

Sent: 25 January 2006 04:20
To: IT Strategy Project Team
Subject: Transformational Government feedback

Congratulations on your ambitious Transformation Strategy.

I would like to recommend two documents to you:

- The first is a Framework that a team of us from 7 Australian governments created to guide the development of joined up solutions. I think Tiers 1 and 2 may be of particular interest. We worked with auditors, financial policy planners, constitutional lawyers and experienced public servants and academics to create Tier 2. Tier 3 may be too specific but the entire Framework may be of interest to you as a guiding framework for your endeavours. It is available at: <http://www.nsif.gov.au>
- I undertook a 3 month public service research fellowship in the second half of 2005 and my subject was **Strategies for Successful Joined Up Government**.

I used the National Service Improvement Framework as the foundation for my research and recommend the use of a Framework of this type to help guide efforts to join up services across governments or with the private and community sectors.

One of the most important recommendations is to make hard decisions up front about how much power you want to share on your journey towards citizen centric or business centric government. This will guide all following decisions, ensure that you don't set up false expectations, help to define the decision making process, avoid disputes and overcome many of the difficult social and political decisions that underpin joined up solutions.

I have received advice and support from the UK government on several occasions to support my e-government initiatives on behalf of the Western Australian government. I hope that these documents are of some use to you in your endeavours.

Yours sincerely

Bev

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Strategies for Successful Joined Up Government Initiatives

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Fellowship Program – Semester 2, 2005

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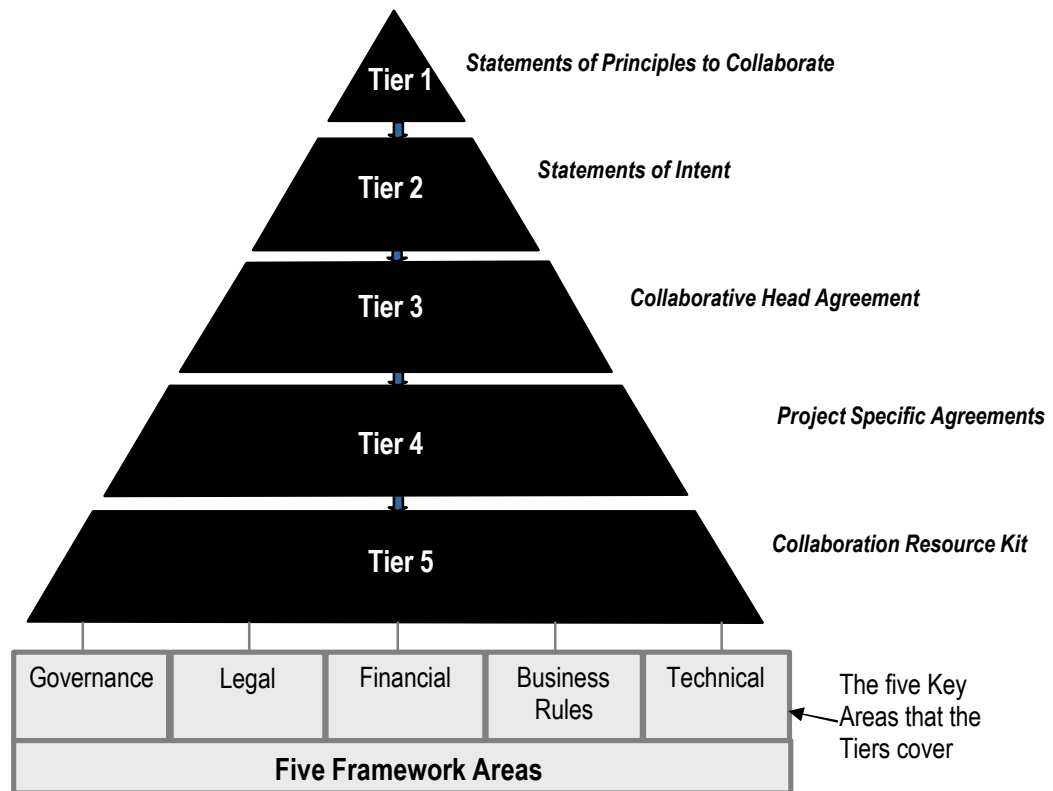
1 Summary

There is increasing pressure for government agencies to deliver more efficient and customer centric outcomes by working collaboratively with other agencies, other jurisdictions and with the non-government sector. Gaps in knowledge, flaws in thinking and incompatible systems and processes continue to frustrate efforts to do this. This report investigates reasons why governments are finding it so difficult to deliver joined up initiatives and it identifies models and strategies that guide organisations to create successful joined up agreements.

One of the principal barriers to successful joined up service delivery is the assumption that better use of traditional government systems and processes will result in joined up solutions. Traditional systems and processes are designed to deliver government services from centrally controlled, vertically organised agencies. These systems and processes become increasingly inappropriate as government agencies move away from traditionally organised service delivery towards more customer-centric joined up approaches. This was recognised by the Standing Committee for the Australian Ministerial Online Council in March 2002 when it established the Integrated Transactions Reference Group (ITRG) to:

...develop a strategy for delivering integrated services across jurisdictions and prepare a practical work plan to address the priority tasks (ITRG 2005b).

The ITRG decided that a conventional “strategy” was not adequate. Instead a “framework” for collaboration was needed and the *National Service Improvement Framework* (NSIF) was created. It provides a structured approach to integrating service delivery across traditional boundaries. (ITRG 2005b) The Framework provides incremental steps through five tiers:



(Integrated Transactions Reference Group 2005a)

This report examines the literature relating to each of the five Key Areas that the Framework addresses and identifies issues, trends and approaches that have been developed.

The literature findings and the NSIF are then used to develop a plan for a potential joined up agreement between the Institute of Public Administration of Australia (IPAA) and public servants in Albany, Western Australia.

The research for this report found that:

- Joined up solutions are emerging as a significant adjunct to traditional government approaches to problem solving and service delivery.
- Joined up solutions often fail to deliver outcomes that satisfy the aspirations and efforts of participants.
- Even comparatively simple joined up agreements require consideration, negotiation and compromise to achieve agreement on how parties are going to work together, before they begin to develop solutions.
- There are three categories of joined up approach, Whole of Government, Service Delivery Integration, and Integration Around Programs. They each require different governance and management systems and processes.
- Some joined up approaches to problem solving can be delivered by government agencies using systems and processes that are similar to those that deliver traditional government services.
- Customer centric joined up approaches require a transfer and sharing of power from government agencies and the use of different systems and processes.

- The “soft skills” required to develop and manage joined up agreements are not generally valued and rewarded by traditional government systems and processes.
- Meta approaches, such as the NSIF, provide a useful infrastructure that can support joined up agreements.
- A systematic, well resourced approach to coordinating and managing emerging systems and processes that deliver joined up solutions would reduce duplication, and risk and enhance consistency across initiatives.

Joined up service delivery addresses duplication of effort, gaps in service delivery and disjointed approaches to problem solving that result from the division of powers between agencies, governments and sectors. Despite the growth in popularity of joined up approaches the outcomes frequently fail to reflect the efforts and aspirations of participants. Learning how to achieve joined up solutions has been difficult as there is no convenient, single, comprehensive approach that is appropriate for all situations. The NSIF and supporting literature, guidelines, templates and checklists provides a sound starting point for those wishing to create a joined up solution.

Recommendations

The use of the NSIF, or similar planning frameworks, that provides an infrastructure to projects where traditional government systems are not appropriate.

The adoption of a strategic approach to increasing awareness of the need for a consistent alternative infrastructure that supports non-traditional joined up government initiatives. This strategic approach needs to be supported by:

- The development, coordination and promotion of tools, like the NSIF, that deliver joined up agreements and also accommodate the accountability needs of traditional government.
- The creation and delivery of training programs that develop knowledge and skills required to negotiate and manage joined up solutions.
- The implementation of human resource management strategies that recognise and reward the “soft skills” required to deliver joined up solutions.

Pressures are increasing for governments to be more accountable to citizens. Increasing expectations of citizens to participate in decision making and growing recognition of the need for governments to engage with citizens in solving problems are contributing towards the emergence of more customer-centric approaches. Strategies that support successful joined up government initiatives are gradually becoming more sophisticated and joined up approaches are being recognised for their capacity to deliver solutions that complement and enhance traditional government processes.

2 The Problem and the Research

2.1 Description of the Problem

In the late 1980's and early 1990's western governments began to break up some of their large public sector organisations into smaller more focused units that had precise performance measures. By the mid 1990's there was increasing awareness that a focused approach that delivered easy to measure outcomes was not the optimum approach to dealing with all issues faced by government. Public servants responded by trying to work outside of their traditional boundaries to deliver joined up solutions (Eggars & Goldsmith 2004; Hess 2003; Ling 2002: 618).

The capacity and enthusiasm for finding new approaches to joining up resources grew in the mid 1990's as the Internet rapidly became a ubiquitous tool of governments (AGIMO 2003b; Burton 2004; Cabinet Office 1999; Canadian Centre for Management Development 2001; Crossing Boundaries Political Advisory Committee 2003; Ling 2002; Zussman 2002).

There has now been a decade of effort applied to joined up approaches and the outcomes from many of the initiatives have not matched the aspirations of participants. Duplication of effort, wasted resources, project failures and participant frustrations are well documented (Crowley 2004; Di Maio 2005; United States General Accounting Office 2002). It is clear that many organisations that attempt to join up resources do not know how to do it and end up wasting time and resources and sapping the enthusiasm of people who are keen to work together to solve a problem.

