making responsibility** can be assigned to service providers external to the authority in charge of the process. All relevant decision-making process components must remain with the responsible authority. The distinction between **decision-relevant** and **non-decision-relevant** process elements is crucial in the context of the design of production networks in the public administration. Any number of non-decision relevant process modules can be provided by private business, but none of the decision-relevant process modules may be relinquished by the authority in charge of the process.

Neither the present distribution of jurisdictions by public law nor ⁵¹ the administrative procedure prevent the intergovernmental provision and use of external services, information resources, procedural elements or infrastructures. In particular, repetitive and non-decision-relevant modules may be removed from the local business processes. There is much scope for a coordinated modularisation, outsourcing and subsequent re-integration of **process-supporting professional or operational functions**. These can be invoked as a service and used in a large number of different production processes (reusability).



(Fig. 10) Interorganisational use of services ("shared services")

⁵¹ The issuing of a vehicle ID represents a public service that has to be applied for at one of the 26 canton registration offices, depending on the residential location of the applicant. In the prevailing case, the same public service and the same public procedure are created by 26 canton service providers and generally in 26 different handling processes as well.

In this context, **Shared Service Centres** come into consideration as operators and suppliers, which may be **organised in various ways**. Several municipalities could set up a joint service centre for determined services according to purely economic criteria – which could also be used by other local governments. From a producer's point of view, process modularisation thus allows flexible answers to **make or buy** questions. Furthermore, private suppliers as well as **public-public partnerships** can concur in business processes without encroaching on the responsibility of the competent authority. There is extensive scope for action in this context for tasks concerning the provision and maintenance of public services (roads, schools, hospitals) in which the guarantee obligations of the authorities are legally specified – although private partners can be contracted with the completion of the work.

In particular, the shared use of specialist resources makes sense with tasks that require **high levels of expertise**. For certain issues (e.g. selected policy fields, project management), it is possible to set up intergovernmental centres of competence which can be accessed via **standardised agreements** (*Service Level Agreements*). In this way, a municipality may choose the (municipal or cantonal) service centre where it purchases certain services, so that competition between different offerings may result.⁵²

The granularity of the process components which are assigned to external services depends on the objectives which a process services. The combination of outsourced service elements with those process steps which remain under the control of the process owner **need not to be decided on a superordinate basis**. They can be managed flexibly in the “local” processes.

Operationalisation of processes. Complementary to process modularisation, *process operationalisation* represents another effective networking approach, in which all components, functions and infrastructures required for the **operational completion of processes** are systematically identified against the backdrop of the relevant process documentation (*see Chapter 4.3.1.5 Documenting services and processes*). It can be demonstrated that, despite the material variety of the administrative business processes, business processes can to a large extent be composed of **uniform process elements** and functions. At the execution level, different processes can thus be operated with a **small**

⁵² For this reason, "soft" and indirect control instruments are to be incorporated during the development of new forms of cooperation. These include, for instance, common models of financing, common working groups, benchmarking or platforms for exchanging experiences in order to intensify the cooperation between all government levels in Switzerland. Specific incentives could include, for example, networking bonuses for municipalities willing to cooperate. It is conceivable, for instance, that with the development of (local) Shared Service Centers, the benefits of concentration could remain with the municipalities. In this way, it is possible that new service structures will gradually become visible externally, which in turn creates incentives for other municipalities to make use of the new service structures.

number of generically applicable activity modules or process functions. These modules can be provided as a service, on a process-independent⁵³ or an interorganisational basis.

Identification and prioritisation of process components that can be used on an interorganisational basis. With a procedure-related approach to the modularisation and operationalisation of business processes, authorities are able to identify the required process resources, modules and infrastructures more reliably. The **administrative procedure** is suitable as a **design framework** in the development of intergovernmental distribution and production structures. With the development of the *eGovernment Architecture Switzerland*, all of the intergovernmental organisational, functional and technical components (such as portal access, contact channels and media, forms, identification services etc.) required in the (electronic) administrative processes can be consolidated in a **shared portfolio**, connected with each other and then prioritised on a strategy-conforming basis (see *Appendix IV: Developing the portfolio of the prioritised project into a strategic control instrument*). The *Prioritised Prerequisite Projects*⁵⁴ in the *eGovernment Strategy Switzerland* have already taken this path.

⁵³ The business management framework (GEVER) provides an example of how generic functions of internal organisational process transactions (business control, process management and records management) can be made available on a company-wide basis. Also see *eCH-0038 Records Management Framework – Information management in eGovernment* www.ech.ch

⁵⁴ See the *Prioritised Prerequisites project* in the *Catalogue of Prioritised Projects*. Status 18 May 2009. See www.egovernment.ch

4.4 Distribution of public services

The term "distribution" in the Organisational Concept describes the full scope of the relationships between the customers and authorities **from the customer perspective**. This includes all interaction aspects connected both to **access** and to the **receipt of public services**.

In the context of the previously described approaches for the modernisation of the administrative processes, the implementation and design of new customer-friendly distribution structures is possible in a variety of different ways (see *Chapter 4.3.2*). A large number of the design elements of the distribution interface can be defined, used and offered on an intergovernmental basis. As a result of this, their provision and operation becomes much more cost-effective.

4.4.1 Simplifying access to services

4.4.1.1 Instant locating of services

Access to services concerns the distribution channels, offer structures, contact media and points of contact through which a customer is able to find the service and supplier to meet their requirements quickly (at the first go) and reliably (see the four-stage model, *Chapter 4.1 Design dimensions and design framework*).

Customer-friendly offer structures. Administration customers should be able to find the individual service they require effortlessly and quickly without prior knowledge of authority structures, etc. In this context, the distribution structures previously organised according to the principle of responsibility now have to provide **service access** tailored to the **life circumstances** and **business situation** of the customer. This perspective also includes the customer's ability to acquire all of the services pertaining to a certain requirement during a single authority visit (see *Chapter 4.4.2 Simplifying the receipt of services*).

In order to cater to various types of customer expectations through **distribution structures that are as open as possible**, service offers may be structured and bundled in a flexible way..⁵⁵ In this context, certain **target groups** should be addressed, such as entrepreneurs, farmers, trainees, foreign managers, etc. Distinguishing private customers from enterprises is not sufficient for creating appropriate target groups. Enterprises may be further distinguished between in terms of their size, sector and current situation (e.g. start-up, sale, export, etc.).

⁵⁵ See the standard *eCH-0049 Themes Catalogue for E-Government Portals* at www.ech.ch which provides a uniform, theme-oriented structure for service offerings on Swiss administration websites.

Small and medium-sized companies obviously have other requirements than a large chemicals company.

Optional and easy-to-use access channels (multi-channel access). The *access to services* can be designed quite like the variety of **distribution channels** for consumer goods. Customers would then be addressed and served according to their different concerns, situations and business contexts with the distribution channels and contact media they consider suitable – and without being told what to do. Stationary ("local") and location-dependent access points are to be considered on an equal basis and networked with each other. A distribution concept which is targeted towards **easy accessibility** of service offerings has to take into account local requirements and conditions. To ensure equal treatment, all customers have the option to contact authorities in the traditional way (in person, by post). It is therefore necessary to maintain an overview of the full offering in terms of access channels and structures – **in other words an overall concept of the connectivity between all access channels is required.**

For the distribution interface of the public administration, there is therefore the explicit requirement that access must be possible through different channels (**multi-channel access**) as well as being multilingual and accessible to disabled users. The access structures should also remain open to new forms of communication such as mobile internet access via corresponding end devices ("contact media"). Online access via websites, which was the favoured option in the first wave of *eGovernment Projects*, no longer represents the only solution, although it offers a considerable amount of cost advantages and additional comfort – at least with straightforward, self-explanatory services.

The main approach in designing a bureaucracy-avoiding access to services consists in the following: every customer and every target group (sector, SMEs, etc.) can find the service and supplier they require **at the first go** (in the simplest and most direct way) according to their specific knowledge and requirements. One way of achieving this is direct access via an in-house application. If necessary, "sign posts" show the right way to the inexperienced customer (as an example, refer to the Swiss portal www.ch.ch or also the idea of a national telephone number for all Administration matters).

Distribution-related diversity is a customer requirement

The requirement for flexible and situation-based distribution channels can be highlighted by the example of distribution policies for consumer goods:

A consumer has run out of cigarettes. They can buy them in a variety of different ways depending on their situation:

- over an after-work meal with friends: the vending machine in the restaurant;
- on the way to the office: at the next kiosk;
- for a cheap king-size carton: the tobacco counter in the supermarket;
- when time is not of the essence: a bulk order from a wholesaler on the internet;
- for connoisseurs: a specialist retailer.

4.4.1.2 Making services easily accessible via contact centres

A key design element for the removal of information and communication burdens can be found in the good level of accessibility of public contact centres. , On the one hand they guide customers to the suitable service, and, on the other support them during the preparatory stage of a visit to the authorities, possibly also helping them during all other stages of the administrative procedure. Such contact centres are part of a distribution structure organised on an intergovernmental basis: when a customer is looking for information, they can find all the information and guidance they require **at their nearest contact centre**. In this context, contacts at local town halls could also rise to this task in the future. Certain customers will want to continue their dealings with the authorities via "their own" **municipal contact points**. These remain attractive due to their good level of accessibility (close to citizens, personal rather than anonymous service). The municipal administration would no longer only offer its own services for the local community. It would also provide access to all public services required in a specific life event or business situation, regardless of the authority which is in charge of producing the service.

One of the conditions for easy contact is the **standardisation and harmonisation of information about public services and processes** throughout Switzerland (information integration, see also *Appendix III: Cooperation requires intergovernmental information integration*).

- Corresponding standards and some documentation results, such as the **service inventory** of the public services of the Swiss authorities, are already available. The provision of additional infrastructures which will be available throughout Switzerland is

planned (see prioritised project B1.03 Uniform inventory and reference database of public services).⁵⁶

Contact centres tailored to certain customer groups and issues could be located at all administrative levels (the portal for small and medium-sized companies www.kmu.ch is a very successful case in point).

Other types of contact points and portals which are still primarily organised according to the jurisdiction of a particular authority will not necessarily have to be closed down: where customers continue to find them useful, they can play an important role as a complementary access structure: experienced customers will often prefer their "direct link" to the appropriate authority.

"Easy Government" – design fundamentals for a customer-oriented distribution interface

- **Easily accessible:** The variety of the access channels (distribution channels and media) provides the customer with situation-specific and demand-based access to public service offerings.⁵⁷
- **Easy to find:** The service offerings are no longer "silo-like", meaning that they are exclusively structured according to the organisation of the authority; they may as well be prepared and grouped according to life events, business situations and target groups.
- **Easy to contact:** If a person or an enterprise is looking for information, they can access the services they require at their nearest contact centre, irrespective of whether these services are produced at municipal, canton or federal level.
- **Easy to understand:** The preparation and completion of the necessary interactions with authorities is described step-by-step and easy to understand from a customer's perspective.
- **Easy to carry out:** Delivery of public services is made easy, due to easily accessible contact centres and smoothly functioning interaction patterns, contact media and procedures.

⁵⁶ See the standards and results of prioritised project B1.03, *Uniform Inventory and Reference Database of Public Services*, such as eCH-0049 *Themes Catalogue for E-Government portals*, eCH-0070 *eGovCH services inventory*, as well as eCH-0073 *Documentation of public services and processes* at www.ech.ch. Depending on the context, a uniform Swiss-wide data basis for the public services could also be used by private or non-profit actors. For example, as an additional service, estate agents could provide both their domestic and foreign customers with all the official administrative information they require when they buy a property, including it in the corresponding offer documentation. According to this model, the distribution structures for public services could develop via decentralised distribution channels on the basis of demand.

⁵⁷ The corresponding slogan of "'Easy Government" originates from Astrid Strahm (FSUIT).

