

SCOOP4C

STAKEHOLDER COMMUNITY
FOR ONCE-ONLY PRINCIPLE



H2020-SC6-CO-CREATION-2016-2017
CO-CREATION-07-2017

Deliverable D 1.1: Vision of the once-only principle for citizens, including key enablers and major barriers

Work package: WP 1 – Stocktaking and building up a knowledge base

Project Number:	737492
Acronym:	SCOOP4C
Title:	Stakeholder community for once-only principle: Reducing administrative burden for citizens
Type of action:	Coordination and Support Action (CSA)
Work Package Lead:	EGA
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Status and Date:	Version 1.2 of 3 rd August 2017
Dissemination level:	Public
Document full name:	SCOOP4C_D1.1_v1.2
Abstract:	The objective of this document is to outline the vision of the once-only principle for citizens as well as a list of barriers and enablers of once-only implementations, which were deliberated and compiled by the project partners along regular virtual and physical meetings as well as in meetings and workshops with the steering board members and the SCOOP4C stakeholder community. The vision as well as the barriers and enablers complement the analysis of once-only cases elaborated in deliverable D 1.2 and further guide the subsequent work in SCOOP4C.

History of document

<i>Version</i>	<i>Date</i>	<i>Status of work / Description of updates</i>	<i>Contributors</i>
1.0	12/01/2017	Draft version approved by project partners and steering board members, achieving MS 1 in month 2	Project partners and steering board members
1.1	11/07/2017	Final draft version for internal review; with updates of the vision document	Project partners and steering board members
1.2	03/08/2017	Final version submitted to the EC; with updates based on the feedback provided along the internal review;	Sirko Hunnius (INIT) – internal review for quality-assurance; UKL finalising the deliverable based on the internal review;



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1. Vision of SCOOP4C for the once-only principle for citizens

The European Union puts forward in its eGovernment Action Plan 2016-2020 the following vision: "*By 2020, public administrations and public institutions in the European Union (EU) should be open, efficient and inclusive, providing borderless, personalised, user-friendly, end-to-end digital public services to all citizens and businesses in the EU. Innovative approaches are used to design and deliver better services in line with the needs and demands of citizens and businesses. Public administrations use the opportunities offered by the new digital environment to facilitate their interactions with stakeholders and with each other*"¹.

The once-only principle is among the seven underlying principles of this action plan to make government more effective, simpler and reduce administrative burdens for citizens and businesses by re-using data within government. The principle requires public administrations to "*ensure that citizens and businesses supply the same information only once [...]. Public administration offices take action if permitted to internally re-use this data, in due respect of data protection rules, so that no additional burden falls on citizens and businesses*"².

The call text of the Horizon 2020 programme on once-only argues that "*co-creation and collaboration between administrations can improve their efficiency and effectiveness by opening up and sharing knowledge and resources with the aim to unlock productivity improvements and foster the creation of more public value. [...] This can allow them to provide administrative services in a pro-active manner. Administrative burden of citizens and businesses will be reduced, legal obligations will be fulfilled faster and citizen services will be simpler and less cumbersome*". Effective implementation and use of the once-only principle demands public authorities "*to cooperate not just at national level but also cross-border at EU level and share such data in a secure and user-friendly manner, respecting data protection and privacy and the sensitive nature of some of this data*"³.

Taking this vision of the European Union and the once-only principle's objectives as a general guideline, the further activities of the SCOOP4C project (Stakeholder Community for Once Only Principle for Citizens) are guided by the following vision for once-only implementations for citizens:

By 2020, the once-only principle (OOP) has become a centrepiece of public administration with a clear commitment to transparency, privacy, and data protection. The once-only principle is so well understood by active citizens and by businesses that it is demanded from their respective public administrations. The general public is aware of the significant reduction of administrative burden and trusts implementations of once-only delivery of data across Europe and on national level, based on their ability to verify and track the compliant use of their data at any time. The public administration values the benefits delivered by realising the once-only principle, such as improved quality of data and efficiency gains, and thus considers it as the default option for any new administrative process or reform of existing processes. Based on the full political commitment, any deviation from the once-only principle needs to be explicitly justified. The legislative, organisational, and technological framework for implementing data provision only once also creates new opportunities for innovative private sector services aimed at citizens.

Along its project runtime, SCOOP4C engages with its stakeholder community to investigate how this vision can be effectively realised by governments in 2020, and how further opportunities and innovations can emerge through the realisation of the once-only principle throughout all service areas of the public and also the private sector.