2.2 The Online Council¹ Solution

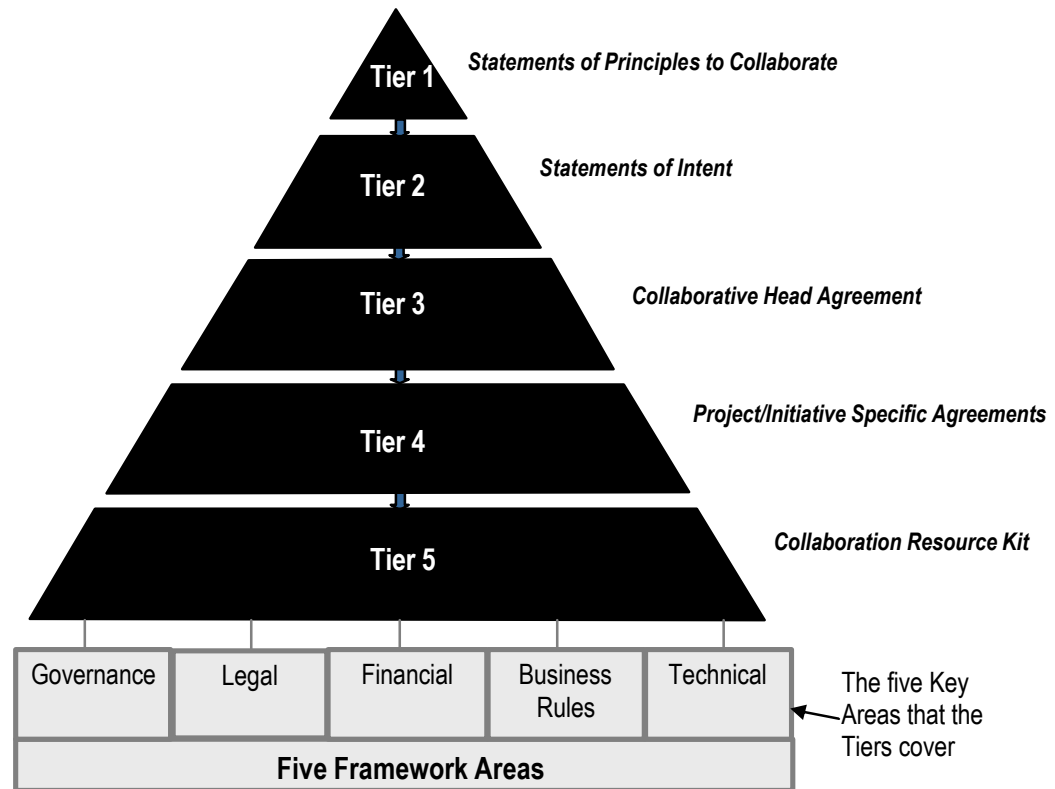
In 2002 the Australian Online Council recognised that efforts to “integrate services” were being frustrated because traditional systems and processes were frequently failing to deliver joined up solutions. It formed a Working Group called the Integrated Transactions Reference Group (ITRG), with representatives from all Australian jurisdictions, and gave it responsibility to:

...develop a strategy for delivering integrated services across jurisdictions and prepare a practical work plan to address the priority tasks (ITRG 2005b).

The ITRG developed the *National Service Improvement Framework (NSIF)*, which provides a step-by-step approach that guides organisations as they design joined up solutions. It begins by providing Principles to Collaborate that explicitly recognise and capture the values that are to guide the arrangement. It then provides an approach to strategic and policy issues like performance management, audit, risk management, privacy, financial management and dispute resolution through Statements of Intent.

¹ Online Council is the peak ministerial forum across Australian governments for consultation and coordination on the information economy.

When parties to an agreement are ready to address more detailed issues the Collaborative Head Agreement provided in the next step. It addresses generic legal and contractual issues that would need to be resolved by parties working closely together. A Project Specific Agreements would need to be created by parties to an agreement to address any issues not addressed in the general Collaborative Head Agreement.



(Integrated Transactions Reference Group 2005c)

It is intended that Tier 5, the Collaboration Resource Kit will provide:

...a reservoir of templates, checklists, guidelines etc specific to collaborative service delivery (Integrated Transactions Reference Group 2005c).

The findings in this report provide information that contributes to the Tier 5 "reservoir" of resources.

All five tiers of the NSIF address issues relating to five Key Areas:

- Governance
- Legal
- Finance
- Business Rules
- Technical

The NSIF was endorsed by the Ministerial Online Council as the Australian approach to integrated service delivery at its annual meeting on August 24th 2005.

2.3 Approach of this Research

This report builds on the work delivered by the NSIF by examining literature relating to the five Key Areas. The literature findings and the NSIF are then applied to a case study of a potential joined up agreement between the IPAA and public servants in Albany, Western Australia.

The report seeks to answer two questions:

1. What are the current issues in each of the Key Areas identified by the NSIF?
2. How does knowledge of the current issues and the NSIF inform the planning of a joined up agreement?

2.4 Background to Case Study

A case study was used as part of the research approach as it provided a context within which to explore the literature findings. The case study was of a joined up approach that could be developed, between IPAA and regional public servants, to provide professional services to regional Western Australia.

IPAA is a professional association that provides services to Commonwealth, State and Local government public servants. Its aim is:

...to promote good governance and excellence in public administration (IPAA 2005).

A Council of volunteers elected from the membership manages the Western Australian Division of IPAA. A small staff is employed to support the goals of the Council. The staff are paid through membership fees and through revenues generated from seminars, conferences and training programs.

In early 2005 the Council had received requests to extend the delivery of its training to regional Western Australia. The IPAA Council acknowledged that their mandate included public servants outside of the metropolitan area but resources could not stretch to subsidise the delivery of services to those people. It formed a Working Group of Council members to investigate how IPAA services could be delivered to regional Western Australia. One of the options that the Working Group could investigate would be how IPAA Council could work in collaboration with public servants in regional centres to support the delivery of the services.

This report investigates how to develop a joined up agreement in the context of this possible solution. It does this by investigating an example of one regional centre, the town of Albany, where a joined up agreement could be developed.

2.5 Context and Limitations of the Research

This study was undertaken as a three month Western Australian Public Sector Research Fellowship. The requirement of the Fellowship was that the research examined an issue relating to the Public Sector in Australia and presented the findings in a report.

At the time of the study efforts to collaborate, join up and integrate services had become increasingly common although the literature identified ongoing difficulties that these efforts experienced (6 2004; Crowley 2004; Farland 2004; Queensland Government 2002).

The ITRG had by this time developed the NSIF as the recommended approach towards developing joined up agreements and it was awaiting endorsement by the Online Council.

Literature research was undertaken as part of the Fellowship and the findings from the literature were applied to the case study of a potential joined up agreement. The time available for the Fellowship meant that the joined up agreement that was investigated needed to be a comparatively simple one where there was no history between parties to be managed or multifaceted problems to overcome.

The findings from the case study are therefore particularly relevant to environments where the *Climate for Collaborative Consensual Decision Making Approaches* (Potapchuk & Carlson 1987) is characterised by:

- No relationship exists between potential parties to the agreement.
- Where the goals of the project are high level and not threatening.
- Where a power disparity between parties to an agreement is unlikely to threaten the success of the initiative.
- Where power is likely to be used to support rather than hinder an arrangement.

The findings from the case study can only suggest trends that may relate to more complex examples of joined up agreements.

Albany was identified as the regional centre to investigate because of the researcher's contacts with public servants within the town. While it would have been possible to undertake research in another centre it was unlikely that most key stakeholders in another regional centre could have been identified, contacted and interviewed within the given timeframe without the support of contacts already in the town.

Regional centres in the Kimberley, Pilbara and Goldfields are very different from Albany and findings from the case study can only indicate trends that may apply to towns in those regions.

The next section describes the approach that was taken to the research and the application of the research to the case of a potential joined up initiative between IPAA and a regional centre in Western Australia.

3 Methodology

3.1 Introduction

This study researched literature about joined up government initiatives in the context of the five Key Areas identified by the NSIF and applied the findings to a case study of a potential joined up agreement.

3.2 Literature Review

A literature review was undertaken to identify key issues impacting on the five Key Areas identified by the NSIF. The literature review continued throughout the project as answers were sought to questions that arose during the application of research to the investigated joined up agreement.

3.3 Application of Research

Findings from the research were applied to a potential joined up agreement in which IPAA and public servants in Albany agreed to work together to deliver IPAA services in that town. To achieve this it was necessary to investigate the environment in which such an agreement would occur.

3.4 Research with Stakeholders

In order to identify factors that would impact on the case study information was gathered from three different potential stakeholders in the initiative:

- IPAA representatives
- Public servants in Albany
- Contract trainers who could deliver IPAA training in Albany.

3.4.1 IPAA Representatives

Meetings were conducted with the General Manager of IPAA WA and with a member of the IPAA Council Working Group that was investigating the problem. Through these meetings information was gathered about what IPAA was contemplating and what conditions were required if services were to be delivered to regional Western Australia

3.4.2 Public Servants in Albany

Fourteen public servants in Albany were interviewed over the phone or in person. They represented the three spheres of government, the University of Western Australia and the Albany branch of the Chamber of Commerce and Industry.² All of these people were interviewed because they held senior positions within organisations directly involved with the delivery of services in Albany or because other public servants from Albany identified them as interested stakeholders in the initiative.

This research identified what services already existed in Albany, what sort of services would be of interest to that market, barriers to a joined up agreement and key success factors.

Contact was made with interviewees through letters that introduced the research, requested an interview and inviting a response to four questions that were provided:

Question 1: Which of the following professional development courses would be of interest to your organisation? (The 2005 IPAA training program was provided as part of the questionnaire.)

Question 2: IPAA hosts breakfast seminars throughout the year. Would you have attended any of the following breakfast seminars if they were available in Albany? (The 2005 IPAA breakfast forum program was provided as part of the questionnaire.)

Question 3: What barriers exist to regional access to professional development?

Question 4: Are there any factors that would be important to the successful delivery of IPAA services to your organisation in Albany?³

Follow up phone calls were made and appointments were scheduled with either the recipient of the letter or a more appropriate contact person identified by the recipient of the letter.

One to one interviews were conducted in Albany. The interview began by discussing the four questions that had been provided in the introductory letter before moving to more general discussion about experiences, success factors and barriers to joined up service delivery in Albany.

3.4.3 Research of Potential IPAA Training Providers

IPAA often pays contractors to conduct training. To determine the cost and conditions required to deliver contracted IPAA training services in Albany a questionnaire was emailed to approximately 50 women who are part of the association of Women in Consultancy and Training in Western Australia who represent a cross section of leading women trainers in Perth⁴. The questionnaire investigated if the training

² A list of people interviewed is provided in Appendix 1

³ A copy of the Questionnaire is provided in Appendix 2

⁴ A copy of the Questionnaire is provided in Appendix 3

consultants were willing to travel to Albany, how much they would charge and what sort of support they would need.

Ten questionnaires were completed and returned.

3.5 Collation of Information

Once the research of the potential environment was complete the information was collated so that the environment in which the potential joined up agreement could take place was understood.

3.6 Application of Findings to the Potential Agreement

The next stage in the process was to investigate the literature findings and the NSIF in the context of the case study.

3.7 Conclusion and Identification of Future Research

Conclusions resulting from the research and application of the research to the case study are then discussed and further research opportunities are identified.

4 Literature Review

4.1 Introduction

The literature review provides some background to the joined up movement then identifies three different types of joined up agreement, followed by barriers, issues and approaches to joined up agreements in the context of the Key Areas identified by the NSIF.

4.2 Background

4.2.1 Fragmentation of Government

In the late 1980's western governments began to divide up large agencies with a broad focus and replace them with smaller organisations with a single focus:

The Conservative Governments of the 1980s and early 1990s introduced a range of measures intended to break up what was held to be a monolithic, inward-looking public sector (...). At the heart of these reforms was the creation of focused (hopefully single-purpose) agencies driven by clear market-like incentives to perform ever better. (...) this sort of single-focused approach exacerbated the difficulty of co-ordinating multi-agency responses to complex problems (Ling 2002:618).

The creation of single focused agencies resulted in public administrators moving away from broad concerns towards concentration on narrow economic measurements of outcomes. In 2003 Hess reflected on what he saw as the overemphasis on market economic knowledge:

In the 1980s and 1990s the way in which public administrations identified and valued truth changed completely. No longer was the truth to be found in the knowledge, procedures and institutional memory of bureaucracies. No longer was it legitimate for public administrators to claim the right to identify and act in 'the public interest'. Now it was markets that were providing the information, expertise and practices that facilitated good government and net public benefit replaced public interest as the shared objective. The epistemological logic was that because markets are good, good knowledge is market knowledge. The problems which arose with this came about because of over-emphasis. Market knowledge became self-referential so there was no serious effort to balance it (Hess 2003:3).