4.4.2 Simplifying the delivery of services

4.4.2.1 Confident and straightforward handling of procedures

In stages 2-4 of the administrative procedure (receipt of services, see *Chapter 4.1 Design dimensions and design framework*) information burdens can be removed by implementing the following measures at the distribution interface:

Information about contacts with authorities (appropriate to the recipient). Private individuals and companies often lose a lot of time when trying to find **information** about the correct completion of administrative procedures. The customer is therefore to be offered targeted and reliable information about handling a visit to an authority. Brief, easily understandable **step-by-step instructions**⁵⁸ can give the customer a sense of certainty that they are able to get a procedure going correctly straight away and bring it to a quick conclusion without problems. **Well-informed service recipients considerably reduce the total cost of the administration.**

Support with the preparation and completion of procedures. During the transition from the information stage and the development of the intention to the actual preparation and completion of their administrative tasks, the customers are to be provided with targeted support from the Administration staff (the contact centre then becomes a "help desk"). With respect to the complete administrative procedure, the range of services offered by a help desk may vary, starting with the provision of straightforward instruction and support during the initiation of a visit to an authority (e.g. provision of electronic forms, step-by-step descriptions of conditions and procedural sequences etc.) until a comprehensive case management by a "single point of contact"⁵⁹.

Provision of context and processing information. When seeking contact in the context of an ongoing procedure, customers are to be provided with the necessary information relating to context and processing ("**What is it about, who wants what from me and why, and what do I have to do?**"). With good information, customers are able to complete the tasks demanded of them quickly and correctly, and the procedure will not be unnecessarily delayed. Also, customers must also be able to inform themselves about the status of an ongoing procedure (traceability).⁶⁰

⁵⁸ Standardised descriptions of authority contacts are planned in the scope of prioritised project B1.03 *Uniform Inventory and Reference Database of Public Services* see *the Catalogue of prioritised projects: Status 18 May 2009* at www.egovernment.ch

⁵⁹ In this context, see the EU Services Directive of 12 December 2006.

⁶⁰ The basis for this is provided by the standardised documentation of public services and processes. The metadata described can then be issued to the tracking services, for instance, via the exchange standard *eCH-0039 E-Government Interface for Dossiers and Documents*.

Simple, reliable and secure completion of administrative functions. Irrespective of conventional or electronic ways of access, customers are able to complete all procedural steps via **functions which are easy to carry out** (e.g. application via forms, payment, etc.). Appropriate infrastructures are to be provided for supporting the individual functions and information resources that are required at the distribution interface (such as forms, payment and delivery services or directories of services and authorities).

Customer friendliness and customer service have their price

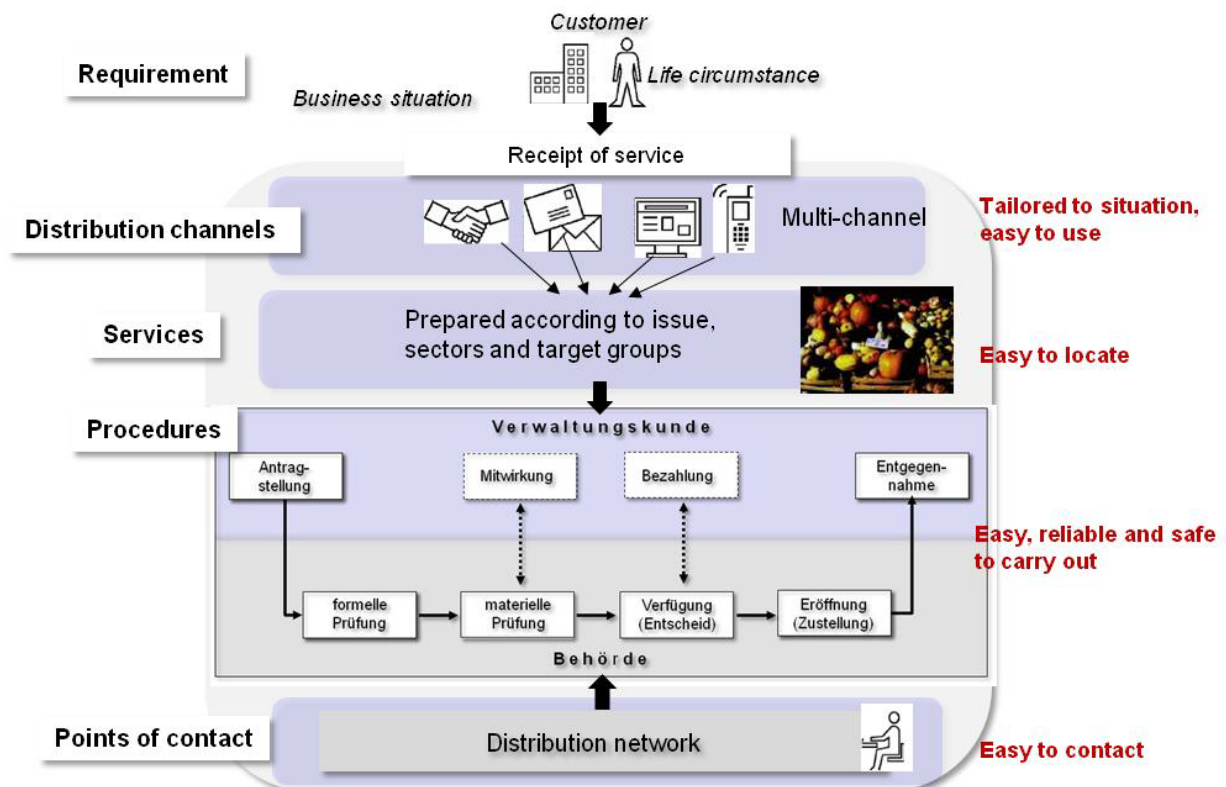
Cost/ benefit considerations cannot be ignored in the customer-friendly design of the distribution interface of public administration. For cost reasons, a broad fan of access channels cannot be offered in all cases. In order to align the different access channels in an appropriate way and to avoid their uncontrolled multiplication, an overall concept is required.

The development of distribution networks may engender numerous **economies of scale**: resources, components and infrastructures can be used for several purposes, which has a positive effect on both the quality (concentration of know-how at a particular point) as well as the costs of purchasing and operation. At the same time, online access provides numerous options for transferring certain activities (e.g. data capture) onto the customers (like with online banking, where customers are handling their banking transactions electronically themselves).

On the other hand, **case-based comprehensive support** – a central theme of certain eGovernment distribution concepts – can hardly be offered for free across the board. For certain services, case management could be provided by private or public organisations as an additional service, against a fee. For organisations, such an offer could provide a considerable advantage, especially with projects that are complex and costly and where time is an issue (e.g. building permit procedures for large-scale projects).⁶¹

Interactions that are easy to complete. Customers and authorities should be able to contact each other during all stages of the administrative procedure (e.g. during the application stage, the supply of information, the legally secure provision of decisions, etc.) through **contact patterns that can be completed straightforwardly and securely** and via suitable and optional contact channels (email, post, telephone, authority counter).

⁶¹ The local authority of Barnet, which with its 330,000 inhabitants is the tenth biggest council in the United Kingdom, charges for additional services with building permits: "Instead of dealing with a range of different administrative officers, for a fee of 600 pounds a year, house builders can hire their own personal administrative officer who accompanies them throughout all their visits to authorities." *IDT Newsletter 2010/02* Institute of Public Services and Tourism of the University of St. Gallen



(Fig. 11) "Easy Government" – Design of the distribution interface in conformity with the customer-friendly principle of "Customer requirement before service and before responsibility"

Create flexible contact possibilities with the Administration. If customers may communicate with administrative agencies via straightforward contact channels and interaction patterns, if they are supported in a recipient-friendly way, and if moreover many interactions become redundant due to new production structures, then there will be no need to limit customer-authority contacts to just a few contact centres (single points of contact, front offices)⁶².

There may be cases where flexibility and a friendly service are equivalent to the opportunity for the customer to communicate directly with the authorities involved in the procedure. A wide range of design options as well as sufficient flexibility with the setting-up of the contact points arise as a result of process modularisation (see *Chapter 4.3.2*).⁶³ **The best and most**

⁶² The EU Services Directive stipulates the creation of "single points of contact" in which business owners receive more than just comprehensive information and contact options for authorities. All administrative services required for the start-up and operation of a service business in a EU country should be available there ("case management"). This structure seems difficult to realise, since different distribution and service functions are combined, notably the provision of information, the function as first point of contact, as well as functions as procedural managers and case manager. Another difficulty is in the establishment of organisational relationships with the processing offices which produce the relevant services (back offices), particularly in terms of the control and coordination of the complete procedure or several interwoven procedures.

⁶³ See K. Lenk: *Organisationsänderung durch Wegsehen. Der riskante Einstieg in One-Stop-Government mit der Dienstleistungsrichtlinie, Verwaltung und Management, Volume 15 (2009), Issue 5*, as well as T. Schuppan: *Die EU-Dienstleistungsrichtlinie aus-EGovernment-Sicht: Mode oder Modernisierung. Verwaltung und Management, Volume 15 (2009), Book 6*.

cost-effective solution in the design of customer-authority interactions always has to be determined in the context of the specific implementation project.

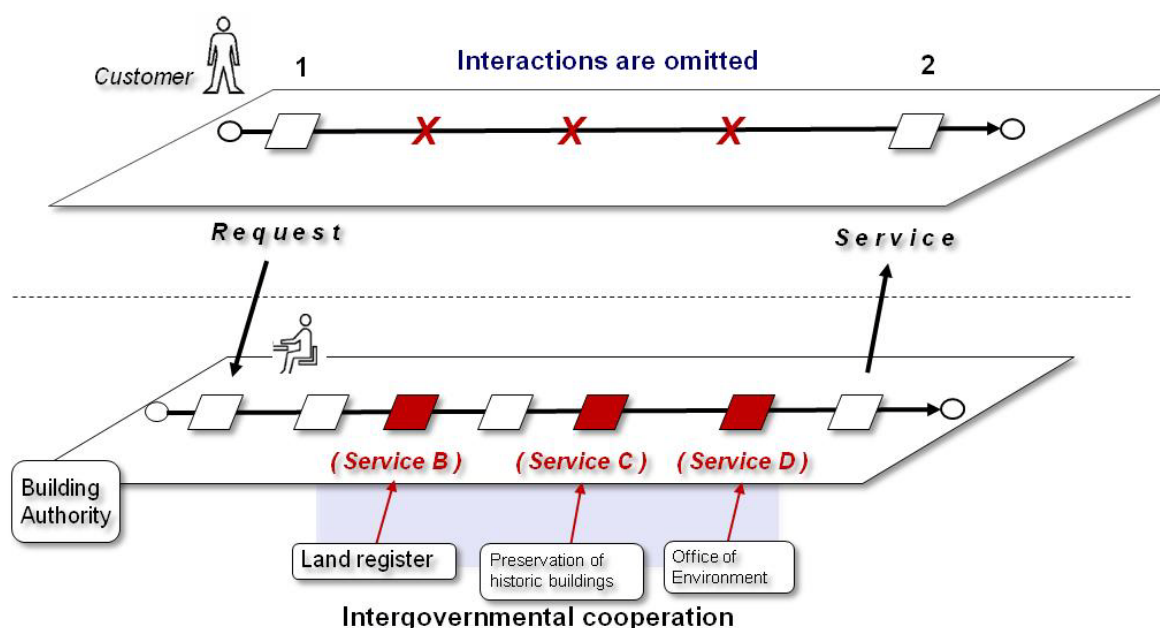
The following factors need to be checked or considered prior to a premature implementation of **front/back office structures**:

1. With the optimisation of the processes by the Administration (see *Chapter 4.3.1 Intergovernmental cooperation model*), the number of customer contacts may be reduced so that a bundling of such contacts in a front office may no longer be necessary.
2. Within the scope of legal duties to cooperate in an administrative procedure, the customer can never be fully freed from having to interact with the authorities. Also, during the completion of administrative tasks, mutual contacts may occur that are often very spontaneous and which cannot be organised in advance (e.g. in the event of queries, information, etc.).⁶⁴ These customer-authority interactions always touch the **"local" processes of the competent service producers**. Problems arise when the front-office approach is realised in such a way that all customer-authority contacts have to be completed exclusively via the front office. In this case, the front office would have to be supplied with sufficient knowledge as well as with the latest information about the status of the current business cases in the "local" process. This can create organisational, logistic and technical problems which can be expensive to solve.
3. The establishment of front/back-office solutions (one-stop government) requires the far-reaching **standardisation of information resources** about public services and processes (integration of information). These also allow other, leaner and more flexible forms of customer support (at the first go).