¹ <http://ec.europa.eu/transparency/regdoc/rep/1/2016/EN/1-2016-179-EN-F1-1.PDF>

² *ibid.*

³ <http://ec.europa.eu/programmes/horizon2020/node/85>

The above vision statement as well as the subsequent barriers and enablers of implementing the once-only principle for citizens were developed in an iterative process. A first version of this document was compiled in the first two months of the project by the project partners. The version was also approved by the steering board members and it guided the work in work package 1 on the identification and analysis of once-only principle cases for citizens (OOP4C cases), which is reported in deliverable D 1.2⁴. Based on the insights from the case analysis as well as by consulting the steering board members and the stakeholder community through workshops, this vision document has been updated and finalised. This document forms the basis for the further work in SCOOP4C.

2. Overview of enablers and barriers for the once-only principle

In order to realise the vision of once-only implementations for citizens, a number of key enablers have to be (put) in place, which have to be understood well. If these are not in place, the once-only principle may be exposed to severe barriers for its implementations. Hence, countries need to overcome these barriers by putting in place the respective enablers to ensure the successful and effective implementation of the ‘once-only’ principle and therefore reaping the benefits of the principle in the widest possible way.

Since barriers and enablers for implementing the once-only principle are two sides of the same coin, the subsequent table provides an overview of barriers and enablers, which were identified along the process of developing the results in work package 1 (see last paragraph of previous section). The barriers and enablers of OOP also guide the analysis of cases in regards to their success factors as described in deliverable D 1.2.

⁴ See Deliverable 1.2: State of play report of best practices. SCOOP4C Consortium, 2017

Name of issue	Enablers	Barriers and challenges
<i>Along the levels of interoperability of the European Interoperability Framework (EIF)⁵:</i>		
Political commitment	Political commitment to implement the once-only principle is particularly stressed at European level through strategic documents such as the EU eGovernment Action Plan 2016-2020 or the EIF. Several EU Member State countries have also put in place similar strategies and visions outlining the once-only principle as a strategic priority. Examples are Austria ⁶ , Estonia ⁷ , France ⁸ , United Kingdom ⁹ . Integrating the implementation of the once-only principle in digitisation strategies at the different levels of Government in Europe is considered a key enabler to foster political commitment. Essential of such political commitments are the will and capacities of governments to finance, coordinate, implement, and monitor the realisation of the once-only principle in public service provisioning.	If the political decision makers are not committed and do not promote and provide the financial support for the implementation of the once-only principle, such initiatives are put at high risk to fail.
Legal interoperability	Legislation has to be in place to enable the implementation of the once only principle at large scale (not only covering a specific sector). Hence, <i>legal frameworks</i> have to be scrutinised and adjusted to enable the once-only principle to be implemented at large. Particular areas, where regulations represent key enablers, are e.g. registries, open data, catalogues, secure data exchange, eID and trust	Laws may place the responsibility for different services or even different aspects of the same service with different authorities. Laws may also require different information in various forms for essentially the same thing. Thus, legislation may create particular obstacles to the (cross-border) implementation of the OOP. However, it is also possible that there are no significant obstacles in

⁵ <https://joinup.ec.europa.eu/community/nifo/document/european-interoperability-framework-eif-european-public-services>

⁶ <https://www.digitales.oesterreich.gv.at/e-government-vision-2020>

⁷ https://www.mkm.ee/sites/default/files/digital_agenda_2020_estonia_engf.pdf

⁸ <http://www.gouvernement.fr/sites/default/files/liseuse/4492/master/index.htm>

⁹ <https://www.gov.uk/government/publications/uk-digital-strategy>

Name of issue	Enablers	Barriers and challenges
	<p>services. The European Union has provided such crucial legal enablers such as the General Data Protection Regulation¹⁰ or the Single Digital Gateway regulation¹¹, which is currently under preparation.</p>	<p>the laws as such, while in fact the enforcement and implementation of the laws by different authorities leads to not sharing and re-using citizen data among governments.</p>
<p>Organisational commitment and collaborative business processes</p>	<p>Besides the legal framework, <i>organisational commitment and collaborative business processes</i> have to be in place to enable governments to share citizens' (personal) data among public administrations in secured networks (i.e. sharing and re-using knowledge assets e.g. stored in base registries) and on the basis of standards.</p> <p>Another enabler is multilateral agreements to collaborate as well as to use open standards and open specifications. Furthermore, such agreements enable the use of common technical infrastructure.</p>	<p>Among the most important barriers are organisational obstacles due to the lack of harmonisation of business processes and the absence of cooperation between authorities in public service provisioning. This can be overcome by a common strategy coordinated by one entity and/or separating governance on strategic, tactical, and implementation levels.</p>
<p>Semantic interoperability such as standards taxonomies, common terminology, etc.</p>	<p>Data exchange across different institutions requires <i>semantic enablers</i> to be in place, such as standards for the data exchange, a common terminology, taxonomies to facilitate data exchange between different institutions, etc.</p> <p>Multilateral agreements on reference data in the form of taxonomies, controlled vocabularies, thesauri, code lists (e.g. for unique identifiers), and standardised data structures/models will help to ensure information interoperability.</p>	<p>A critical barrier is the lack of harmonisation of data structures and semantics. The lack of coherent standards will prevent data exchange and data re-use between public authorities, since systems will not be interoperable and data cannot be processed automatically if the relevant semantic specifications for data exchange are not in place.</p>
<p>Technical interoperability / Technical</p>	<p>Commonly used secure networks and infrastructure are key enablers for the interchange and re-use of citizens' data across the governments, including across borders. That includes commonly used</p>	<p>The absence of secure technical infrastructure to share and interchange citizen data across government is a major obstacle to realize the once-only principle. Technical barriers include aspects of</p>