The issue of fragmented service delivery was recognised by senior public administrators. In his 2002 keynote address to the Canadian Policy Forum its President said:

I think it's fair to characterize traditional public sector governance as a predominantly vertical system. We've all struggled with this over the years -

the need for greater cooperation and coordination between some government organizations, between different levels of government, and between nations. Sometimes the impediment is due to poor processes, sometimes it is the protection of turf, sometimes it is because of lack of knowledge and understanding. The approach to the management of employees and issues within any government has generally been extremely hierarchical. And here in Canada at least, citizens watch their three levels of government bicker over who delivers and pays for which services, when the citizen knows that all the tax dollars paid to all levels of government come out of the same pocket (Zussman 2002).

Farland points out that in Australia the sheer number of government authorities further exacerbates the fragmentation of service delivery. He identified that there are:

634 governments (Federal, State and Local), 9 Federal, State and Territory public sectors and 625 local councils (Farland 2004: 41).

This is further complicated by the number of organisations within each government. Farland points out that in the Commonwealth government alone:

...there are well over 150 agencies and 950 government entities (Farland 2005:4).

4.2.2 Trends Towards Joined Up Arrangements

The state of Oregon pioneered the development of whole of government planning and reporting when it created its strategic plan in 1989. (Wilkins 2002: 2) This was the only whole of government initiative for some time. The next efforts to take a joined up approach were taken in the mid 1990's by those working in organisations with similar concerns:

.... the movement to provide more integrated service delivery to citizens by dismantling the stove-pipes that are so prevalent in modern government and finding ways for agencies to better share information and coordinate their efforts..... have been gaining momentum in the past decade(Eggars & Goldsmith 2004: 4).

As public servants were becoming more interested in joined up services, the Internet was emerging as a ubiquitous tool across governments. The late 1990's saw growing enthusiasm for innovative approaches that used the capacity of online technologies to improve traditional government functions, then, as people used the Internet more, its transformational possibilities were realised:

...e-government is a much more massive transformation than electronic service delivery. E-government is multi-faceted: it deals with information technology as a tool of government, as an object of government's attention, and as a major factor in shaping the social and economic environment in which government acts (Zussman 2002:4).

In March 1999, the Blair Government in the United Kingdom was one of the first to demonstrate understanding of the holistic approach to service delivery and problem solving that online technologies delivered by launching a whole of government White Paper called *Modernising Government*.

Minister Dr Jack Cunningham introduced the Paper by saying:

To improve the way we provide services, we need all parts of government to work together better. We need joined-up government. We need integrated government. And we need to make sure that government services are brought forward using the best and most modern techniques (Cabinet Office 1999).

Governments around the world were heading in the same direction and setting up departments charged with responsibility for achieving the improved efficiencies and effectiveness made possible by online technologies. In Australia the Commonwealth Government established the National Office for the Information Economy in 1997 along with an Online Council of Ministers for the Information Economy with representatives from the Commonwealth, from all States and Territories and from Local Government (Australian Government Information Management Office 1998).

In the early 2000's governments of Canada and the United States produced papers exploring issues relating to crossing local, state and national boundaries. Canada produced the *Crossing Boundaries* report (Crossing Boundaries Political Advisory Committee 2003) and the US produced the *Cross-Jurisdictional e-Government Implementation* report (American Council for Technology and Industry Advisory Council 2002), and the *Government Without Boundaries* (U.S. General Services Administration 2002).

Australia's two most comprehensive reports on joined up approaches were the Management Advisory Committee's *Connecting Government* report and *Good Practice Guides* (Management Advisory Committee 4 2004) and the *Working Together - Integrated Governance* report (IPAA 2002) both of which examined a number of case studies and provided findings and recommendations for establishing and managing joined up initiatives.

In addition to these comprehensive reports there have been many papers addressing specific barriers, issues and recommendations for joined up service delivery covering a range of issues. All of these documents contribute to the growing body of knowledge about how to develop joined up agreements.

4.3 Types of Joined Up Arrangements

The literature about joined up arrangements does not use explicit or agreed definitions about terms. A number of meanings are collectively grouped under the term "joined up". Pollitt states that explicit definitions are hard to find and concludes that:

Joined up government has emerged as a fashionable term of art, rather than a precise scientific or technical concept (Pollitt 2003).

The *Working Together - Integrated Governance* report helps to provide clarity about "joined up" initiatives by dividing them into three categories:

- Whole of Government Integration;
- Service Delivery Integration (which includes integration around partnership agreements); and
- Integration Around Programs (IPAA 2002: 91).

Each of these categories is useful when describing approaches to joined up agreements.

4.3.1 Whole of Government Integration

This category of joined up government is characterised by a top down whole of government policy framework based on what government seeks to achieve followed by practical strategies to achieve whole of government integration.

The difficulty of Whole of Government approaches has been recognised by the Prime Minister:

Some of the most challenging policy choices faced by government are those that cross the traditional boundaries between Cabinet ministers' portfolios and between the Australian, State and Territory levels of government (...) (T)asks that run well beyond the remit of individual ministers... are whole of government problems and their resolution requires a long-term strategic focus, a willingness to develop policy through consultation with community and a bias towards flexible delivery that meets local needs and conditions (Howard 2002).

Whole of Government approaches are characterised by:

- Organisational change
- Merged structures and budgets
- Joint teams (virtual and real)
- Shared budgets
- Joint customer interfaces
- Shared objectives and performance indicators
- Consultation
- Information exchange (Wiring It Up cited by IPAA 2002:87).

Different Australian governments have adopted "whole of government" approaches for dealing with complex social issues:

...the Queensland Government instituted legislative changes which require governments to issue a Charter of Social and Fiscal Responsibilities and to report progress against targets contained in the Charter (Queensland Finance Administration and Audit Act 1977). The Charters issued to date have the appearance of a high level government policy statement outlining priority areas without specific details, measures or targets. The Australian Capital Territory has over two years issued reports (1999, 2000) and more recently Victoria issued a plan (Wilkins 2002: 7).

Crowley reports that:

South Australia has created Ministerial Champions for cross cutting actions and interdepartmental committees for social inclusion, to argue for resources and to push through obstacles to collaboration and defend initiatives in Cabinet. Recent initiatives have introduced more innovative means of joining up, in particular through thematic programs and budgets generated by *Growing Victoria Together* and *Tasmanians Together* (Crowley 2004:47-53).

These Whole of Government arrangements can provide the high level first step towards creating Service Delivery Integration and Integration Around Program projects.

The Whole of Government approach pioneered in Oregon and reflected in these Australian initiatives involved all government agencies within a jurisdiction. Farland provides a definition of “whole of government” that does not require the inclusion of all government agencies which is consistent with Australian usage:

.. whole of government is a term of considerable elasticity, intended to describe a subject applying to a large section, if not the entirety, of the State sector. In practice, it can mean anything from "the entire State sector" to "a lot of Public Service departments" (NZ State Services Commission cited by Farland 2004:42).

This is consistent with the definition provided in the *Connecting Government* report that describes it as:

...public service agencies working across portfolio boundaries to achieve a shared goal and an integrated government response to particular issues (Management Advisory Committee 4 2004: 1).

That definition focuses on sharing across portfolios within one jurisdiction. Many initiatives in Australia involve the coming together of organisations from the three spheres of government that share a similar concern. The definition provided by Vincent (1999) is applicable to the cross jurisdictional context:

Whole of government means collaboration between all relevant government agencies to achieve better outcomes for clients (Farland 2004).

Even this definition does not address projects that join up government agencies with community organisations and industry that share the characteristics of Whole of Government identified by the *Wiring It Up* report.

Despite weaknesses in the term and the lack of consensus about the definition of “whole of government” there is a type of joined up initiative that is characterised by the features identified in the *Wiring It Up* report and this term is therefore useful in describing high level approaches to joined up projects.

4.3.2 Service Delivery Integration

The *Working Together* report says:

Service delivery integration is probably the easiest type of integration to undertake (IPAA 2002:81).

The main feature of this sort of joined up arrangement is the collection together of information and services about a shared customer or common issue.

An example of this sort of integration is the online Business Entry Point that provides all Commonwealth government information on planning, starting and running a small business. It also makes efforts to collect information from States and Territories. Centrelink is another example. It brings together information and services from a number of agencies and provides it to the Australian public.

This sort of integration is frequently characterised by a purchaser provider model. Centrelink for example, delivers services for a fee on behalf of Commonwealth government agencies. It also pays of State/Territory governments and private sector organisations to deliver services to the public on its behalf.

The main process for organising service delivery integration arrangements is a formalised partnership (IPAA 2002:80).

The third tier of the NSIF identifies a standard Collaborative Head Agreement that addresses common legal and contractual issues that need to be considered by parties developing this type of Service Delivery Integration initiative.

Service Delivery Integration approaches can be managed using New Public Management strategies of the type advocated by Podger which include:

- devolution of authority for the process of administration, but with closer accountability for results;
- increased use of market competition, including quasi-markets within government processes;
- new structures and, indeed, changed government roles for providing services to purchasing and regulatory services;
- accordingly, closer interaction between the public and private sectors;
- increased community responsiveness and involvement, including greater transparency of decision-making; and
- stronger political oversight, with increased community and media pressure on elected Governments (Podger 2003:3).

These strategies seek to enhance the use of traditional centralised systems and processes to deliver increased efficiencies and improved services. They are well suited to the role of government as a coordinator rather than a provider of services.

The application of technologies to streamline and automate traditional processes between service providers is another example of Service Delivery Integration. Eggars and Goldsmith call this a “Channel Partnership”:

Companies and nonprofits conduct transactions on behalf of government agencies in the same way that retail stores act as a distribution channel for manufacturers. When you purchase a new car, for example, the dealership handles your motor vehicle registration for you. Other examples include purchasing a fishing license at a sporting goods store or using the Intuit or H&R Block Web sites to file your taxes online. As more and more services move online, the number of channel partnerships will expand as companies bundle public sector transactions into their online services offerings (Eggars & Goldsmith 2004:6).

While these transactions are using technology to streamline their processes there is no fundamental difference in the service that is being undertaken from those undertaken in traditional government organisations.

4.3.3 Integration Around Programs

These joined up arrangements involve ongoing cooperation and collaboration by a community of problem solvers. Membership of the community may be voluntary.

This type of joined up arrangement may be ad-hoc:

Governments often activate a network in response to a specific situation – usually an emergency. For example, an ad-hoc network of hospitals, doctors, and public health and law enforcement agencies might be set up to attempt to contain an outbreak of an infectious disease. Ad-hoc networks are also formed in response to natural disasters and cyber-threats (Eggars & Goldsmith 2004:6).