⁶⁴ With decision-making and negotiation processes in public procedures in particular, anticipating all of the possible contact situations is very difficult.

4.4.2.2 Reducing interactions

The opportunity of reducing interaction burdens is not primarily connected to the configuration of the distribution interface; on the contrary, it is more an **effect of changes in the production structures**. Only when administration agencies assume **controlling and coordination tasks** as they redesign their cooperative relationships, can interaction burdens for the customer be clearly reduced (see *Chapter 4.3.1.4 Intergovernmental control of processes*). Measures to simplify the distribution interface (e.g. development of contact centres) can therefore be taken easily and purposively when the production system is changed in an appropriate way.



X Activities that can be removed on the part of the customer (interactions)

(Fig. 12) Removal of interaction burdens by changing controlling structures

Cooperation of customers in the procedure in an operative sense should, as far as possible, concern only those actions which are required by law (this concerns, among others, applications, information duties as part of the obligation to cooperate, the payment of fees as well as the receipt of a formal decision).

The Administration should not ask for that which it already has. In as far as the legal obstacles can be removed on the procedural side, **interaction burdens** in the form of **certification burdens** can also be removed in the sense that all entries already recorded in official registries do not have to be submitted for a second time. Instead of being obtained from the customer, this information is sourced internally by the authority (ex-officio). As a condition for both a straightforward and low-cost solution to data protection problems, an authority must receive the customer's consent to obtain all of the certifications required in the

procedure on an ex-officio basis ("**the authority should not ask for that which it already has**"). With an automated evaluation of the data records already available in the Administration's official registers, it is possible to proactively check the eligibility of private individuals or companies (e.g. to pensions, grants or subsidies) and offer them as services. Customers would then be "automatically" informed about services they are permitted to receive and that they could either accept or decline. The principle of demand-driven administrative action would then be replaced by supply-driven action (*no-stop government*).

Submitting service packages. There is still another structure of distribution which can lead to a clear reduction of interaction burdens for customers. In many cases, a customer's business situation (e.g. establishment of a business) or life event (e.g. marriage) corresponds to a complete package of independent services which normally have to be procured individually **via separate procedures**. With a customer-oriented distribution organisation, all of the services required for a particular issue would be provided by the administrative organisation as a complete package.

On the production side, this means increased controlling and coordination efforts. A service provision which spans different responsibilities in the form of a "multipack" is required in this context (see *Fig. 17 – Interweaving of Service Architectures during the Provision of Service Packages* in Appendix II). This requirement can be fulfilled with the federal model of cooperation based on the **networking of services** (see *Chapter 4.3.1.4 Intergovernmental controlling of processes*). The condition for this is the intergovernmental integration and provision of information resources for public services and processes (information integration in service networks, see *Chapter 4.3.1 Intergovernmental cooperation model*).⁶⁵

⁶⁵ See M. Brüggemeier, S. Schulz: *Datenpointernetzwerk: Informationsintegration für eine vernetzt arbeitende, transparentere und weniger spürbare Verwaltung der Zukunft*. In: M. A. Wimmer (ed.) et al.: *Vernetzte IT für einen effektiven Staat*. Bonn 2010.

5 Introducing the change

Whilst in the *New Public Management (NPM)*⁶⁶ little attention is given to the **operational level of administrative actions**,⁶⁷ the *eGovernment Strategy Switzerland* focuses directly on the design of the (intergovernmental) service provision processes.⁶⁸ The renewal of public administration in the context of eGovernment is characterised by a holistic view of the interplay between services, processes and actors in the distribution and production structures.

The modernisation of the administrative structures requires an extensive cultural change at both the management and employee level. The capacity for intergovernmental cooperation in business processes has to be acquired and developed collectively.

As is evident from a wide range of examples from Switzerland, the **ability for self-organisation and coordination** which is embedded in the federal culture, provides firm ground for redesigning silo-type administrative structures into high-performance distribution and production networks.

⁶⁶ An overview of the theme of the *New Public Management* is provided by Wikipedia at http://de.wikipedia.org/wiki/New_Public_Management#Schweiz A critical audit of the NPM implementation in Switzerland is provided in A. Lienhard, A. Ladner, A. Ritz, R. Steiner (ed.): *10 Jahre New Public Management in der Schweiz: Bilanz, Irrtümer und Erfolgsfaktoren*. Bern 2006.

⁶⁷ See K. Lenk: *Der Staat am Draht. Electronic Government und die Zukunft der öffentlichen Verwaltung – eine Einführung*. Berlin 2004, p. 69f.

⁶⁸ The *eGovernment Strategy Switzerland* states that the first basic principle for goal attainment is the "Orientation on services and processes: instead of insufficiently coordinated and expensive eGovernment standalone solutions, shared solutions that are oriented on a single understanding of services and processes and that span one level are developed." Refer to the *eGovernment-Strategy Switzerland*, as passed into law by the Swiss Federal Council on 24 January 2007. See www.egovernment.ch, p. 6.

E-Government as a catalyst for change: structural municipal reform in the Canton of Glarus

On 7 May 2006, at the historic *Landsgemeinde* in Glarus, the starting shot was fired for a unique municipal structural reform in Switzerland: the decision was taken to merge the canton's 70 separate bodies into three new revamped municipal areas – with the goal of providing a superior service for local citizens, with fewer and shorter processes and annual savings for the canton totalling 6 million Swiss francs ("3 strong municipalities – one competitive canton"). The implementation subsequently focused on the design of organisations and processes: "**Potentials were identified at the process level and the rest was derived accordingly**". eGovernment is understood as being a "catalyst for the achievement of goals". In this context, for example, the eGovernment standards of www.ech.ch are consistently applied. Cultural change remains a significant challenge, which citizens, politicians and public administration will have to rise to in equal measure.⁶⁹

5.1 Taking the context factors of modernisation into consideration

During administrative change processes, policymakers, public managers and employees are inevitably caught up between conflicting interests. Whether the changes that are intended by the eGovernment succeed or fail ultimately depends on a sensitive approach to the different "hard" and "soft" context factors of an institutional, structural and individual kind.

The following factors have to be taken into consideration:⁷⁰

- **Legal context factors.** The administrative changes are tied to the conditions of the legal framework. In all cases it is necessary to check whether the existing legal bases have to be adapted to reflect the changes to the production and distribution structures.⁷¹ This would mean that corresponding **changes to the law** would have to be carried out at the **political level**. According to the cooperation model described in *Chapter 4.3.1 Intergovernmental cooperation model*, intergovernmental management in a determined procedure amounts to an operational activity which does not affect the sovereignty or autonomy of the "local" business processes that are involved. Unless the law stipulates

⁶⁹ Please see www.gl2011.ch as well as the lecture by Project Manager Dirk van Vliet on the occasion of the 3rd *eGovernment Symposium Switzerland 2009* at www.egovernment-symposium.ch

⁷⁰ Some considerations in this chapter make reference to A. Picot, H. Freudenberg, W. Gassner: *Management von Reorganisationen: Maßschneidern als Konzept für den Wandel*, Wiesbaden 1999.

⁷¹ Please refer to the prioritised project B1.02, *Legal basis*, in which the methodical bases for the evaluation of the legislation related requirement for E-government are to be created. *Catalogue of Prioritised Projects*. Status 18 May 2009. See www.egovernment.ch

otherwise, the responsibility for controlling can therefore be agreed between the partners on the basis of practical criteria.

- **Structural and institutional context factors.** The **multi-polar distribution of power** in the **federal system** requires an appropriate i.e. an **equitable participation** of the federal government, cantons and municipalities in implementing the modernisation goals of the eGovernment Strategy Switzerland. In the context of distributed areas of power and influence, incentives and motivation for joint change efforts and coordinated action are often difficult to achieve. As important design factors in eGovernment, process modularisation and operationalisation (see Chapter 4.3.2) offer considerable potential which will support the various actors in breaking down and networking their expensive "local" production and distribution silos.
- **Individual context factors.** Reform projects have to include **the knowledge of the employees** at their places of work. "Such relevant knowledge can be of a specialist, methodical or inter-personal nature".⁷² In an Administration context, knowledge about the business processes is spread around a large number of employees on all federal levels. **The "distributed knowledge" has to grow together into "shared knowledge"**.

Depending on the context-related factors, an outline of an administrative modernisation tailored for Switzerland can be sketched out: **the administrative renewal intended by eGovernment Switzerland will have to be characterised by a high level of institutional and employee participation.** For the implementation and further development of eGovernment Switzerland, a participation model is required which takes effect at the level of the services and business processes of the public administration and which brings together and connects the different parties with sovereign responsibility, especially in the **"gaps" of the operational service development.** The specification of the modernisation goals of the *eGovernment Strategy* in the *Organisational Concept* takes into account the requirements for participation at the level of the service creation and business processes to a large extent (see also *Appendix I: What sort of business process management does the public administration require?*).

Institutional participation. The ("local") processes of the participating agencies "interact" via the reciprocal exchange and/or the networking of services. During the creation of interorganisational services, the independent nature of the different partners is not lost. With the suggested model of cooperation, the **sovereign distribution of power**, which is based on the networking of services and processes, remains in place. For the development of inter-organisational cooperation – "organisational interoperability" – **a common professional understanding** of the overarching processes is necessary. At the professional level, this is

⁷² See A. Picot, H. Freudenberg, W. Gassner: *Management von Reorganisationen: Maßschneidern als Konzept für den Wandel*, Wiesbaden 1999, p. 27.

to be both anchored and agreed in the context of controlling – and in the form of **uniformly documented descriptions of services and processes**. The high level of participation of the institutional actors in the context of eGovernment implementation is a precondition for the successful establishment of the cooperation model.

Employee participation. To a great extent, the public administration produces decisions which come into existence in the multilateral negotiation processes that offer a greater or lesser scope for action.⁷³ The **relevant professional, methodical and practical know-how in the business processes** is therefore distributed very widely over a large number of different persons belonging to different organisations. The delegation of responsibility and the determination of scope for decision-making subject to legal requirements therefore become managerially relevant topics. The expertise of employees has to be mobilised and systematically incorporated as part of the knowledge and process management, in the form of genuine **opportunities for participation**.⁷⁴

5.2 Developing a networking capability

Initial experiences with the implementation of new networked distribution and production structures all seem to suggest that administrative bodies are still not sufficiently prepared for the challenging forms of cooperation. In simple terms, the following rule applies: the more networked things are, meaning the more actors are involved and the more that services and business processes occur beyond organisational borders, the more challenging the implementation is.

Network capability and/or network competence cannot be understood in technical terms. What it actually means is the ability and willingness of partners participating in a network to establish the new service and process structures, to work in them and/or to manage and further develop them. This means network expertise has both an institutional and individual (person-related) dimension, as the participating organisations and the individual actors have to be "networkable". As a condition of the organisational interoperability required in eGovernment, network capability is to be developed as a managerial, organisational and individual competence. The willingness and aptitude to establish new service structures must exist at all operational levels.

⁷³ See K. Lenk. *Vielfalt der Geschäftsprozesse in der öffentlichen Verwaltung*. In: P. Klischewski, M. Wimmer (eds.): *Wissensbasiertes Prozessmanagement im E-Government*. Münster 2005.

⁷⁴ In K. Harrison-Broninski the impact of distinct "human-driven processes" and "machine-driven processes" is highlighted on the conceptual alignment of the business process management. Harrison-Broninski's term "human-driven process" is applicable to the decision-making and negotiation processes in the area of public administration. See K. Harrison-Broninski: *Human interactions. The heart and soul of business process management*. Tampa 2005. Other authors and, more recently, a wide range of product suppliers now use the term "Social BPM" or "Collaborative BPM".

5.2.1 Creating a willingness to change at the managerial level

The willingness to change the Swiss public administration must express itself as the shared creative will of politicians, government and administrative management. **Leadership is required.** The corresponding solution is "Designing eGovernment rather than simply managing it." In this context, managers have to find the necessary leverage at all levels and have good enough leadership skills to set the right course.⁷⁵

The more distributed power and knowledge are, the greater the need to involve institutions and employees in the change processes. The **integration and communications skills** of managers are becoming more important: the large numbers of actors, along with their different interests, have to be targeted and involved right from the start.⁷⁶ **Communication is also to be extended to politicians**, whose support is a critical success factor for the implementation of the modernisation goals of the *eGovernment Strategy*.