¹⁰ <http://www.eugdpr.org/>

¹¹ <http://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX%3A52017PC0256>

Name of issue	Enablers	Barriers and challenges
<i>enablers such as secure networks and infrastructure</i>	services for electronic identification and for trust services as well as commonly used solutions for secure data exchange (e-delivery ⁹ , catalogues for registers, services and data, or other technical interoperability assets.	interface specifications, interconnection services, data integration services, data presentation and exchange as well as secure communication protocols.
<i>Interoperability governance / Governance mechanisms</i>	The implementation of the once-only principle demands different institutional actors to collaborate. Appropriate collaborative governance models, which clearly define the responsibilities and roles of actors on different levels of governance ¹² , facilitate the successful implementation of the once-only principle.	If the activities to build up the necessary key enablers for successful once-only principle implementation are not effectively governed, the potential and benefits (cf. deliverable D 1.2) the once-only principle bears will not be exploited to their full extent
<i>Beyond the key enablers along the interoperability levels of the EIF, following crucial soft 'enabling factors' are established:</i>		
<i>Motivators, benefits, and public value</i>	Providing incentives, benefits, public value or convenience for citizens and governments to share and re-use data stored in public administrations' registries.	If the once-only implementation does not provide convenience and benefits to the citizens, the service will not be accepted.
<i>Data protection and privacy</i>	The sharing and re-use of citizen data requires to respect data protection and privacy legislation. Mechanisms for data protection need to be in place.	If the once-only implementation does not provide respective mechanisms for privacy and data protection, the citizens will not accept the service.
<i>Trust and transparency</i>	Trust and transparency mechanisms enable citizens to control and monitor by whom, when, and why their data was accessed.	If the once-only implementation does not provide respective mechanisms for trust and transparency, the citizens will not accept the service.
<i>Socio-cultural influence factors</i>	Social aspects such as traditions of sharing or not sharing data among governments, ownership of data and citizens' obligations vs. freedom of deciding when and how to provide data to governments are central for getting acceptance of the once-only principle.	If the ownership question will not be resolved clearly, the citizens will not accept the services. Data stored only for special purpose (i.e. data not usable beyond the given legal, organizational, cultural restrictions, for a given time, and

¹² See e.g. Deliverable D04.02: Interoperability collaboration governance models. ISA Action 5.2 European Interoperability Strategy Governance Support, European Commission, Specific Contract 288 under Framework Contract DI/07172 – ABCIII, October 2016; Deliverable D04.03: Public service governance models and guidelines. ISA Action 5.2 European Interoperability Strategy Governance Support, European Commission, Specific Contract 288 under Framework Contract DI/07172 – ABCIII, December 2016



Name of issue	Enablers	Barriers and challenges
<i>Citizen-centred design</i>	To correspond to the needs and expectations of citizens in the best possible way, they are involved in co-designing and co-developing of services, ensuring ease of use, convenience, and good user experience. The more citizen-centred the design of public services is, the more it enables the creation of better quality policy decisions and the offering of better services in the future.	for a particular agency, etc.), may prevent once only implementation. If the citizen does not get a convenient, easy to use service, the citizen will not use the service. Hence, the benefits will not be harvested.
<i>Data quality</i>	Leveraging the potential of accessing increased data quality in governmental registries through once-only implementations	If the solutions do not provide better quality of service, the governments will not trust and not use them.
<i>Flexible business models</i>	The once-only principle implementation may offer options for new business models to institutions. Reduction of manual procedures may free resources and offer new financial models to provide public services. Having in place flexible business and financing models promotes the implementation of OOP solutions.	The lack of an appropriate financing or compensatory business model (e.g. replacing fees for data or procedures) of respective institutions can create a severe hindrance of implementing the once-only principle and providing access to respective data.