Longer term Integration Around Program approaches are frequently characterised by efforts to address what Rittel and Webber termed “wicked problems”. (Rittel & Webber 1973) These are problems so complex that it is difficult to agree on what the problems are, let alone how to solve them. The events leading to the Gordon Inquiry (Gordon 2002) in Western Australia could be seen as a “wicked problem” where family violence and child abuse in Aboriginal communities could be seen in terms of education, health, crime, housing, social policy and so on.

There is no single set of systems and processes to guide the way that outcomes are achieved through Integration Around Programs initiatives. Tiers 1 and 2 of the NSIF can guide the development of a high level agreement for projects that Integrate Around Programs but details of the type provided in the Tier 3 Collaborative Head Agreement are more difficult to negotiate, particularly if the initiative involves community members or volunteer agencies that are not familiar with formal legal or contractual documents.

The literature review identifies some issues for consideration for those undertaking Integration Around Programs approaches.

The findings from the literature are now discussed in the context of the Key Areas identified by the NSIF. Where appropriate the findings are also related to the three different categories of joined up agreements described above.

4.4 Key Areas

4.4.1 Corporate Governance Framework

Key Success Factors

The success of traditional or non traditional initiatives is dependent on how committed the government is to the approach:

A key indicator of whether the planning exercise is leading to changes in service delivery is the linkage between the planning and reporting phases and the budget process. Without this linkage it may be that the plan is an information presentation only. (...)The extent and concrete nature of linkages between the plans and reports and budget processes are central to government decision-making or whether they have a lesser role providing an extra set of information with only indirect influence (Wilkins 2002: 9).

Many change initiatives have faltered because they have not been tied to reporting and budgeting processes.

Balancing Power and Responsibility

Eggars and Goldsmith point out the difficulty of governing joined up arrangements:

The problem of accountability is one of the most difficult challenges of networked government. With authority and responsibility parcelled out throughout the network, whom do you blame when something goes wrong? How do you achieve results when you have limited control? Ensuring accountability in a networked arrangement is a matter of getting the following four things right: incentives, measurement, trust, and risk. With a good network partner and government manager, the goals and outcomes will stay sharply in focus, but the inputs and processes will change as required (Eggars & Goldsmith 2004:2).

Traditional government bureaucracies have clear lines of accountability and responsibility. While traditional systems and processes are likely to be adequate for the delivery of Service Delivery Integration projects, achieving good corporate governance of initiatives that share power and responsibility is more difficult and requires deliberate creation of explicit and adequate governance processes. The need to manage the balance between formal government accountability and the need for flexible responsive processes is identified by Ling:

...too much formal accountability might stop partnerships responding to citizen needs (Ling 2002: 620).

There must also be a cautious approach to putting too much power into the hands of non-accountable parties. Ling cites Dutch examples of such arrangements:

Dutch governments have tried to change the balance between inclusive partnerships, on the one hand, and co-ordinating costs and overall activities on the other.... The barriers to successfully achieving this balance are (...) that powerful social partners in each public service limit central co-ordination (Ling 2002:620).

Closely governing expectations, processes and outcomes is clearly an issue for those government workers engaged in joined up initiatives:

The relationship between public involvement and joined-up government is not a simple one. On the one hand, providing information to the community, understanding their values and concerns, and inviting them actively to participate in public decision-making, can strengthen joined-up working. On the other hand, it can lead to institutional conservatism (people resist change – for example the closure of a hospital) (Ling 2002:631).

Definition of Corporate Governance

The precise nature of corporate governance is defined by the Australian National Audit Office as:

Broadly speaking, corporate governance generally refers to the processes by which organisations are directed, controlled and held to account. It encompasses authority, accountability, stewardship, leadership, direction and control exercised in the organisation. ... key elements of corporate governance include the transparency of corporate structures and operations; the implementation of effective risk management and internal control systems; the accountability of the Board to stakeholders through, for example, clear and timely disclosure; and responsibility to society (Australian National Audit Office 1999).

Levels of Engagement

Wilkins has explored governance approaches that address five different levels of engagement in joined up approaches:

- Inform – provide the public with balanced and objective information;
- Consult – obtain public feedback on analysis, alternatives and/or decisions;
- Involve – work directly with the public throughout the process;
- Collaborate – partner with the public in each aspect of the decision; and
- Empower – place final decision-making in the hands of the public (International Association for Public Participation 2002 cited by Wilkins 2002: 5).

From Wilkins' discussion it is clear that those entering into joined up agreements need to decide at which end of the continuum they wish to engage with parties to an agreement so that governance arrangements can be created to reflect this intention. The "inform and consult" end allows government to maintain more centralised control and

more traditional governance models. As projects moves towards the “empower” end of the continuum more power is given to the community. Wilkins provides examples of this type of arrangement and their characteristics:

Oregon and Tasmania (along with Florida) can be characterised as being at the “involve, collaborate and empower” end of the spectrum with a statutory board having authority to independently set goals, indicators and targets and to report progress against these. The extent to which empowerment in the sense of “final decision-making in the hands of the public” is achieved through representative bodies will depend on many factors, including membership of the board and whether the board actively involves citizens in its decision making. For instance, the Tasmania Together Progress Board Act 2001 requires that seven out of the Board’s nine members are collectively to be broadly representative of the Tasmanian community with appointments to be made after seeking nominations from the public. The Board is required to promote the goals and benchmarks in the broader community and to develop coalitions of interest with and between various sectors of the community (Wilkins 2002).

This level of engagement shifts some power from politicians to representative bodies that seek more collaboration with and empowerment of the public than traditional Ministerial portfolio structures and government processes.

Governance of Integration Around Programs Initiatives

As Integration Around Programs involves the most “collaborative” and “empowering” type of joined up arrangement the governance of these initiatives is particularly challenging. The *Working Together-Integrated Governance* report identified that governance of Integration Around Program initiatives was:

...predominately by committee structures.(...) Accountability was more difficult to enforce (...) as was achievement against outcomes. Barriers to integrating included the inability to enforce the integration needed from the top down as well as the need to work within internal structures not geared towards integration.(...) This type of integrated approach is very difficult to sustain politically whilst maintaining engagement of all levels of government (IPAA 2002: 83).

Although it does not distinguish between different types of joined up approach the *Connecting Government* report advises a cautious approach to such initiatives except where “wicked problems’ exist:

A whole of government approach to a complex problem should not be taken lightly(...) A strong message from the literature and case studies analysed for this report is that whole of government approaches to complex problems should only be undertaken when necessary.

...It can, however, be particularly suitable for complex and longstanding policy issues, sometimes referred to as ‘wicked problems’. They defy

jurisdictional boundaries and resist bureaucratic routines (Management Advisory Committee 4 2004: 10).

The difficulties of governing Integration Around Program approaches which address “wicked problems” is the most difficult precisely because they “defy jurisdictional boundaries and resist bureaucratic routines”.

Governance frameworks for this category of joined up arrangement must be the subject of careful consideration.

Holistic working develops out of the redesign of systems of accountability around problems and solutions, or outcomes and out of the redesign of operating systems that bring together bodies of practical knowledge (Farland 2003: 15).

Tier 1 of the NSIF provides Principles for Collaboration which is the first step towards creating a governance framework based on values. Through agreeing on principles that are to govern an Integration Around Program initiative a community of problem solvers can build trust and learn how to negotiate with each other.

Tier 2 of the NSIF provides a more detailed governance process that addresses strategic and policy issues. This Tier is particularly suitable to the “committee structure” approach that is the predominant governance framework for Integration Around Program initiatives. It provides Statements of Intent that address twenty one individual governance issues that can be agreed upon by parties to an Integration Around Program type of project.

The formal and legalistic approach of Tier 3 Collaborative Head Agreement may not be appropriate for agreements that involve community members or volunteer groups that rely on trust and sharing and require leadership rather than control. The *Working Together* report identifies the risk of:

Stakeholder ownership (being) an issue, with government often taking the prominent role rather than acting as a network leader (IPAA 2002: 80).

The difficulty of managing corporate governance issues in such situations must be weighed pragmatically against the benefits that can be achieved through a joined up agreement. As the *Connecting Government* report advises:

The investment involved must be justified. (...) Each issue should be examined on a case-by-case basis to gauge whether a (joined up) approach is the most appropriate (Management Advisory Committee 4 2004: 10).

The literature makes clear that joined up approaches require considerations about fundamental governance processes that need to be chosen to reflect the purpose of the initiative and to support the delivery of joined up outcomes. Failure to make decisions that create appropriate governance systems and processes will result in risks that are project threatening.

4.4.2 Legal Framework

There are three subjects of legislation that impact on all joined up government initiatives. They address privacy concerns, the management of intellectual property and the management of information as records or archives.

Privacy

The most significant barrier to information sharing is concern about privacy of personal information. Most Australian jurisdictions have legislation governing information sharing and in Western Australia, where there is no legislation, the sharing of personal information is governed by a *Public Sector Code of Ethics* that identifies the need to “protect privacy and confidentiality” (Western Australian Government 1997: 2) by agency privacy policies and by de facto use of the Federal Privacy Act.

The Federal *Privacy Act 1982* that relates to the Commonwealth and Australian Capital Territory governments and the subsequent *Privacy Amendment (Private Sector) Act 2000*, which addresses privacy in the private sector, are comparable with legislation that has been created in some Australian States to provide an environment where personal information is treated with respect.

This Acts provides privacy principles that establish how information is to be managed. The Ten Privacy Principles are:

- Principle 1 - Collection
- Principle 2 - Use and disclosure
- Principle 3 - Data quality
- Principle 4 - Data security
- Principle 5 - Openness
- Principle 6 - Access and correction
- Principle 7 - Identifiers
- Principle 8 - Anonymity
- Principle 9 - Transborder data flows
- Principle 10 - Sensitive information (Office of the Privacy Commissioner 2000)

The two privacy principles that restrict sharing of personal information between organizations under the Privacy Amendment (Private Sector) Act 2000 are Principle 1 that relates to Collection and Principle 2 on Use and Disclosure (Privacy Amendment Act 2000).

These two Principles are discussed to clarify how they need to be managed to enable information sharing.

Principle 1 Collection

1.1 An organisation must not collect personal information unless the information is necessary for one or more of its functions or activities.

1.2 An organisation must collect personal information only by lawful and fair means and not in an unreasonably intrusive way.

1.3 At or before the time (or, if that is not practicable, as soon as practicable after) an organisation collects personal information about an individual from the individual, the organisation must take reasonable steps to ensure that the individual is aware of:

- (a) the identity of the organisation and how to contact it; and
- (b) the fact that he or she is able to gain access to the information; and
- (c) the purposes for which the information is collected; and
- (d) the organisations (or the types of organisations) to which the organisation usually discloses information of that kind; and
- (e) any law that requires the particular information to be collected; and
- (f) the main consequences (if any) for the individual if all or part of the information is not provided.

1.4 If it is reasonable and practicable to do so, an organisation must collect personal information about an individual only from that individual.