5.2.2 Creating a willingness to change and the related conditions amongst the employees

As stated above (see *Chapter 5.1 Taking the context factors of modernisation into consideration*), the level of employee participation in the modernisation project has to be high when – as is strongly the case in the Administration environment – the professional-methodical and the operational knowledge about the business processes is distributed widely and has to be tapped in the change processes. **Individual change-related incentives** also arise through the engagement of those employees with know-how.

An area in the eGovernment debate that is neglected are individual networking capabilities, involving the **professional, methodical and social skills** which are required for the establishment of the new distribution and production structures.

⁷⁵ J. Schmid names central leadership attributes which are especially applicable during the management of change processes:

"Consciousness" means knowledge about principles and goals which promise a vision of the future combined with the calculation of the obstacles in achieving the goal.

"Coherence" concerns the bringing together of all the political forces along the path to a shared goal.

"Constancy" means consistency (and strategic direction) in following the goal and the path.

"Conscientiousness" means responsibility for the coming into being of the factors described.

"Coherence" requires managers to be both enthusiastic and passionate for their work, and to have both diplomatic and tactical skills. See J. Schmid: *Führung und Parteien – über ein schwieriges Verhältnis in einem demokratischen System. In: Politische Führung – Zwischen Individuum und Gesellschaft. WiP Working Paper No. 45, Tübingen 2010. p. 32f.*

⁷⁶ See J. Schmid: *Führung und Parteien – über ein schwieriges Verhältnis in einem demokratischen System. In: Politische Führung – Zwischen Individuum und Gesellschaft. WiP Working Paper No. 45, Tübingen 2010. p.32.*

The implementation of the organisation design potential in eGovernment offers new **qualification profiles** and opens up new **qualification opportunities** to the employees working in public administration. The required social, professional, methodical and personal skills must initially be gathered and analysed in further detail⁷⁷. In the scope of personnel development, these skills are to be offered to and required from all groups of employees (management, administrative staff, cross-sectional areas, ICT personnel, etc.).⁷⁸ In the social area, teamwork and management skills are required.⁷⁹

5.2.3 Creating institutional requirements

From an operational point of view, a key task is **anchoring the networking capability as an element of the organisational and personnel development**. In this context, the business process management and the architecture-supported development of the distribution and production structures are two key areas of activity. The required professional and social skills are to be developed at both the individual and collective level. The sufficient provision of resources must also be ensured. Incentives which motivate employees to engage in service networks must be created. Systems of evaluation and controlling are to be aligned towards cooperation activities. Then there are the organisational-culture and communications related requirements. The openness of the organisation and a climate of trust are required in order to be able to develop networked service structures.

The cooperation-based development and refinement of service networks requires the **long-term establishment of collective decision-making and specialist committees**. As a result of this, municipalities, cantons and federal agencies gain the opportunity to work together on new service structures.

⁷⁷ See T. Schuppan: *Neue Kompetenzanforderungen für (vernetztes) E-Government*. In: *Verwaltung und Management, Book 3 (Volume 15)*.

⁷⁸ Among others, the following skills are required for the corresponding groups of employees:

- Project managers have to be in a position to implement networked projects and in addition to their project management skills they must also have the required presentational and methodological skills in networks. In comparison with classic project management, extra importance is attached to negotiation-related skills and powers of persuasion.
- The employees at the implementation level also need new skills in the context of networking capability. Employees also have to be able to critically question their own working processes in the context of the networking potential offered by information technology. The connected ability of self-reflection can create useful impulses for changing working processes. Team skills are also in increasing demand, as those working at the level of implementation must also collaborate on an interdisciplinary basis across different departments and authorities .

Managers also need new skills. They have to be in the position of being able to strategically plan networked projects and require in-depth knowledge of how the service provision can be redesigned in the context of ICT. Adding an emotional dimension to the theme, which decision-makers tend to be poor at, is also required.

⁷⁹ See. T. Schuppan: *Kompetenzen für vernetztes E-Government*; in: eGov Präsenz, 9 Volume., No. 1, p. 62-65.

6 Results and recommendations

6.1 Results

The *Organisational Concept* gives the following answers to the four principal questions concerning organisational design in eGovernment (see *Chapter 2 Introduction*).

- *How can the Administration offer its services in a customer-friendly way?*

Silo-type distribution and production structures create a wide range of administrative burdens for the customer. A structural cause of this is the direct application of *Rechtsstaat* principles of jurisdiction to the design of the distribution and production of public services (refer to *Chapter 4.2 Administrative burdens as a starting point*). Instead of this, the distribution interface which encompasses the **externally visible and accessible** areas of the administration is to be redesigned **from the customer perspective** using the enabling potential of ICT, based on the principle of "customer requirements come before performance and before jurisdiction" (see *Chapter 4.4 Distribution of public services*). This assumes that the Federal Administration will open up the access and delivery of its services via **networked distribution structures**. In this context, the public services and the intergovernmental processes based on a division of labour ("public" processes, see *Chapter 4.3.1.5 Documenting services and processes*) have to be recorded in a Switzerland-wide inventory and documented according to uniform standards (inventory of services, access structures, process documentation, etc.). In addition to this, a wide range of organisational design options are also available for the networking of offer structures, access channels, contact media, procedural functions and contact points on an intergovernmental basis. When combined effectively, these elements must ensure that eGovernment is flexible and easy to use, directly accessible, safe and reliable for the customer to work with – in other words, **Easy Government** (see *Chapter 4.4 Distribution of public services*).

- *How can the resources, functions and infrastructures required for the distribution and production of public services be used on a shared basis?*

The development of networked service structures is made possible by the reconfiguration at the production level: **local silo structures** can be broken up so that the **recurrent process resources, functions and infrastructures, on which the administrative procedure draws**, are procured, provided, used and operated on an **intergovernmental** basis, instead of being provided in closed systems (see *Chapter 4.3 Production of public services*). To this end, **business processes are to be documented in a uniform way**. In addition to this, a reference architecture is to be developed which serves as a shared framework of reference:

the systematic **modularisation** and **operationalisation** of those elements in "local" business processes, which are generic and not directly decision-relevant, creates considerable potential for networked distribution and production structures which satisfy both quality and economic aspirations (see Chapter 4.3.2 *Networking intergovernmental distribution and production structures*).

- *How can services be offered in intergovernmental networks and how can administration processes be optimised?*

The removal of administrative burdens requires both the networking of distribution and production structures as well as an interorganisational **networking of the business processes** (see Chapter 4.3.1 *Intergovernmental cooperation model*). The regulatory requirement and the controlling costs of the intergovernmental cooperation remain manageable due to the structurally arranged **distinction between "public" and "local" processes** in the sovereign division of tasks. The intergovernmental control remains limited to coordinating and regulating the responsibility and processing transitions in the public process between the participating agencies. An important control requirement is the development of a **shared professional understanding** of the services and sequences (see *Appendix I: What sort of business process management does the public administration require?*). In this context, the services and (public) processes are to be systematically and uniformly documented and agreed upon in binding terms within the scope of a cooperative form of **business process management**. These information resources then function equally as a **basis for management** and a **specialist reference** in the intergovernmental cooperation (see *Appendix III: Cooperation requires intergovernmental information integration*). The resources can also be used on a targeted basis to optimise the internal administrative procedures.

- *Which culture of cooperation is to be established and which organisational and professional skills does public administration need for the implementation of networked service and for a process approach?*

The federal culture of Switzerland is already characterised by a high level of self-organisation, self-coordination and **self-initiative**. Given the importance of division of tasks due to *Rechtsstaat* principles, the federal system has in the past tended towards the development and establishment of "administrative silos". Yet **the federal culture can be systematically extended to form a networked culture** (see Chapter 5, *Introducing the change*). The establishment of intergovernmental cooperation between organisations and their employees at the implementation level of the business processes could provide a trigger for this. In this context, the development of the networking capability both as a **collective (organisational) and an individual competence and skill** plays a key role. The development of a federal network culture in public administration requires a **high level of**

participation amongst all levels and actors (both from organisations and employees). This cultural change will stretch over several years. This requires a management that is both prudent and carefully targeted, and which is also able to elicit the **support of political circles and the general public**.

6.2 Recommendations

The following recommendations on the ongoing implementation of the *eGovernment strategy Switzerland* result from the aforementioned analyses of the Organisational Concept.⁸⁰

Recommendations (Overview)

1. *State the vision for administrative renewal explicitly – involve political circles and the general public*
2. *Specify the thrust of the strategy and communicate it to stakeholders*
3. *Plan and steer the implementation of eGovernment strategically*
4. *Develop business process management as a strategic, cultural and operational competence*
5. *Develop, plan and implement networked distribution and production structures*
6. *Create cooperative decision-making and professional structures – define and implement suitable operational models*
7. *Create successful and descriptive implementation examples – exchange experiences – learn from successful solutions*
8. *Identify legal impediments to administrative cooperation – evaluate the need for legislation*
9. *Finance the change collectively*

⁸⁰ Many of the recommendations stated here comply with the recommendations of the standardisation organisation OASIS. See OASIS eGov: *Avoiding the Pitfalls of eGovernment. 10 lessons learnt from eGovernment deployments*, April 2010, Download at <http://www.oasis-egov.org/library>. The OASIS document is a critical benchmark for the current progress of the implementation of the Swiss eGovernment strategy.

Recommendation 1: *State the vision for administrative renewal explicitly – involve political circles and the general public*

The vision for administrative renewal ("What will public administration in Switzerland look like in the future?") is to be explicitly formulated and appropriately communicated to the addressees. This means politicians and the general public are to be involved in the planning process: only when the vision of a networked administration has taken shape as the result of a politically led discourse will the impetus and support that is required for administrative modernisation exist. Time-consuming implementation processes will then profit from a shared basis of understanding.

Avoiding the pitfalls of eGovernment: lack of cross-government vision⁸¹

Pitfall: Lack of common understanding and appreciation across all parts of government of eGovernment vision.

Outcomes: Misunderstanding; inter-agency conflict; people pulling in different directions; unnecessary costs; poor service delivery; customer dissatisfaction.

Recommendation: There must be a joined-up vision across all government and that vision has to be fully transparent and understood at all levels, and properly communicated.

- **Politicians and the general public** are to be won over and incorporated as the **mandators** and sponsors of administrative modernisation. With the ongoing implementation of the eGovernment Strategy, policymakers and management are given innovative **control instruments** (e.g. in the form of the services inventory) which can be used for additional extensive administrative reforms (*see Appendix II: Documenting and using service architectures*). An efficient Administration with swift processes and low administrative burdens will contribute to maintaining and increasing **the attractiveness of Switzerland as an economic location** and place of work. To engage political circles and the general public, the goals of administrative modernisation and their implementation can be spread via several different channels of communication using a **language that is understood by stakeholders**. A debate on an "Administration Switzerland 20XX" vision could also be launched in the context of eGovernment Switzerland.

Recommendation 2: Specify the thrust of the strategy and communicate it to stakeholders. When communicating the *eGovernment Strategy Switzerland*, the goals and the content of modernisation goals have to be specified. The development of a high-performance administration, for instance, requires both the development of the network

⁸¹ See OASIS eGov: *Avoiding the Pitfalls of eGovernment. 10 lessons learnt from eGovernment deployments*, April 2010, Download at <http://www.oasis-egov.org/library>.

capability at all administrative levels as well as the **networking of the services, processes, distribution and production structures**. Network capability and networking can be achieved on the basis of interorganisational business process management and of the **modularisation** and **operationalisation** of business processes supported by a shared reference architecture. **Business process management** and **architecture development** therefore prove to be **two sides of the same coin**: strategic implementation.

- Looking ahead to the next stage of the *eGovernment-Strategy Switzerland*, the signals at control level could be set as follows: networking and network capability are the two focal points for the implementation of the modernisation goals of the strategy. Business process management and architecture development represent two key success factors and are therefore to be developed and encouraged at all levels, both as organisational competences and individual skills. It is possible for additional organisation-related and interorganisational perspectives to be linked together via the key implementation aspects of networking and network capability, in order to create a content-based **correlation between top-down and bottom-up initiatives**.
- A consequence of the orientation of the strategic implementation to the development of the network capability and the development of networked service structures is the **checking of prioritised projects using content-based criteria** (networking and network capability). This means that key projects⁸² could be supported more effectively and given more financial aid where possible.

⁸² As an example, please refer to prioritised project *B1.03 Uniform Inventory and Reference Database of Public Services. Catalogue of Prioritised Projects*. Status 18 May 2009. www.egovernment.ch In this project, information resources available throughout Switzerland (services inventory, services architecture, service and process documentation) can be provided for the intergovernmental networking. The compilation and maintenance of these information resources requires uniform standards of documentation, a participatory care concept (the service and process information have to be updated as a task of the responsible service provider) as well as a documentation infrastructure for public services and processes that can be used throughout Switzerland and which must therefore have a sustainable operational and financial concept. A wide range of *BPM documentation guidelines* and *BPM documentation results* are already available from prioritised project B1.03.

- *BPM documentation guidelines* for the services inventory, the description of services and processes and for the access structures. See *eCH-0070 Services Inventory eGov CH*, *eCH-0073 Documentation of Public Services and Processes (Documentation standard eGov CH)* as well as *eCH-0049 Themes Catalogue for E-Government Portals* at www.ech.ch.
- *BPM documentation results*: Customer-friendly access structures on public service offering pursuant to *eCH-0049 Themes Catalogue for E-Government Portals*. This standard is, among others, implemented in the Swiss portal www.ch.ch and is also already used by a wide range of canton portals. 2. Inventory of public service according to *eCH-0070 eGov CH services inventory*. Intergovernmental service and process descriptions ("public processes" according to *eCH-0073 Documentation of public services and processes*) have not yet been created. The process of looking after the documentation results, including the administrative agencies responsible for the services and processes, has not yet been established.

A *BPM documentation infrastructure* for the provision and care of the eGov CH BPM resources already exists in the form of a pilot installation ("Reference E-Gov CH" at <http://cyberadmin.ch.ch/de>).

Recommendation 3: Plan and steer the eGovernment implementation strategically.

Bearing in mind the content of the strategic goals provided in the *Organisational Concept* (e.g. service orientation, networking, network capability), the **key implementation aspects** of eGovernment Switzerland can be better identified and/or critically evaluated. The *Catalogue of Prioritised Projects* can now be transformed into a stronger **strategic instrument of control (portfolio)** in which the individual projects and their results are shown on the timeline in their **objective overall context** and are linked with the **strategic goals** (see graphic in *Appendix IV: Developing the portfolio of prioritised projects into a strategic controlling instrument*). On this basis, implementation-critical backlogs, gaps, unwanted developments, etc. can be specified more quickly and reliably in the overall eGovernment Switzerland system, and the necessary steps can be taken.

- The **portfolio of prioritised projects**, which highlights the objective dependencies between the individual projects and is shown on the timeline in relationship to the achievement of the strategic goals, could also supplement the existing *Roadmap eGovernment Switzerland*⁸³, which summarises the progress of the implementation from the perspective of the individual projects.

Recommendation 4: Developing business process management as a strategic, cultural and operational competence. Business process management represents an important condition for the development of the network capability of public administration. Processes can only be modularised, operationalised and therefore optimised and networked in a systematic way once they have been professionally documented (see *Chapter 4.3 Production of public services*). Business process management is to be developed as a **resource of interorganisational networking** and of professional management and optimisation of administrative activity. Priorities can be set during the **operational completion of the processes**: according to the cooperation model suggested here, the collaboration between organisations and people (**human interactions**) in the form of an activity which is controlled, coordinated and professionalised⁸⁴ requires a **shared understanding** of services and processes.⁸⁵ For the networking and cooperation of the authorities, this means that **harmonised and standardised knowledge and information resources** of services and business processes are required (*BPM documentation*).⁸⁶

⁸³ See <http://www.egovernment.ch/de/umsetzung/roadmap.php>

⁸⁴ In this context, see K. Harrison-Broninski: *Human interactions. The heart and soul of business process management. Tampa 2005, p. 37f.*

⁸⁵ See K. Harrison-Broninski: *Human interactions. The heart and soul of business process management. Tampa 2005.*

⁸⁶ See the results planned in the scope of prioritised project B1.03 *Services Inventory and Reference Database eGov CH*. Status 18 May 2009. See www.egovernment.ch

- A new provision to be included in the *public law framework agreement*⁸⁷ stipulating that the Federal Administration will professionally document its services and processes according to the eCH-Standards by 20XX and will also harmonise the corresponding data⁸⁸ could provide an important push for the spread of business process management as the basis for intergovernmental process and information networking. The authorities could also initiate the **documentation of the administrative processes via legislative or annual goals** by themselves, as is the case in the Canton of Nidwalden, for instance.⁸⁹
- Business process management is to be used as a lever to ensure **the participation of the employees**. Due to their professional expertise, these are in the ideal position to recognise potential for improvement in the business processes and to incorporate it into the overall design of the business processes.

Recommendation 5: Develop, plan and implement networked distribution and production structures. Public agencies will increasingly become aware of the fact that the processes, results and structural quality of every individual organisation can be clearly increased with the intergovernmental networking of services, processes, distribution and production structures.⁹⁰ In the context of **intergovernmental reference architectures**, operational silo structures can be broken up and networked more easily and in a more target-oriented way. The complementary concepts of **process modularisation** and **process operationalisation** are the models and drivers of a sustained integration of local "company architectures" in an *eGovernment-Architecture Switzerland*⁹¹ that is to be designed collectively (see *Chapter 4.3.2 Networking intergovernmental distribution and production structures*). Local architectures can be developed further on a strategic basis while safeguarding **organisational independence**.

- In the scope of **strategic information planning (SIP)**, administrative units can break open existing silo structures of their own accord and, via the modularisation and operationalisation of the "local" process landscape, benefit from the quality-related and financial advantages of intergovernmental distribution and production networks.

Recommendation 6: Create cooperative decision-making and professional structures – define and implement suitable operational models. The networking of the federal

⁸⁷ *Public Law Framework Agreement about the E-Government Cooperation in Switzerland* (see www.egovernment.ch)

⁸⁸ This corresponds to the prioritised project *B1.03 Uniform Inventory and Reference Database of Public Services*

⁸⁹ See Annual goals 2010 for *Nidwalden Canton*, application to the governing council (no. 2/p) at http://www.nw.ch/de/politik/regierungsratmain/exekutivgeschaefte/welcome.php?action=showinfo&info_id=5038

⁹⁰ See J. W. Ross, P. Weill, D. C. Robertson. *Enterprise Architecture As Strategy*, Boston 2006.

⁹¹ See the prioritised project *B1.06 E-Government Architecture Switzerland*.

administrative structures requires a **high level of participation** by all actors during the implementation of eGovernment. The networking occurs at the level of the business processes and services, where it has to directly involve the employees as key actors and experts (see *Chapter 5 Introducing the change*). In addition to this, the development of networked distribution and production structures also requires the use of suitable multi-level decision-making and professional committees – as none of the participating agencies are in the position of changing the service provision alone (see *Chapter 4.3.1 Intergovernmental cooperation model*). The municipalities, cantons and federal agencies will have to work on the development of the future service structures together. In this way, the necessary climate of cooperation and mutual trust between the federal levels can be further strengthened. Suitable governance and operational models need to be defined and implemented for the operation of the intergovernmental distribution and production structures.⁹²

- The development and maintenance of BPM documentation resources required by all (services inventory, services and process documentation, etc.) and BPM infrastructures represent a touchstone of federal cooperation. In this context, the tasks, responsibilities, sequences, financing and operation of the suitable infrastructures, etc. must be amicably agreed between all participating agencies.

Recommendation 7: Creating successful and descriptive implementation examples – exchanging experiences – learning from successful solutions. Successful implementation examples are required for networked administration.⁹³ With suitable implementation aids⁹⁴, it is possible to introduce a subject such as business process management, which otherwise appears complex, successfully at municipal level.

- The benefit of using the results of the prioritised administrative project for intergovernmental networking can be highlighted and advertised through the use of pilot projects. In addition to this, examples are also required as to how organisations achieve networking expertise. This could occur on the basis, for instance, of BPM pilot projects in municipalities and cantons. Furthermore, possibilities for exchanging experiences and mutual learning are to be created. With the development of BPM platforms (see *Appendix III: Cooperation requires intergovernmental information integration*) federal

⁹² As an example, refer to the operational model of the Federal Administration portal www.ch.ch

⁹³ In the scope of strategic implementation, the individual administrative agencies have to be able to set attainable goals, which means that measurable and tangible progress should also be possible in small steps. It is also important for the strategic direction to be right.

⁹⁴ The nationally and internationally awarded BPM aid eCH-0096 *BPM Starter Kit* consists of a *BPM Project Guide* and *BPM Documentation Tool*. The *BPM Starter Kit* is also designed to support and motivate smaller administrative units to develop and maintain an eCH-compliant electronic documentation of services and processes, which can then be published on the internet as well. The BPM project guide is a practical guide for the project-based step-by-step handling of a BPM rollout.

agencies, cantons and municipalities would be able to better share BPM results and experiences.⁹⁵

Recommendation 8: Identifying legal impediments to administrative cooperation – evaluating the need for legislation. The existing legal obstacles which stand in the way of service orientation, intergovernmental cooperation and networking, and hinder or even prevent the necessary integration of administrative information, need to be identified (see *Chapter 4.4.2 Simplifying the receipt of services*).⁹⁶ If necessary, these obstacles are to be eradicated via the official political channels. For this reason alone, politicians and the general public need to be involved at an early stage. The legislative path may appear difficult and time-consuming, but it also offers a good possibility for raising the awareness of a broad political audience concerning the themes of eGovernment and administrative renewal.

- The Organisational Concept contains a variety of methodical approaches to the evaluation of the requirement for legislation intended in the scope of the prioritised project *B1.02 Legal bases* (see *Chapter 4.4.2 Simplifying the receipt of services*).
- Intergovernmental cooperation in the federal system is to be agreed and regulated between the actors – in the form of laws, ordinances, orders or agreements⁹⁷ (see *Chapter 4.3.1 Intergovernmental cooperation model*).

Recommendation 9: Financing the change collectively. Central financing of the project is not currently envisaged for the implementation of the eGovernment strategy. At the same time, numerous prioritised projects are having considerable difficulty financing themselves from their own funds. A cost efficiency analysis of a networked administration could increase support for **central financing of key eGovernment projects** and create incentives for investments.

Avoiding the pitfalls of eGovernment: failure of “silo-based” budgetary mechanisms⁹⁸

- *Pitfall:* Failure of “silo-based” budgetary mechanisms to support the delivery of the eGovernment Programme.

⁹⁵ The eCH-BPM platform <http://www.ech-bpm.ch/de> should support the exchange of know-how in business process management. Among others, municipalities and cantons should be able to provide their "local" processes as documentation templates on the platform of other municipalities or cantons, thereby allowing "newcomers" to significantly reduce their technical specification costs.

⁹⁶ See the prioritised project *B1.02 Legal bases*. *Catalogue of Prioritised Projects*. Status 18 May 2009. www.egovernment.ch

⁹⁷ In the *Public-law framework agreement on eGovernment-cooperation in Switzerland* (see www.egovernment.ch) provisions have already been made for the eCH standards approved throughout Switzerland (www.ech.ch) to be automatically included and consistently applied in the Administration's corresponding internal regulations.

⁹⁸ See *OASIS eGov: Avoiding the Pitfalls of eGovernment. 10 lessons learnt from eGovernment deployments*, April 2010, Download at <http://www.oasis-egov.org/library>.

- *Outcomes:* Failure to implement cross-government projects: inter-agency conflict; poor service delivery; unnecessary costs.
- *Recommendation:* A new approach needs to be taken in the funding of Programmes, one that replaces the “silo-based” budgetary mechanisms. Develop a mix of big and small projects, the latter being used as quick wins to help fund the former.

- The cost-effectiveness analysis could examine the extent to which the quality-related and financial goals of the administrative modernisation can be achieved through the networking of local processing, distribution and production structures (removal of administrative burdens and improvement of performance and/or savings in the procurement and operation of process components and infrastructures). This results in key decision-making principles for future investments in the renewal of the public administration throughout Switzerland.
- In addition to this, different models for the procurement of funds for intergovernmental projects could also be developed.