1.5 If an organisation collects personal information about an individual from someone else, it must take reasonable steps to ensure that the individual is or has been made aware of the matters listed in subclause 1.3 except to the extent that making the individual aware of the matters would pose a serious threat to the life or health of any individual

(Privacy Amendment Act 2000)

The impact of Clause 1.1 is that organisations with a narrow range of “functions or activities” only have a narrow range of personal information available to use when making decisions. A possible remedy is for the governance body responsible for a joined up initiative to identify a broad scope of “functions or activities”. Clauses 1.4 and 1.5 make it clear that this body must not automatically expect that they can use personal information already held by parties to the joined up arrangement. It may be necessary for the new governance body to collect this information again to ensure that information owners are aware of how it is to be used.

Principle 2 of the Privacy Amendment Act provides possible strategies to avoid such duplication:

Principle 2 Use and disclosure

2.1 An organisation must not use or disclose personal information about an individual for a purpose (the *secondary purpose*) other than the primary purpose of collection unless:

- (a) both of the following apply:
 - (i) the secondary purpose is related to the primary purpose of collection and, if the personal information is sensitive information, directly related to the primary purpose of collection;
 - (ii) the individual would reasonably expect the organisation to use or disclose the information for the secondary purpose; or

- (b) the individual has consented to the use or disclosure; or
- (c) if the information is not sensitive information and the use of the information is for the secondary purpose of direct marketing

(Privacy Amendment Act 2000)

This Principle then goes on to provide specific clauses relating to direct marketing, health information and dangerous and unlawful situations.

These sub clauses of Principle 2 continue to maintain respect for the subject of the personal information while also enabling organisations to share information without unnecessary duplication of effort.

Sharing of information across jurisdictions may require information to be passed from a jurisdiction with strong privacy legislation like Victoria to a jurisdiction with no privacy legislation, like Western Australia. In such a case the Victorian Government would need to assure its citizens that it was acting within the law by establishing formal requirements of the Western Australian Government.

Principle 9 of the Privacy Act that relates to transborder data flows from Australia to a foreign country. This information can be used to guide how to transfer data across agencies, jurisdictions and sectors.

Principle 9. Transborder data flows

An organisation in Australia or an external Territory may transfer personal information about an individual to someone (other than the organisation or the individual) who is in a foreign country only if:

- (a) the organisation reasonably believes that the recipient of the information is subject to a law, binding scheme or contract which effectively upholds principles for fair handling of the information that are substantially similar to the National Privacy Principles; or
- (b) the individual consents to the transfer; or
- (c) the transfer is necessary for the performance of a contract between the individual and the organisation, or for the implementation of pre-contractual measures taken in response to the individual's request; or
- (d) the transfer is necessary for the conclusion or performance of a contract concluded in the interest of the individual between the organisation and a third party; or
- (e) all of the following apply:
 - (i) the transfer is for the benefit of the individual;
 - (ii) it is impracticable to obtain the consent of the individual to that transfer;
 - (iii) if it were practicable to obtain such consent, the individual would be likely to give it; or
- (f) the organisation has taken reasonable steps to ensure that the information which it has transferred will not be held, used or disclosed by the recipient of the information inconsistently with the National Privacy Principles.

(Privacy Amendment Act 2000)

Principle 5 tells organisations what they should do to let people know how their personal information is being managed.

Principle 5 Openness

5.1 An organisation must set out in a document clearly expressed policies on its management of personal information. The organisation must make the document available to anyone who asks for it.

5.2 On request by a person, an organisation must take reasonable steps to let the person know, generally, what sort of personal information it holds, for what purposes, and how it collects, holds, uses and discloses that information.

(Privacy Amendment Act 2000)

It is this Principle that requires organisations to develop privacy policies and procedures.

Statement of Intent 10 of the NSIF provides practical instructions about how to establish frameworks that ensure the privacy of personal information in cross government and cross sector agreements:

10.02 All Parties undertake to maintain the privacy of data provided to them by another party according to the requirements of the party providing the information.

10.03 Parties agree that special provisions can be made for the protection of personal information to reflect the needs of specific projects/initiatives. These should be specified in a Project/Initiative Specific Agreement.

and

10.06 Parties agree to ensure that when an agent/third party deals with personal or confidential information (including gaining consent, collecting, handling or storing information), they must comply with the owning agency's privacy regime (ITRG 2005a).

While the need to respect the privacy of personal information has been a barrier to information sharing there are a number of initiatives that have taken a formal approach to information sharing that overcome privacy barriers. An example of this is the *HealthConnect* project:

HealthConnect is a network of electronic health records that aims to improve the flow of information across the Australian health sector. It involves the electronic collection, storage and exchange of consumer health information via a secure network and within strict privacy safeguards (*HealthConnect* 2005).

The Australian Federal Police has worked with States and Territories to establish the *CrimTrac* project which collates and shares information from police services across Australian jurisdictions (Minister for Justice and Customs 2005).

Both of these projects deal with sensitive personal information and have established formal, comprehensive privacy regimes that meet legislative requirements as well as the needs of the initiative.

Intellectual Property

Copyright is a Commonwealth Government issue. The *Copyright Act 1968* and *Copyright Amendment (Digital Agenda) Act 2000* govern the protection, management, use and commercialisation of intellectual property in Australia. This Act is not helpful to organisations that join up information and find that the joined up information has a commercial value which they wish to exploit.

Statements of Intent 17 of the NSIF addresses intellectual property issues but does not identify what to do about intellectual property that emerges from joined up agreements:

17.01 Parties agree that intellectual property shall be enunciated in individual agreements.

17.02 Parties agree that pre-existing intellectual property will be recognised and respected under this agreement and will only be used as authorised by the owner of the intellectual property as permitted under law (Integrated Transactions Reference Group 2005a).

The field of intellectual property rights has been most thoroughly explored in Australia by the spatial information industry. The Western Australian Land Information System (WALIS) provides policies and guidelines on custodianship, ownership and pricing (Government of Western Australia 2005). The Spatial Information Council of Australia and New Zealand (formerly known as the Australia New Zealand Land Information Council) also provides information on custodianship and pricing (ANZLIC 2005).

There is no clear process that assures a problem free approach to the creation, use and commercialisation of intellectual property that results from joining up information from different organisations. While trust between partners to an agreement is important, the NSIF recommends that parties identify a dispute resolution procedure as part of the collaborative agreement to deal with issues when they arise (ITRG 2005a). A dispute resolution procedure could provide an acceptable approach to resolving intellectual property disputes that occur as a result of joining up information from different organisations.

Archives / Records Management

All Australian governments have policies, standards and/or legislative requirements that ensure the management of information in a manner that provides a record of events.

The Western Australian State Record Act 2000 defines a record as:

...any record of information (in any form) created, received or maintained by a government organisation or parliamentary department in the course of conducting its business activities. State records can come in any format on which information can be stored including maps, plans photographs, films, magnetic and optical media (State Records Office 2000).

While there is general agreement about what a record is, the manner in which records and archives are created and managed differs between jurisdictions. Existing systems and processes may not be adequate to meet the records management and archiving needs of partners in a cross jurisdictional or cross sector agreement. As with privacy requirements, the needs of the regime with the most rigorous archives or records management requirements must be met as part of a joined up initiative.

4.4.3 Financial Framework

The *Connecting Government* report identifies the lack of progress that has been made in creating novel solutions to financial management of joined up projects:

Work to date suggests that while the Australian Government is making more use of whole of government cross-portfolio initiatives, the current budget framework's flexibilities are not being fully used to accommodate them (Management Advisory Committee 4 2004: 81).

Peak financial management departments within governments are the most skilled at developing appropriate joined up financial frameworks and the *Connecting Government* report advises:

The Department of Finance and Administration should continue to provide advice to agencies on appropriation, governance and reporting structures and should be consulted at an early stage in the development of major cross-portfolio initiatives (Management Advisory Committee 4 2004: 75).

Whole of Government Integration

As already mentioned in the section on Governance Frameworks, the success of whole of government planning depends on the concrete nature of linkages between the plans, the reports and the budget processes (Wilkins 2002: 9).

The UK Labour government supported joined up initiatives by providing central funding for local partnerships and through the "Invest to Save" budget which funded new joined up initiatives (Ling 2002). If the provision of these funds is not integrated with overarching and ongoing policy frameworks of whole of government or of agencies, it is unclear how the initiatives will be sustained.

An Australian example of unsustainable centralised funding is provided in the Trials of Innovative Government Electronic Regional Services (TIGERS) project. This project was funded for three years and its focus was:

..trailing electronic service delivery innovations for customers conducting business with government organisations. It involves a series of trials conducted in Tasmania to build integrated service delivery models that could work elsewhere in Australia.

The TIGERS program was initially funded for a period of three years to December 2002, and subsequently extended until July 2003.

Proposals that required ongoing funding were specifically excluded by these guidelines (Australian Government Information Management Office 2003b).

The TIGERS initiative was neither part of a whole of government policy framework nor part of the policy framework of participating agencies. Once the TIGERS funding stopped these initiatives could not be sustained.

The *Connecting Government* report provides an example of successful whole of government funding in the Natural Resource Management Team. This initiative delivers two programs, the National Heritage Trust and the National Action Plan for Salinity and Water Quality programs, by joining up resources from the Department of the Environment and Heritage and from the Department of Agriculture, Fisheries and Forestry.

Although these programs are working together the financial management of the programs is still essentially separated. The National Heritage Trust has a budget of \$1 billion between 2002 and 2007 which is managed by the Department of the Environment and Heritage. The National Action Plan for Salinity and Water Quality has a budget commitment from the Commonwealth, State and Territory governments of \$1.4 billion between 2000 and 2007 which is managed by the Department of Agriculture, Fisheries and Forestry (Management Advisory Committee 4 2004: 129).

This creates a situation where:

- There is a need for reciprocal cross-agency delegations to authorize expenditure
- The two programs are run through different financial and accounting systems
- There is a duplication of administrative processes – for example, reporting to the Senate (Management Advisory Committee 4 2004: 135).

There is room for more flexibility that would reduce duplication in financial management processes. The overarching policy commitment linked with strong planning and committed budgets does however deliver more sustainable outcomes than projects like the TIGERS initiative that are funded for a short term and which are not linked to long term policies and strategies.

Service Delivery Integration Model

Financial management arrangements underpinning Service Delivery Integration projects are predominately contracts for services. For example, in Australia government payments like unemployment and disability payments to citizens, originally delivered from different agencies, are now being paid through Centrelink. Centrelink provides services to those agencies on a fee for service basis. Charges and service level agreements are negotiated between parties and formally agreed. Centrelink is not only a seller of services; it also buys services from organisations that deliver information and services on Centrelink's behalf. The financial and service level agreements for these arrangements are also negotiated between parties and signed off in a formal agreement.

Eggars and Goldsmith call this sort of arrangement a “Service Contract”:

In service contract networks, governments use contractual arrangements to organize a network. Contractor and subcontractor service agreements and relationships create an array of vertical and horizontal connections as opposed to simple one-to-one relationships. Such networks are prevalent in many areas of the public sector, including health, mental health, welfare, child welfare, motor vehicle, and defence (Eggars & Goldsmith 2004: 6).