Appendix I: What sort of business process management does the public administration require?

(Supplement to Chapter 4.3.1 Intergovernmental cooperation model)

A large proportion of the services (or products) of public administration are decisions which often come into existence as the result of multilateral negotiation processes in a legally formalised framework (see *Chapter 4.1 Design dimensions and design framework*).

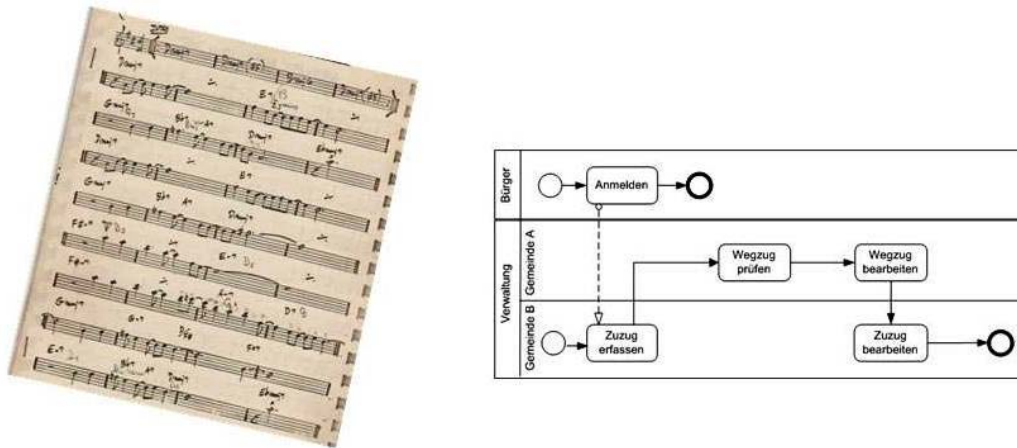
Corresponding with the **sovereign division of tasks and work**, the knowledge is distributed across many different agencies and persons. For this reason, this **specialist and process knowledge** is also **difficult to centralise**. The material decision-making processes which are often associated with studying documents, etc. also limit the level of automation. As political framework conditions can rapidly change (think about the rapid succession of changes to asylum law, for instance), integrated procedures in IT applications represent both an operational risk (lack of flexibility of the application) as well as a financial risk (high cost of changes). On the basis of the **decision-making and negotiation character** of administrative procedures, the interaction and communication processes cannot generally be forecast particularly accurately. A certain degree of **flexibility** concerning the contact possibilities is therefore required of both the authorities and the customers.

In view of the **distributed structures of power and knowledge** and the **only partly pre-determinable operational processes, process automation**, business process reengineering and process modelling represent incorrect focal points in the business process management of public administration. The following is important: as a condition of both intergovernmental and internal administrative cooperation, **services and processes have to be made explicit**, in other words professionally described and documented. The **shared understanding** forms the starting point for all of the cooperation between the people and the organisations. **Human interaction** accounts for some of the new conceptual approaches in the BPM, with **social BPM** or **collaborative BPM** being spoken of.⁹⁹ In contrast to the reengineering approaches, where employee knowledge is siphoned off and transferred to **application, software or mechanical logic** (modern times), social BPM depends on the **participation and ability of the employees to interact**: the implicit, decentralised **distribution of knowledge should become an explicit, shared knowledge**. The **knowledge carriers** who assume responsible positions in business processes are to be included in the technical description, documentation, maintenance and optimisation of the

⁹⁹ See K. Harrison-Broninski: *Human interactions. The heart and soul of business process management*. Tampa 2005.

business processes. If they are accessible to the employees in the operational business (e.g. via web applications) as information resources and reference points, technical process models can be continually examined, optimised and adapted to the changing environmental conditions (agility) as part of a feedback loop. With the operational completion of the professionally defined processes, sufficient scope for action and flexibility must exist in order to be able to initiate interactions and activities that are required on an ad hoc basis for the specific process activities.¹⁰⁰

From the networking perspective, business process management has to be established in the public administration at two levels. One starting point is provided by an individual organisation's **"local" processes**: their ability to take action is greatly increased if the services and processes are explicitly described at a professional level. As with an orchestra, it isn't just about describing the ability of the individual players, it is much more about describing the "interplay", or the interaction, between the players:



(Fig. 13) Uniform notation approaches in music and the business world make interplay with several different voices easier

It is therefore a question of roles, activities, processing interfaces and circumstances, exchange objects, results, etc. (or tone, instrumentation, tempo, melody lines, chord progression). As a rule, a **never-ending level of detail** is not required in this context. The

¹⁰⁰ The corresponding workflow management concepts which allow for a high level of flexibility, especially with processes that cannot be structured in advance, have been developed and implemented in an administrative context over the last ten years. The systems, called *business administration systems* in Switzerland (GEVER, Germany: DOMEA, Austria: ELAK), have a high potential for cost efficiency because they can be used on a flexible basis by a large number of different processes. The "generic" process model on which GEVER is based allows the completion of a huge variety and amount of differing professional transactions using a wide range of electronic process modules (activities). Please also see: *eCH-0038 Records Management Framework – Informationsmanagement im eGovernment* www.ech.ch and M. Schaffroth: *Paradigmenwechsel bei der Gestaltung von E-Government Prozessen*. In: P. Klischewski, M. Wimmer (eds.): *Wissensbasiertes Prozessmanagement im E-Government*, Münster (2005).

documentation of professional understanding, however, requires a **shared form of notation** recognised by all.¹⁰¹

Aptitude for business process management is becoming a critical success factor in the renewal of public administration. The model of participation and cooperation presented here enables the Swiss authorities to develop business process management in their organisations according to the funds that are available and at their own tempo, and to coordinate and harmonise them on an interorganisational basis at the same time.

- The resource issued by eCH, the **eCH-0096 BPM Starter Kit**¹⁰² supports organisations during the introduction of a "low threshold" business process management. The *BPM project guide* provides a step-by-step explanation of the organisational rollout of BPM and provides the corresponding document templates, etc. The electronic documentation tool supplied for free in the *BPM Starter Kit* (the BPM tool) also supports the electronic creation of the *business map* (full overview of the organisation's tasks and services) as well as a BPMN-conforming compilation of all processes. The BPM documentation for the administrative unit is then available to all employees via a web application as a BPM reference and can therefore be consulted from the operational business.

The **open exchange of experience**, the creation of learning effects and the use of synergies represent important incentives for the establishment of business process management in the Administration: as comparative task fields are assigned to organisations that are at the same sovereign level (and as a result, the same services provided), previously documented administrative architectures (business maps, services, processes) could be exchanged among each other as sample templates. During the documentation of the services and processes in the own area of responsibility, this would mean that only the deviations here need to be addressed, which frequently arise due to local procedural regulations and local organisational structures.

- With the **eCH-BPM Community Switzerland Platform** www.ech-bpm.ch, a platform of exchange for documented administrative processes is currently under construction.

For intergovernmental cooperation (process integration) and the networking of the distribution and production structures of the federal actors, service- and process-related information must be gathered, maintained and provided in a shared BPM repository. Public services are to be inventoried on a Switzerland-wide basis and designated and described uniformly on the basis of defined attributes (information integration). Information that is

¹⁰¹ See eCH-0073 *Documentation of public services and processes (documentation standard eGov CH)*. Process diagrams are to be created according to the product-neutral Standard Business Process Modelling Notation (BPMN).

¹⁰² See <http://www.ech.ch/vechweb/page?p=dossier&documentNumber=eCH-0096&documentVersion=1.00> eCH-0096 *BPM Starter Kit* (introductory document). At www.ech-bpm.ch you can download the eCH-BPM Starter Kit.

harmonised on an intergovernmental basis, along with data about services, processes, responsibilities, authority visits and access structures, etc. then represent the logical link to the objects discussed in the local BPM documentation.

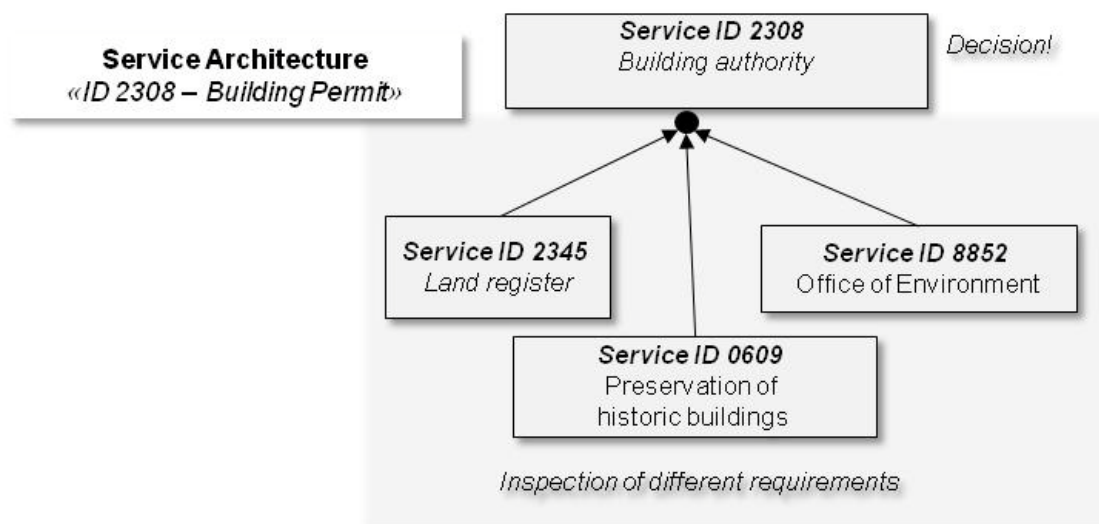
- The **BPM Repository Reference eGov CH** supplies the "local" BPM repositories of administrative units with a basic stock of defined master data which therefore no longer need to be individually gathered and maintained in redundant storage. The *BPM Repository Reference eGov CH* also contains the documentation of the "public" processes. This documentation is required for intergovernmental cooperation (refer to *Appendix III: Cooperation requires intergovernmental information integration*).

Appendix II: Documenting and using service architectures

(Supplement to *Chapter 4.3.1.5 Documenting services and processes*)

Services and service architectures represent central elements within the documentation of administrative architectures.¹⁰³ The *Service Architecture* provides objective information about which **legally specified service elements** are to be linked together on a procedural basis for the provision of the "full service" required by the customer.

Every public service can be described in the form of a characteristic service architecture. These can then be easily allocated to the **sovereign service providers** (federal level, canton, municipalities) as well as the completing agencies in the specific business case (building authority, Zug Canton, Federal Office of Public Health, Social Services Office of the City of Lucerne).



(Fig. 14) Service architecture with the example of a building permit procedure

In order to describe the service architectures, it has to be possible to identify the individual services on an interorganisational basis: in this context, public services are to be recorded in a **Switzerland-wide services inventory**¹⁰⁴.

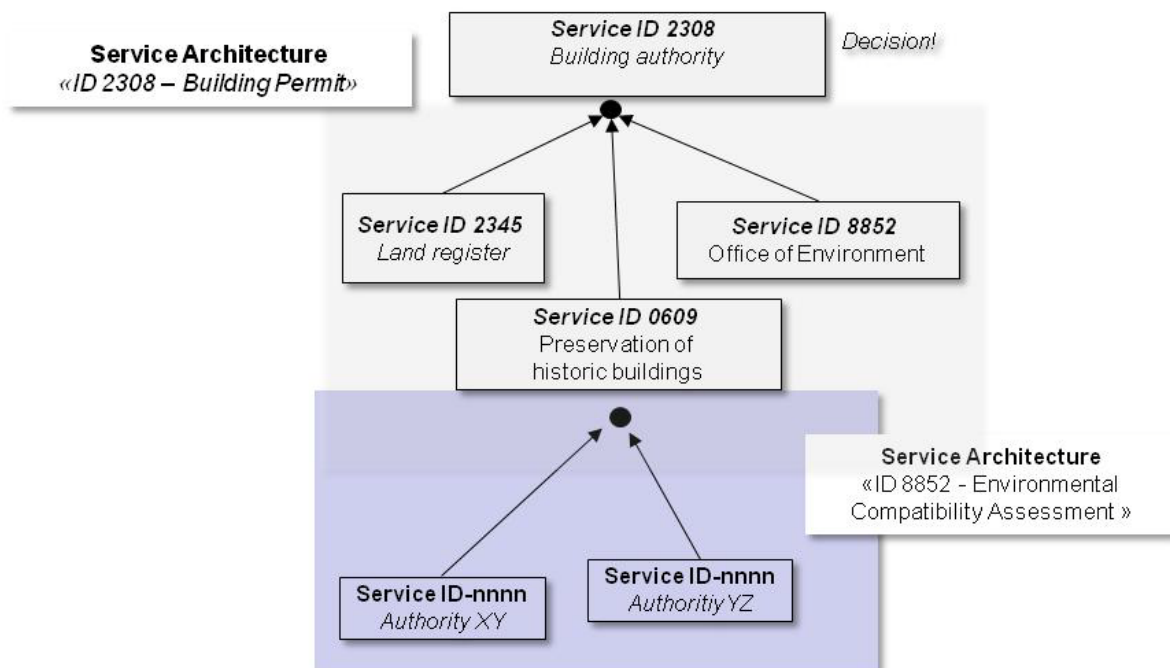
¹⁰³ In version 1.0 of *eCH-0073 Documentation of public services and processes (documentation standard eGov CH)*, no information is as yet provided about the description of service architectures.

¹⁰⁴ See *eCH-0070 eGov CH Services Inventory*, www.ech.ch

Service architecture for the building permit procedure for the Canton of Berne

A practical example of the description of a service architecture is provided by the *Directory of ancillary permits under article 22 of the building permit procedure (building permit decree, BewD)* of the Canton of Berne. This contains a binding list of which competent authorities the building authority has to consult as part of the building permit procedures and which services are to be ceded by these agencies to the building authority ¹⁰⁵.

During the documentation of the service architectures, **nested structures** and interdependencies can also be highlighted. An individual service (e.g. a certain register extract) can also reoccur in many different service architectures. In this context, service architectures describe a mesh (a network) and not a **hierarchical structure**.



(Fig. 15) Nesting of service architectures

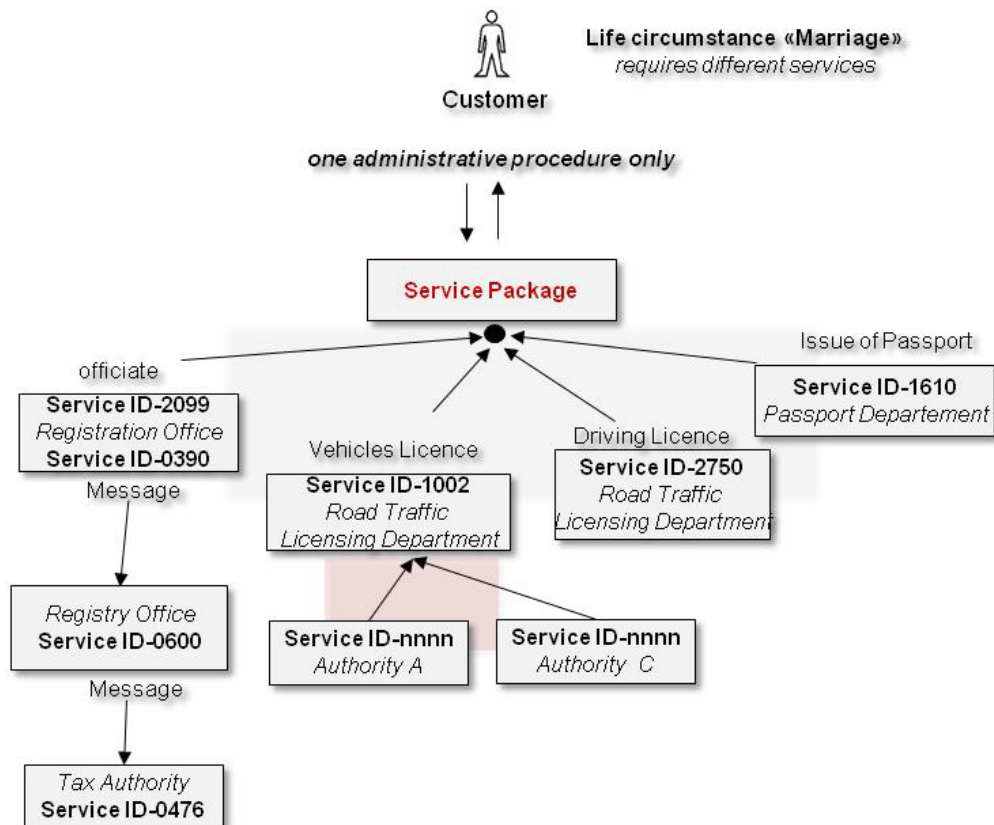
For this reason, a service (or service element) can be **referenced several times** in different service architectures. The service only needs to be (objectively) described once.

¹⁰⁵ See http://www.jgk.be.ch/site/agr_bauen_baubewilligungsverfahren_verzeichnis_fachstellen.pdf

Checking of all governmental tasks on the basis of Switzerland-wide service architectures

During intergovernmental cooperation, service architectures that are documented and maintained throughout Switzerland can be used just as well for **task-related administrative reform** above and beyond their specific project function. With the systematic recording of the service architectures of public administration, an opportunity is provided to achieve a comprehensive and **transparent overall picture** of the structure and **scope of the public completion of the tasks** of Swiss administration, for the first time.

The customer-oriented combining of individual services into **service packages** results in an additional interweaving of service architectures (see Chapter 4.4.2 *Simplifying the receipt of services*). In Switzerland, the authorities are already supplying service packages for different life circumstances or business situations. Using the following example of the life circumstance of "marriage", it is clear that with the combination of several services into one visit to an authority means the customer no longer has to go through the individual registration procedures: the registration entries are forwarded and exchanged via internal channels. In this way, the residents' registry office records the change in the person's civil status. The registration office then updates the register of residents and informs the tax office of the change in civil status of tax payers.



(Fig. 16) Interweaving of service architectures with the provision of service packages

Appendix III: Cooperation requires intergovernmental information integration.

(Supplement to Chapter 4.3.1 Intergovernmental cooperation model and Chapter 4.4.1 Simplifying access to services)

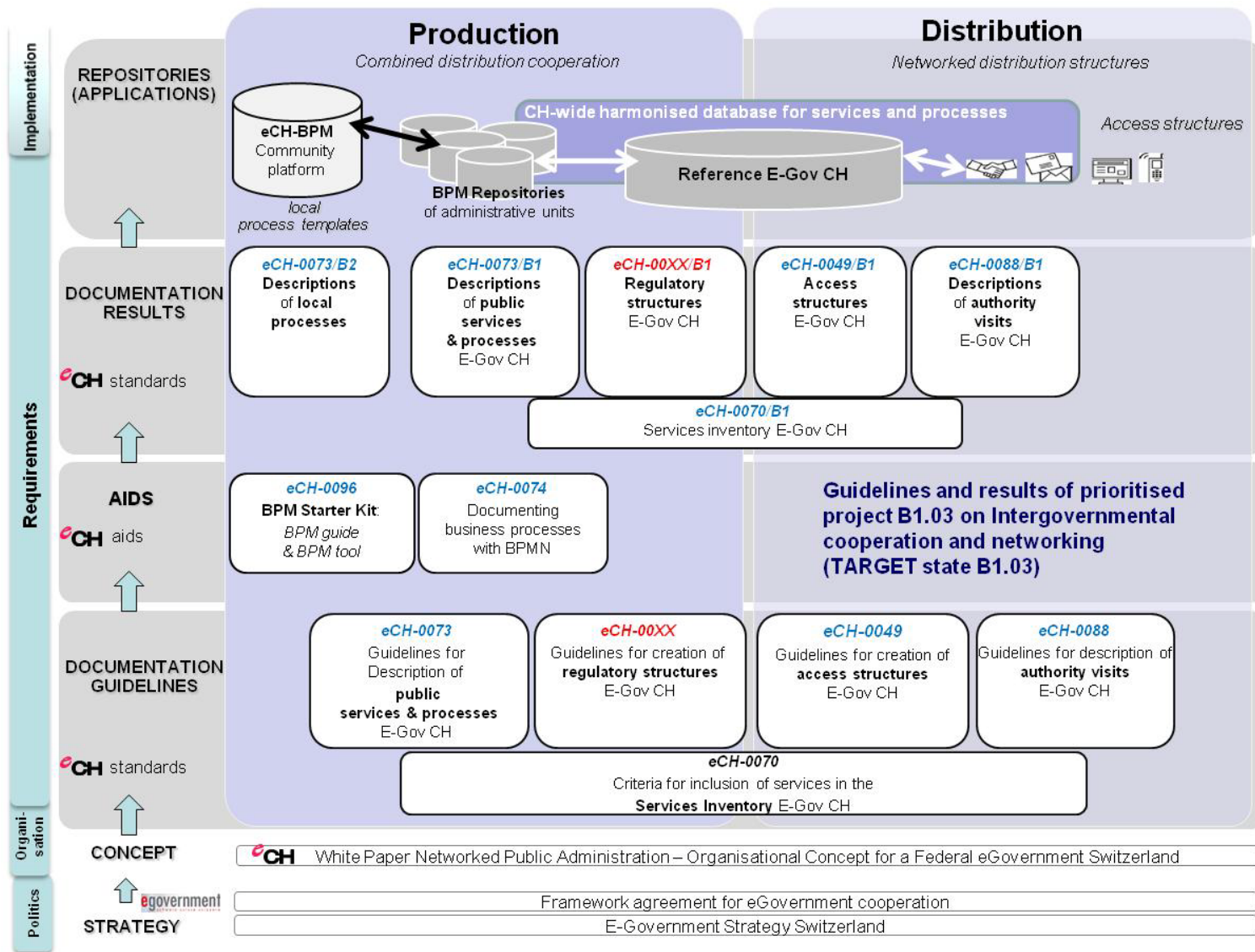
The following diagram¹⁰⁶ contains an overview of the documentation guidelines and results as stated in the *Chapters 4.3.1 Intergovernmental cooperation* and *4.4.1 Simplifying access to services* on the prioritised eGovernment project *B1.03 Uniform Inventory and Reference Database of Public Services*. These guidelines and **documentation results** are used for the **networking of the services and processes** or the **distribution and production structures**. The overview needs to be supplemented with the different corporate body directories such as the directory of authorities¹⁰⁷ as well as the uniform person and company identifiers.¹⁰⁸

(See figure on following page)

¹⁰⁶ Source: Federal Chancellery and eCH specialist group business processes

¹⁰⁷ See the prioritised project *B2.02 Directory service of the Swiss authorities* (leading organisation: Federal Chancellery). *Catalogue of Prioritised Projects*. Status 18 May 2009. www.egovernment.ch

¹⁰⁸ See the prioritised project *B1.04 Uniform person identifier* (leading organisation: Federal Office of Statistics) and *B1.05 Uniform company identifier* (leading organisation: Federal Office of Statistics). *Catalogue of Prioritised Projects*. Status 18 May 2009. www.egovernment.ch



(Fig. 17) BPM documentation framework for eGovernment Switzerland

The overall structure of the documentation of public services and processes proposed in prioritised project B1.03 consists of the following elements:

1. **"Local" BPM Documentations:** These contain the service and process descriptions for the **individual administrative units**. With the legally specified basic services (core business) of the Administration, the standardised reference information, e.g. according to the eCH-0070 services inventory, is to be used. The BPM documentation is a fixed part of the local business process management, and serves, among others, as reference information for company planning, as a basis for quality assurance and as an architectural basis for ICT controlling, as well as a supporting information resource within the operational processes themselves.
2. **eCH BPM Community Platform:** This contains a **collection of "local" service and process descriptions** which are made available by canton agencies and municipalities of the administrative community. Administrative organisations are therefore able to provide their previously compiled "local" service and process descriptions (see local BPM documentation) to other agencies as **documentation templates (process templates)**. The platform can serve as an aid to the rapid development of "local" BPM documentation. The development of the exchange platform for "local" process models is provided at www.ech-bpm.ch.
3. **Reference eGov CH (cooperation platform):** Among others, this platform contains the inventory of services as well as the technical documentation of intergovernmental processes ("public" processes). The latter form the applicable specialist **reference information system** during **intergovernmental cooperation**, meaning when several agencies have to coordinate their actions during the creation of services.