One of the issues that requires consideration when negotiating such agreements is that the cost of currently providing the service is frequently underestimated:

Attempts to share service delivery with a network partner may fail because of a lack of data about how much it currently costs to run the program or deliver the service. How much does it cost to fill a pothole or process a tax return? The absence of such baseline performance and cost data and pre existing benchmarks sets the network up for continual attack by those hostile to its formation and success (Eggars & Goldsmith 2004: 9).

While opposition is most likely to come from those who believe they are paying too much for a service, paying too little for a service is also threatening to a project. If the purchasing organisation has power to determine how much it is going to pay for a service and underestimates the cost of service provision, the contracted service provider will not be able to afford to maintain the service and the contract will eventually fail.

The centralised provision of services by a monopoly service provider gives that service provider the power to determine how much it will charge for a service. Service Delivery Integration contracts need to ensure that the power to increase charges is balanced so that such decisions are moderated by an independent source.

While government agencies did not traditionally purchase services, contracts for services are now a mainstream part of government operations where the risks are anticipated and managed.

Integration Around Programs

This is the most complex joined up environment in which to manage shared resources.

Australian organisations demonstrated their capacity to work together in a crisis in their response to the first Bali bombings. Eggars and Goldsmith call these arrangements “Ad Hoc”:

Governments often activate a network in response to a specific situation – usually an emergency. For example, an ad hoc network of hospitals, doctors, and public health and law enforcement agencies might be set up to attempt to contain an outbreak of an infectious disease (Eggars & Goldsmith 2004: 6).

The *Connecting Government* report identifies the budget and accountability findings identified by the response to the Bali bombing crisis as:

- Ex-gratia payment arrangements were used properly and well.
- Prime Ministerial direction was clear.
- A commonsense approach was taken and supported by all agencies. It was appropriate and well documented.

And it goes on to describe the Key Learnings as:

- Direction is essential. Flexibility is also essential in a crisis.
- The ex-gratia payment guidelines could be enhanced to address the role of senior decision makers in such circumstances (Management Advisory Committee 4 2004: 196).

Integration Around Programs that require longer-term responses require more formal financial management approaches. The *Connecting Government* report identifies the Council of Australian Governments Whole of Government Indigenous Trials as an example of an integrated program in which all Australian Governments made a commitment to trial working together to improve the social and economic wellbeing of Indigenous people and communities (Management Advisory Committee 4 2004: 158).

A key feature of the initiative has been that all projects work:

...with the relevant people in Indigenous communities (Management Advisory Committee 4 2004: 159).

Even though the *Connecting Government* case study identified that much of the work to date has been about “getting to the starting line”, issues relating to the financial management of this initiative had already been demonstrated to be complex:

- Tensions were created by different agency approaches to, and requirements for, measuring inputs and evaluating spending.
- Resources needed to be coordinated and obtained from different agencies to support project officer positions at a local level.
- Each Service Integration Project needed to work more creatively with existing resources and in accordance with Service Integration goals and state government priorities.
- Funding was not provided for an overall external evaluation of Goodna (Queensland’s) Service Integration Project. However, the outcomes of each program within the Service Integration Project were evaluated through clear performance indicators. It has been stated that the performance of the network structure used for collaboration between agencies could not be judged by traditional evaluation methods. This structure focused on community meetings and could only be evaluated qualitatively.

- Government departments had little flexibility to pool resources/funding to address problems at a local level.
- There were differing reporting and accountability requirements for different organisation types (Management Advisory Committee 4 2004: 169).

The documentation of these issues provides insight into the complexities of managing financial accountability in joined up arrangements.

The Queensland Government provides the most practical advice about how to manage this sort of financial arrangement in its *Handbook for Integrated Governance* (Queensland Government 2002).

One of the first points that this *Handbook* makes about financial arrangements for joined up projects is that:

Initiatives that rely on good will, or simply expect staff to operate in a collaborative fashion, rarely work (Queensland Government 2002: 17).

This *Handbook* provides strategies on how to pool resources from stakeholders to achieve joined up outcomes:

...where several agencies are willing and able to contribute to a pooled budget to address a specific issue or jointly fund a project. This demonstrates both a shared responsibility and a willingness to dedicate funds towards resolving or addressing some agreed problem (Queensland Government 2002: 17).

In cases where projects have pooled funding, the funding partners should take responsibility for deciding how this will be covered in any written agreements, including:

-
- Identifying one agency to take a lead role in convening meetings to develop guidelines for how pooled funding will be managed, and setting a realistic time frame for completing the guidelines. This may take several weeks or up to two or three months;
- Having each agency identify what the bottom line requirements are from their perspective and bring those to the table for discussion;
- Agreeing who will be the fund holder is one of the major decisions the group will need to make;
- Establishing agreement on this is best done early so that any agreements can incorporate the nonnegotiable requirements of the fund holder, for example, any legislated, Ministerial or Executive directions with which the fund holder must comply;
- Developing agreements and criteria for decisions about how any funding attached to projects are made;
- As agreements are developed, other stakeholders should be consulted to ensure that guidelines being established are workable and will meet

- the requirements of agencies about any inflexible funding available for the project; and
- Where funding involves several agencies pooling amounts (sometimes small) this requires more negotiation and joint work will be required. Key accountability issues may be covered in the MOU under headings such as:
 - - funding
 - - outcomes
 - - decision-making (Queensland Government 2002: 26 - 27).

The *Queensland Handbook* and the NSIF both provide processes to guide the development of agreements that address some of the financial and contracting issues arising from Integration Around Program initiatives.

Successful financial management frameworks for complex joined up projects require sound knowledge of the fundamental requirements of financial systems as well as clear definitions of:

- Who makes decisions regarding funding?
- What are the accountability requirements that need to be addressed?
- How will group members be accountable to each other?
- What reporting requirements need to be put into place?
- What, if any, are the financial risks involved (Queensland Government 2002: 26)?

The practical suggestions provided the *Queensland Handbook for Integrated Governance* provides the clearest operational directions for joined up financial frameworks.

4.4.4 Business Rules Framework

Introduction

The creation of appropriate business frameworks to support joined up approaches has generated more attention than all of the other frameworks combined. Despite all of the advice joined up initiatives frequently fail.

Perri 6 states:

In every country, practicing administrators, politicians and academic political scientists can be heard bemoaning the failures of their national administrative systems in horizontal coordination and integration (6, 2004:2).

There is an abundance of literature that identifies that well developed “soft skills” are crucial for the success of joined up initiatives.

The Canadian Centre for Management development identified that:

Horizontal management is more an art than a science (Canadian Centre for Management Development 2001: 2).

Throughout his paper *Leadership and Integrated Governance: A Reader* Farland identifies the importance of “building networks and trust”, “relationships with followers” and “personal style”. (Farland 2003)

The Queensland *Handbook for Integrated Governance* also advises that:

It is helpful if the group agrees that trust and a willingness to address difficulties should be guiding principles (Queensland Government 2002: 8).

The *Working Together* report explores the concept of “mutuality” and “obligation” and their accompanying rights and responsibilities as a key factor in supporting successful joined up agreements (IPAA 2002: 14).

The emphasis on “soft skills” and the contribution of talented and enthusiastic people to make joined up projects work was perhaps because joined up projects required systems and skills that were fundamentally different to those required to deliver successful traditional government:

Joining up is a mind-set and a culture. It is not a system or a structure. The concept of joining up recognises that no one has all the knowledge and resources, or controls all the levers to bring about sustainable solutions to complex issues. The key to joined up government is to learn about shared purpose, teamwork, partnerships and building relationships. Joined-up organisations are built around the knowledge and know-how of people. This differs from the organisational model of the past which was built around tasks, units and titles (UK Cabinet Office 1999 cited by Eggars & Goldsmith 2004; IPAA 2002: 29).

While it is tempting to rely on trust, the “mindset” of participants and on reciprocal obligations imposed by “mutuality”, joined up arrangements are often attempting novel approaches to solving problems where there is more scope for differences and more opportunity for things to go wrong. Rigorous business rules frameworks customised to meet the needs of the project are required. Parties to a joined up agreement must spend time and resources designing appropriate business rules frameworks that supports the delivery of project outcomes.

The Importance of Strong Leadership

Strong leadership has been written about at length by so many commentators, as perhaps the most important key success factor in joined up initiatives, that it deserves special consideration.

Joined up initiatives are most successful if it has the imprimatur of appropriate political leaders:

Creating the right environment in which these solutions can work is critical and the signals which Ministers give civil servants about the priority they wish to be given to crosscutting approaches is the key to it all (*Wiring It Up* cited by Farland 2003: 8).

While political leadership is a success factor, a feature of leadership of joined up approaches has been that politicians have needed to focus on:

...what (they) want to achieve rather than how to achieve it (Ling 2002: 620).

Once this has been made clear the development of joined up approaches, linked to resource allocations and accountability measures provides a strong leadership framework. Achieving this without overpowering the initiative is difficult:

Determining the kinds of information gathering and oversight necessary for co-ordination, without reverting to hierarchical direction, is an emerging art. Setting respecting accountability boundaries in settings of discretionary authority and flexibility will also be a part of the emerging leadership skill set (Ingraham 2001 cited in Farland 2003:24).

Achieving this balanced approach is difficult and not required in traditionally government. Ministers have the power to determine policy directions and government agencies are usually responsible for ensuring that outcomes against these policies are achieved. In joined up projects, the combined strength of the political and administrative arms of government need to be managed in a way that supports all parties to the agreement, particularly where the good will of volunteer organisations and the community is integral to the arrangement:

Government as the 800-pound gorilla

Relationships in a network may become strained because one of the members – i.e., a government entity – has more authority than other participants. Government often has the biggest check book and other levers, such as regulatory authority, that can distort communications and feedback, and even create tension among the network parties in terms of “taking credit” and “placing blame” for specific actions (Eggars & Goldsmith 2004: 9).

The success of leaders within traditional government organisations is often due to their being rewarded for “taking credit” and even “placing blame”. Applying these traditional skills to joined up initiatives may in fact damage the relationship.

Leading the establishment of joined up initiatives that include more than one agency, industry groups, community members and/or volunteer groups requires the establishment of relationships built on mutual respect, not formal authority. The leader cannot expect all parties to an agreement to share a common “language”, cultural references or history. This means that leaders must:

- *Recognise the legitimate roles of others* and the validity of their viewpoints, and work within them rather than blaming others for shortcomings of the system;
- *Negotiate effectively*: not only to protect the interests of their organisation but also to shape common goals and priorities and build coalitions; and
- *Acting as if responsible for the overall outcome* : to deliver joined-up outcomes - such as reductions in social exclusion - each leader may need to take some responsibility for the overall outcome regardless of their

actual accountabilities and reporting (UK Cabinet Office cited in Farland 2003: 12 - 13).