The professional documentation of the business processes occurs in all three vessels according to the uniform standard of notation BPMN.¹⁰⁹

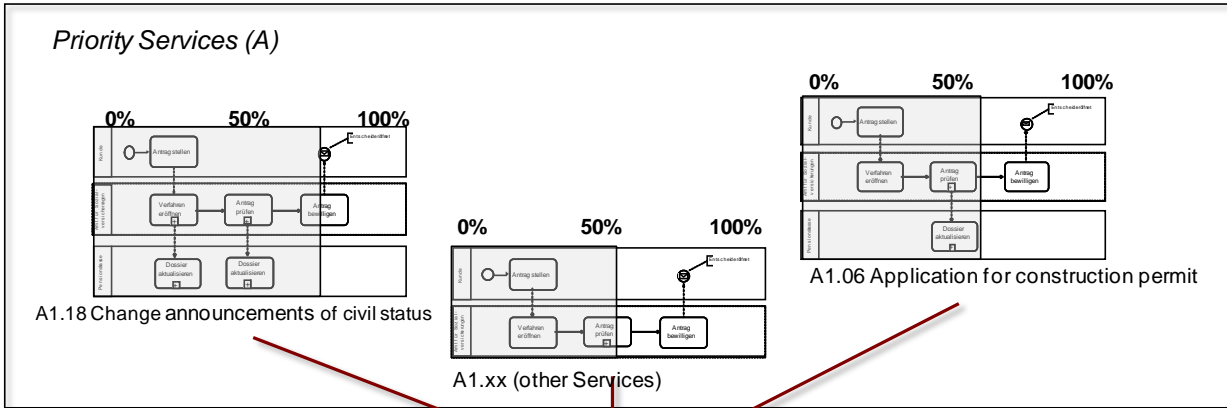
¹⁰⁹ See the *Object Management Group* www.omg.org. Link to the *Standard Business Process Modeling Notation (BPMN)*: www.omg.org/spec/BPMN/. The BPMN standard is included in *eCH-0073 Documentation of public services and processes*. BPMN documented process descriptions can also be transferred into process models, see *A Samarin. Improving Enterprise Business Process Management Systems, Victoria 2009*

Appendix IV: Developing the portfolio of prioritised projects into a strategic control instrument

(Supplement to Chapter 6 Knowledge and recommendations)

The following diagram describes an example of the basic structure of the proposed **strategic control instrument** suggested in *Chapter 6.2 Recommendations*, whose details still need to be fleshed out. In this context, the intentions of the eGovernment strategy (service intentions and requirement-based intentions) **are correlated in terms of their contents**, placed on a **common time axis** and therefore **aligned to strategic goals**. The extent to which the goals are achieved can then be measured using the **degree of networking** of the services and processes, as well as through the **use** of the intergovernmental distribution and production structures through the service intention or the actual availability of the results of the requirement-based intentions. At the same time, **cost-effectiveness and quality observations** can take place in the **complete system** instead of within the individual intentions.

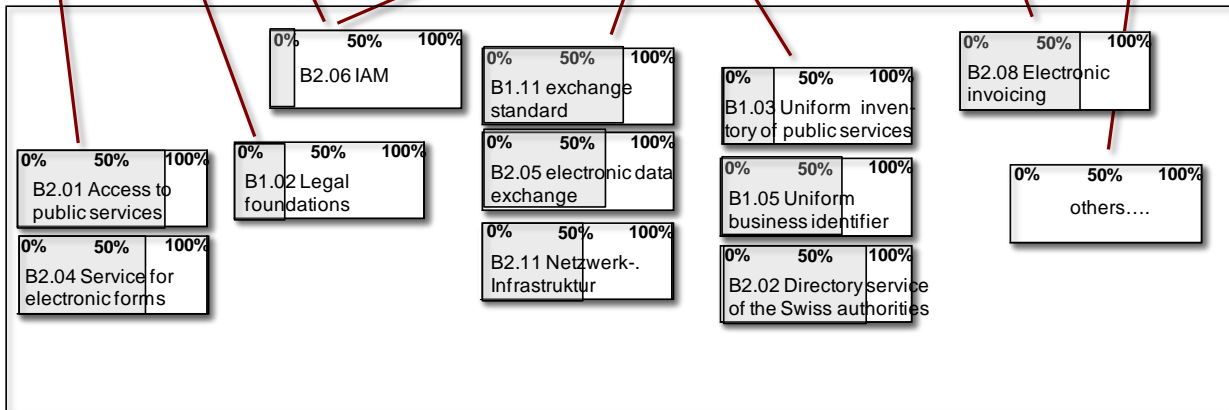
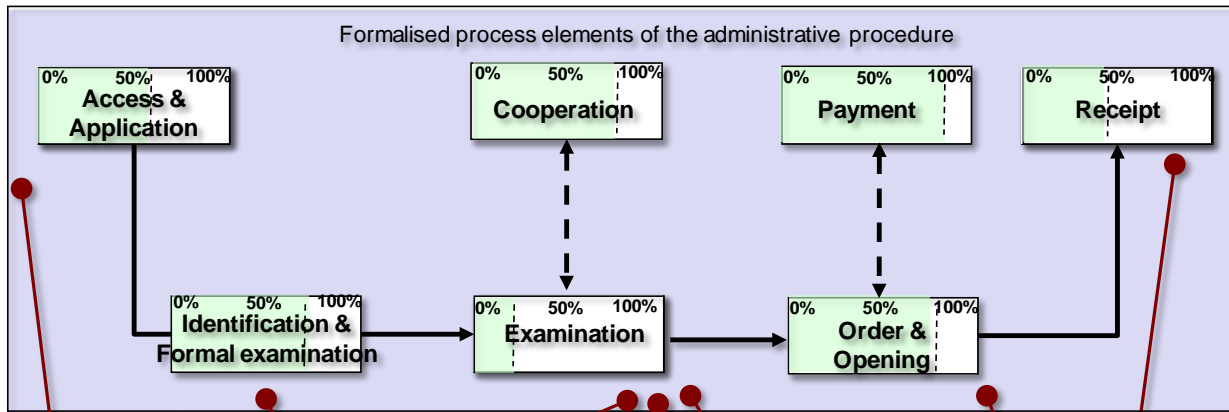
(See figure on following page)



- **Modularisation of Processes**
- **Operationalisation of Processes**

4 April 2010

2008 2009 2010 2011



= completion level of the objectives of the Swiss E-Government Strategy

(Fig. 18) Portfolio structure for prioritised projects: allows strategy-based controlling of the eGovernment implementation

Appendix V: The stage model of the administrative procedure

(Supplement to *Chapter 4.1 Design dimensions and design framework*)

The Administration produces its services, which to a great extent consist of decisions, in a legally formalised framework – the **administrative procedure**. This provides the *Organisational Concept* with the factual and practical background for the conceptual development and validation of new forms of interorganisational cooperation.

The **administrative procedure** is suitable as a **design framework** in the context of the networking of distribution and production structures of public administration for several reasons.

- The administrative activity is associated with legal framework conditions, meaning general administrative and processing criteria.¹¹⁰ These must always be taken into consideration during the redesigning of the distribution and production configuration.
- The administrative procedure sheds light on the **specific attributes of the state provision of services**: public services are provided on a "**sovereign**" basis, or on the basis of legally delegated tasks and responsibilities. In the departmental procedures, therefore, neither the responsible authorities are replaceable, nor can sovereignly delegated tasks "simply" be carried out by the private sector (see Chapter 4.3.1 *Intergovernmental cooperation model*).
- In the administrative procedure, the action strategies of the authorities and customers are linked together. In close relation with the *Distribution Model for Electronic Business*¹¹¹, the interactions between customers and administrative agencies are modelled along the entire administrative process using a **stage model** that consists of the following four stages:¹¹²
 - Preparation stage;
 - Launching stage;
 - Processing stage;
 - Post-processing stage.

¹¹⁰ For an example, see the *Federal Act on the Administrative Procedure SR 172.021* as well as the corresponding regulations on the management of administration in *Governmental and Administration Organisational Law (RVOG), SR 172.010*

¹¹¹ The model was developed by B. Schmid, University of St. Gallen. We follow the outline of M. Gisler, *Contractual aspects of electronic markets according to the Swiss Code of Obligations. University of St. Gallen dissertation no.2281, 1999, p.28ff.*

¹¹² See K. Lenk, *"Der Staat am Draht" Berlin 2004*, p. 76.

➤ See Fig. 1: *The four stage model of the administrative procedure (Chapter 4.1)*

- The "**process-related uniformity**" of the administrative procedure gives pointers as to how
 - processes defined differently at the professional level can be completed at the operational level of completion with a small number of similar completion elements, and
 - the way in which the required resources, functions and infrastructures can be used on an intergovernmental basis or used several times.

➤ See Fig. 2: *The legally formalised process elements of the administrative procedure (Chapter 4.1)*

The stage model of the administrative procedure itself offers a framework of orientation for the simplified design of service offerings as well as the customer-authority interactions at the new *distribution interface* of the public administration (see Chapter 4.4 *Distribution of public services*).

The following **formal completion elements** can be distinguished for the **individual stages** (although they do not necessarily have to be carried out in a specific order):

- Proactive provision and preparation of information (authority)/information acquisition and development of intentions (customer);
- Provision of suitable access routes (authority)/use of a preferred access channel (customer);
- Supporting the preparation for the contact, e.g. the provision of electronic forms (authority)/launch of procedure via application (customer initiates "visit to the authority". This visit stretches across stages 2-4 of the procedure.);
- Specification of the reference framework, e.g. through the formal inspection of the application, the identity of the applicant as well as the responsibility (authority)/identification and provision of diverse certification (customer),
 - possible negotiation or advice;
- Collaborative, material review of applications and/or processing (partly through several authority agencies)/cooperation of the customer as part of their legal obligation to cooperate,
 - possibly with status enquiry and tracking;

- (Legally secure) handover of service to customers/receipt and/or acceptance of the service (e.g. of a decision) by customers,
 - in exchange for a fee, if required;
- Aftercare carried out by the authority (legal remedies, feedback to recipient, etc.) conclusion of the procedure or appeal by customer.

From the customer's point of view, the completion of an administrative procedure follows this pattern:

The customer requests and receives a public service on the basis of a specific life circumstance or business situation (e.g. marriage, birth, establishment of a new company).

- During the initial stage of formulating the intention, basic information is gathered and checked about convenient service offerings, responsible authority agencies, legally conforming procedural sequences, etc.
- If necessary, information is made available by authority agencies in the event of ambiguities and questions.
- The acquisition of the information frequently runs into precautionary measures for the receipt of a certain service (e.g. obtaining of preventative healthcare information for trips abroad, filing of applications for building permits). The forms of service and the operational processing are aligned to these two types of service:
 - Information services, which authorities provide within the scope of legal information obligations, can usually be received by customers on a self-service basis and completely anonymously (e.g. via an Administration portal).
 - Authorisations and claims for funds, however, have to be asserted on an individual basis via a corresponding "authority visit" (e.g. building permit, pub licence, receipt of AHV-IV contributions). The same applies to individual registration obligations concerning an administrative customer (e.g. tax declaration, relocation to/from an area).
- The visit to an authority consists of all activities which are to be completed by customers in order to receive a specific individual service. In this context, it is possible to differentiate between the following transaction-related elements:
 - Initiation of the procedure, e.g. through filling in an application
 - In the scope of the processing stage:
 - It is possible that the customer will be contacted by the authorities several times, e.g. to provide information or to deliver documents. With a lot of procedures, the customer has a legal obligation to cooperate and, with court orders, a consultation obligation on the part of the authority.

- Service receipt by the customer in the context of the opening (transfer) of a decision made by the authorities (e.g. provision of a building permit).
- Conclusion of the procedure. With the provision of the service, the procedure is either concluded for the customer or they can appeal against an unpopular authority decision (a new procedure is started commencing from the "initiation" stage when the appeal is submitted).

Appendix VI: Participants

The authors would like to thank the following people for their critical comments and professional support during the development of the Organisational Concept:

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