Above all, the need for leaders to have strong communication skills and the energy to maintain communications is vital:

... a need to develop leaders with very strong communication and bridge building capabilities and skills. The consistent need for good communication with elected officials and citizens; the (...) need for excellent communication within the organisation, not only about goals, but about progress toward them; the need to communicate effectively across organisations and within networks; and the emerging need to be an effective knowledge manager and translator all point to communication skills not often found in public managers and leaders – or any other leaders, for that matter (Ingraham 2001 cited by Farland 2003: 23).

Job specifications, recruitment strategies and training programs can help organisations to develop leadership skills required for joined up arrangements. The issue of how to value, reward and promote people with these skills from within organisations that reward those that “take credit” and “place blame” is still to be addressed in the literature.

Working On the Business Framework

While many researchers have identified the need for participants to think about how they are going to undertake the joined up project, Farland identified that:

There is a need for a meta-strategy or broad vision to guide progress at both national and local levels. Developing this shared vision entails not only developing a common purpose, but also recognising the role of individual organisational purposes. Clarifying the self-interest motivations of participating organisations and establishing realistic expectations are important tasks. The creation of a participative process is important if the vision is to be commonly owned (Boyle 1999 cited by Farland 2003: 17).

While it may seem unnecessarily formal, a structured approach that help participants to negotiate the purpose and identify motivations and expectations may help to overcome some of the issues that arise in innovative joined up approaches. The NSIF provides a meta-strategy that can be used to create a joined up business model.

Challenges for Joined Up Systems

Joined up initiatives require a transparent and standardised business rules framework that is interoperable with traditional initiatives:

Traditional management practices supporting vertical accountabilities of Ministers are well established and must be maintained - we do not seek to replace existing vertical structures with horizontal ones. Horizontal models and mechanisms should complement, not replace, vertical accountabilities. (...) The reality of working horizontally in a vertical institutional setting

means linking back to the vertical structure that is normally the source of funding and authority. Neglecting these links can be fatal. Strong vertical links are as important as strong horizontal links. Without vertical support, horizontal initiatives are vulnerable (Canadian Centre for Management Development 2001: 17).

Not only do the joined up management systems need to interoperate with traditional internal management systems, they must also interoperate across organisations participating in the joined up arrangement. Points of interconnection between systems must be transparent, standardised and robust enough to maintain interoperability of the entire joined up network:

Networked government typically involves coordination between multiple levels of government, non-profit organizations, and for-profit companies. Poor performance by any one organization within the network, or the breakdown of the relationships between any two organizations within the network, can imperil the performance of the whole. When complexity is high, and responsibility unclear, coordination problems can undermine the network (Eggars & Goldsmith 2004: 8).

The complexities of working in a joined up manner, that respects the accountabilities of traditional government and that ensures rigor and strength across parties to an agreement is further complicated by the fact that while internal weaknesses can be accommodated within one organisation, agencies:

.... working in coalitions, will throw up different aspects of the problem through their own basic organisational weaknesses, and through their conflicts and rivalry with each other (6, 2004:32).

Even an apparently simple variation like inconsistent data bases can manifest as a significant barrier in joined up initiatives.

The need for vertical and horizontal systems to compliment each other, for all points of interoperation to be robust and the need to overcome internal difficulties requires outstanding management. The degree of detail and precision in managing joined up initiatives is difficult to achieve in an environment that accommodates different organisations in novel problem solving endeavors that require flexibility and responsiveness.

Too Much Enthusiasm for Joined Up Initiatives

Despite the apparent difficulties there has been no shortage of efforts to join up service delivery or problem solving efforts. The haste with which new initiatives have been launched without consideration of the existing environment has resulted in numerous problems.

The Queensland *Handbook on Integrated Governance* describes this experience:

Most professionals will have had the experience of involvement in initiatives that appear to ignore existing efforts and consequently generate resistance from the stakeholders. (...) Some of the circumstances identified (...) include:

- Where staff in a local office are participating in a collaborative initiative and another initiative is announced which appears to cut across what the local group is doing.
- Another department has announced an initiative that impacts on the Department of Families' client group – this might be a state, local or federal government initiative.
- Another sector initiative about clients, for example, a non-government or business sector initiative has been implemented without any input from the Department.
- The Queensland Government announces a Statewide initiative and the local office knows little about it.
- An initiative may have been in train in a local area for some time without any departmental involvement, when it becomes obvious that the initiative will have ramifications for the office or client group (Queensland Government 2002: 23).

There is a certain irony in this outcome. While efforts to join up resources have been growing in momentum there has been no effort to join up the efforts to join up, either through a coordinating organisation or through the establishment of an online database. There are two common themes in the literature that arise from the haste to launch into new integrated projects without due consideration or even awareness of what is currently in place:

Initiativitis: This is the syndrome in which public managers end up swamped by the volume of special projects, discretionary funds and demands to produce plans. Some local authorities report having filed more than 75 plans with central government in a single year. In the attempt to develop a hierarchy out of many crosscutting issues, social exclusion can often end up at the top of the local agenda, while sustainability, regeneration, community safety and disadvantaged youth all find themselves 'jockeying for positions'. This may end up making a nonsense out of integration.

Fragmented holism: This is the problem of integration without coordination, which can lead to messy and time-wasting duplications of effort and can end up reproducing the problems of fragmentation at a higher level. Thus, for example, in cities that have several special action zones, coordinating bodies have had to be set up to sort out relationships between them. Some interviewees reported feeling completely overwhelmed because officers did not have the time to pursue the range of new initiatives. There were difficulties sometimes in getting voluntary sector bodies involved because they did not have the time and resources to cover the range of partnership initiatives to which they were invited (Farland 2003: 15-16).

Further evidence of "Initiativitis" and "Fragmented Holism" is provided by Crowley:

Multi-agency partnerships and cross-cutting policy were initiated in Scotland in 1997 but had not seen significant results on the ground by 2000, for all the effort they required, and however logical the joined up approach. The Scottish criticisms are of too many meetings, initiatives, plans and partnerships, with no clear fit between them and mixed political messages from the Executive about their relative importance.

Delivery agencies made the following criticisms:

- Too many partnerships to support properly
- Agency geographic boundaries not conterminous (inside the same boundary)
- Mixed political messages about cross-cutting priorities
- Too much effort on unnecessary planning
- Limited real value of cross cutting initiatives
- Agencies swamped by government initiatives
- Cross cutting project has questionable coherence
- Cross cutting efforts not subject to performance management
- Inadequate time allowed by Executive for cross agency consultation
- Policy/fiscal accountability unclear in partnership/joined up situation (Hogg 2000 cited by Crowley 2004: 49 - 50).

There is a clear and pressing need for a whole of government or even a cross jurisdictional approach to identifying and making public information about joined up initiatives. This information could be used by practitioners to find organisations with shared concerns and by decision makers seeking to enhance efficiency and effectiveness of efforts. Aggregated and analysed information would assist policy makers to identify resource expenditure, avoid duplication of effort and identify gaps in service provision.

Agree what business you are in

The enthusiasm to get started on a joined up initiative can result in parties rushing into arrangements without giving due consideration to what they are trying to achieve.

Answering the “What” Question

Sometimes networked government fails not because of how a particular venture is managed, but because of what was delegated in the first place. All too often, precious little thought is given to the question of mission and strategy: what policy goals the agency hopes to accomplish and how that relates to what it wants the members of its network to do (Eggars & Goldsmith 2004: 10).

While the driver for parties to join together may be that they share similar concerns, it is unlikely that they will share precisely the same goals. The lack of goal congruence is a barrier to successful joined up arrangements:

Government networks tend to be formed around delivering a service where outcomes are often murky, difficult to measure, and may take years to realize. Making it even more complicated is that organizations participating in

networks often have differing but overlapping goals (Eggars & Goldsmith 2004: 10).

The need to develop a mission, strategies and goals is integral to traditional government systems and processes. Their absence from joined up initiatives may reflect the parties lack of awareness of just how different these sorts of joined up approaches are.

Developing the Business Model

Once there is a clear agreed understanding of the mission, strategies and goals of the arrangement a business model must be designed to deliver those outcomes. Ensuring that the form of the business is most appropriate to achieve the desired outcomes is also dependent on factors like what funding is available and the legal obligations of parties.

A systematic approach to creating an appropriate business model is provided by the NSIF. In the United States the Federal Government has taken an enterprise architecture approach to designing their business models (United States General Accounting Office 2002). These approaches are significantly different. If they were used together to facilitate a joined up arrangement, the outcome would be a more comprehensive approach than either could deliver if used alone.

Whichever approach is taken a conscious effort needs to be taken to design the appropriate business model to support the joined up arrangement:

A network doesn't just happen. Someone must first figure out how to fuse a collection of organizations into a seamless service delivery system. The job of this network designer and activator is to see how all the pieces of the network should work together, identify possible partners, bring all the relevant stakeholders to the table, and determine what resources will be used to keep the network together. The activator faces the challenge of being respectful enough of the knowledge of the partners to create a malleable model, but clear enough in mission that everyone understands the common goal. The success or failure of a networked approach can often be traced back to how it was originally designed. By defining how the network is governed, the design provides the structure that allows for the flow of information and resources within the network. Like a good roadmap, a sound design helps government reach its ultimate policy and operational destination. No matter how well the network is managed, even slight flaws in the design can waste partners' time and energy and create considerable problems later on (Eggars & Goldsmith 2004: 10).

Need For Consistency at All Levels of the Organisations

In his paper *Leadership and Governance* Farland draws on a number of sources to emphasise the need for alignment of systems and processes throughout the organisation, not just at the delivery end of the service:

Joined-up front-end consumer interfaces are important, but they will not automatically produce a discipline of holistic working throughout the back offices of the public sector. It is important to develop strategies for integration at the policy level, through the back offices and at the front-end, at the same time (*Wiring It Up* cited by Farland 2003: 15).

The difficulty of achieving this should not be underestimated however barriers to a consistent approach are often the result of internal organisational values and practices rather than prescribed legal regulations:

Often what appear to be accountability barriers are in fact rules and procedures required by individual departments. They are put in place in response to Treasury Board or Auditor General requirements for clarity and due process. The inconsistency of these rules and procedures between organizations and agreements can create a real challenge (Canadian Centre for Management Development 2001 cited by Farland 2003: 22).

Leaders and negotiators of joined up agreement need to have a sound knowledge of legal and regulatory requirements that impact on the initiative. This knowledge will enable them to differentiate between systems and processes that are essential to deliver legislative requirements and those that have grown in agencies due to individual or historical reasons.

Identifying differences that are based on the preferences of organisations rather than grounded in legal and regulatory requirements does not automatically result in parties agreeing to adopt a standardised approach:

Most of the barriers can be located within the organisational cultures of participating agencies or the specific service system. For example, at the organisational level, this can include diverse professional values, strong identification with a particular professional approach and disregard for other, different, theoretical explanations or methodologies, a reluctance to acknowledge other expertise, and a lack of respect for other professions (Queensland Government 2002: 18).

Overcoming these barriers can be achieved through the application of considerable authority, as has been the case with the Western Australian Shared Services project which has the support of the Premier and all of Cabinet (Office of Shared Services 2005), or through persuasion, communication, building trust and a culture of cooperation.

4.4.5 Technical Frameworks

In 2002 by the President of the Canadian Public Policy Forum, David Zussman identified the transformational possibilities delivered by ICTs in government:

... e-government is a much more massive transformation than electronic service delivery. E-government is multi-faceted: it deals with information technology as a tool of government, as an object of government's attention, and as a major factor in shaping the social and economic environment in which government acts. Looked at this way, e-government can and does implicate all aspects of public service. These technologies enable the pooling

of information and thus flatten traditional management hierarchies by expanding access to both information and people. They've facilitated the development of a global economy and global social movements. They've created a new set of expectations among citizens for access to information and services (Zussman 2002: 4).

Throughout the 1990's advances in information and communications technologies (ICTs) were adopted in an uncoordinated manner by government agencies as they sought to automate their systems and processes. While ICTs delivered capacity for joined up approaches, the proliferation of incompatible systems prevented seamless data exchange and transactions.

In order for networked government to succeed, agencies must be able to seamlessly, electronically connect at multiple levels – with each other and with private and non-profit partners (Eggars & Goldsmith 2004: 14).

A consistent approach towards the adoption of ICTs was required to deliver this enhanced capability.

Interoperability Frameworks

Recognition of the limitation imposed by incompatible systems resulted in an emerging industry that identifies and advocates information and communications technology standards. Governments in the United Kingdom, New Zealand and Australia selected the most appropriate standards from those identified by information and communications and technology standard organisations like OASIS, W3C and the Internet Engineering Task Force and recommended those for use across government agencies.

The UK government was the first to identify the need for a standardized approach. In October 2000 the UK's e-Government Interoperability Framework (e-GIF) was launched which:

...sets out the government's technical policies and standards for achieving interoperability and information systems coherence across the public sector. The e-GIF defines the essential pre-requisite for joined-up and web enabled government. It is a cornerstone policy in the overall e-government strategy (UKgovtalk 2001).

New Zealand followed the UK lead in 2002 and Australia in 2004.

In Australia the first versions concentrated on

- **Interconnection:** These standards are for the mechanisms required for exchange of electronic information and protocols for managing the connection. It is based around the Internet, transport and application layers of the TCP/IP network model.
- **Data Discovery and Exchange:** This category deals with the description and discovery of metadata and for the content, definition and exchange of data (web services, schemas and transformation).

- **Accessibility:** This element is particularly important in Western Australia where there may not be good quality Internet services available to regional and remote areas. Issues of accessibility also need to be considered to ensure that people with a disability can access the site (Western Australian Office of E-Government 2004: 5).

The UK is currently up to Version 6, New Zealand's third version is currently out for consultation and Australia has just published its second version. The first versions provided high-level standards that were easily adopted over time. The latest versions are providing quite detailed, industry specific XML standards and knowledge management frameworks that set the scene for a consistent approach to communications and transactions across systems.

Knowledge Management

Data Discovery and Exchange must be supported by a consistent approach to knowledge management. The emphasis on the creation of knowledge management frameworks focuses on how to achieve a consistent approach that supports simplification, automation, sharing and aggregation of data.

The *Connecting Government* report identifies that:

Working successfully across Australian government agencies, other jurisdictions and the private sector relies on better information sharing and requires structured approaches to the collection, reuse and sharing of data and information (Management Advisory Committee 4 2004: 57).

Throughout Australia there have been a number of efforts to identify standards that provide a consistent approach to the management of information. The Office of the National Archives of Australia (NAA) has contributed to efforts to provide "a structured approach" for Australian governments by identifying the Australian Government Locator Service (AGLS) that stipulates how metadata should be applied to web information.

Standards Australia is the most common authority for both local and international standards recommended for use within Australia. It is a quasi government organisation and it provides a number of publications, like the AGLS standard. It also provides standards like that for recording a name and address that is being adopted across governments.

More detailed industry specific information management standards are provided by some industries. For example, there is a significant body of work that has grown from efforts to create consistent geospatial information, and the health, defence and education industries have their own standards and knowledge management strategies.

The Education Network of Australia (edNA) resource is an example of a consistent a coordinated and managed approach to information sharing that supports professionals within that industry.

EdNA Online is a service that aims to support and promote the benefits of the Internet for learning, education and training in Australia. It is organised around Australian curriculum, its tools are free to Australian educators, and it is funded by the bodies responsible for education provision in Australia - all Australian governments (EdNA 1996).

A key success factor to the edNA project is that it has been resourced, managed and supported by a knowledge management approach.

The *Connecting Government* report provides some sample principles that could be used by organisations when they are creating their own knowledge management approaches:

- information should be available to be shared by others who have an appropriate business requirement
- data should be collected in a consistent manner and should be transferable across organisations and be reusable ('create once, use many times') while conforming to privacy provisions and security standards
- standardised data management practices should be used where possible in order to share and improve access to data and information
- expenditure on information management should be treated as an investment, not a liability
- data collected should be timely, relevant, accurate and cost-effective
- agencies should look to provide a net social benefit from their information holdings
- people should understand the value and knowledge that can be generated from the information they use, and the cost of generating that information
- people have both information rights and responsibilities when they manage and protect information (Management Advisory Committee 4 2004: 67).

These standards provide a good starting point for agencies wishing to create a framework for the consistent management of data. They are comprehensive and general enough to be applicable to any information management endeavor.

Centralization and aggregation of information depends on the creation of standard information management environments. This standardization will result in the loss of some of the knowledge that surrounds the original information. Centralization and aggregation also rely on the interoperability of ICT environments so that data can be transferred from its point of entry to the central database. Users of centralised aggregated data need to be aware that it has been removed from its original context and has lost the tacit knowledge that was provided by that environment. Hess discusses some of the issues that arise from this centralisation of data in the context of its use by market economists and suggests an alternative approach:

The answer to the question: 'where is the knowledge?' was 'in the bureaucracy with the experts'. Public officials who approached community consultation from this positivist point of view were unlikely to be able to connect successfully with their target communities or to generate new knowledge in the process.

The alternative approach begins with a constructivist approach to knowledge. In this approach knowledge is not presumed to be pre-existent either in the bureaucracy or in the communities. Rather it is seen as emerging from the society-state relations of which community consultation may be an expression. Here communities of location or interest become the venue in which knowledge is created and in which judgments about the value of particular information is made by those closely concerned with it. A simplistic administrative approach is to suggest that the role of public officials might be to facilitate exchanges of ideas and understandings (...) A deeper understanding is that administrators need to be integrated into the exchange of ideas and understandings within those communities (of location or interest) which have relevance to specific areas of administration in question (Hess 2003: 3).

This approach to the disaggregation of data from its community is also recommended by Eggars and Goldsmith in what they call “Collaborative Knowledge Networks”:

By providing a technical and social infrastructure for collaboration and knowledge sharing, collaborative knowledge networks can improve networked government in six ways:

- Help transfer best practices throughout the network.
- Develop new knowledge and enhance learning.
- Flesh out solutions to daily problems.
- Reduce misunderstanding and build trust between network partners.
- Help the network partners learn from each other’s successes – and more importantly – from their mistakes.
- Help government to better integrate and align the efforts of their partners with their strategic objectives (Eggars & Goldsmith 2004: 16).

Knowledge or information sharing through such a community is also best achieved by using a standard knowledge management framework.

Security

While increased interoperability is increasing capability for integrated service delivery concerns about the security of personal and confidential information are also increasing. In Australia there have been attempts to provide consistent approaches to ICT security. One of these was the development by the Commonwealth Government of a regime called Public Key Infrastructure (PKI), which is a complex encryption, password and keyword enabled approach. Many agencies have determined that their security needs do not warrant such a complex regime.

The Commonwealth government also created Fedlink which is:

a Virtual Private Network (VPN) that allows Commonwealth departments and agencies to transmit and receive information securely to “protected” level using the Internet (Australian Government Information Management Office 2003a).

The Australian Defence Signals Directorate defines the categories of security, like the “protected” standard used by FedLink. (Defence Signals Directorate 2005) The

Defence Signals Directorate standards guide government agencies in Australia that are seeking to identify information assets and allocate sensitivity classifications to them. Standards Australia then provides further information and advice to ensure a consistent approach to the management of that information (Standards Australia 2005).

Once business decisions have been agreed about the level of security required for an initiative, technical solutions can be created to meet the business needs. These solutions are part of a secure environment that includes business processes as well as technical solutions.

5 Case Study Environment

This section of the report identifies key factors impacting on the case study environment. It describes:

- The rapid growth of IPAA and the consequent request from regional public servant to be given access to IPAA services;
- The geographical context of the case;
- Cultural issues impacting on the regional case study population;
- The training environment; and
- Costs and resource demands relating to delivering resources in Albany.

5.1 IPAA

In the two years between the 2002/3 and the 2004/5 Annual Reports the Western Australian Division of IPAA had tripled the number of conferences, seminars and training programs that it delivered and increased its membership by almost 60% (IPAA Western Australia 2004). In early 2005 it had received requests to extend the provision of its services to regional Western Australia.

The IPAA Council established a small Working Group of its members to investigate how it could deliver services in regional Western Australia.

5.2 The Regional Centre of Albany

The town of Albany was investigated as the sample regional centre where IPAA could begin to deliver its services. Albany was an ideal location to investigate because:

- The delivery of IPAA services in regional Western Australia could not be subsidised from fees paid by members in the city. Albany is one of the largest regional centres in Western Australia with a population of 25,000. This population could be large enough to financially support the delivery of IPAA programs.
- Albany is 409 kilometres from Perth. The cost of travelling from Albany to Perth would be a barrier to public servants wishing to attend IPAA events. The only way that public sector employees in Albany could readily attend IPAA events would be if they were conducted in Albany.

5.3 Cultural Issues Impacting on the Study

5.3.1 General

The public servants interviewed indicated that:

- They had all made their homes in Albany and had no plans to leave Albany.
- They talked of moving to Albany as a lifestyle choice.
- They expressed their desire to contribute to making Albany a better place and were interested in IPAA services in that context.

Some of the public servants interviewed knew all of the people that were interviewed and had worked with them on cross government programs.

5.3.2 Commonwealth Government

The Commonwealth funded Area Consultative Committee identified sixteen different cross government and cross sector committees that operate in the region. The Area Consultative Committee was the organisation most likely to know about the activities of all of these committees. It saw part of its role as communicating between these different committees so that all parties were aware of what was happening, duplication of services was reduced and gaps identified and addressed.

The Area Consultative Committee was the organisation most concerned about public servants in the Albany region missing out on IPAA services that were available to public servants in the city.

5.3.3 State Government

Public servants representing nine different State government agencies were interviewed. Many of them had worked together on cross government issues and some knew each other socially. It was clear that the success of a proposal to deliver IPAA services in Albany would need the support of these people.

One of the interviewees suggested that those people interviewed be brought together to work out an IPAA program for the region.

5.3.4 Local Government

The Albany City Council expressed less interest in joined up arrangements than State and Commonwealth Government interviewees. The only activities of this kind that the Council undertook were of the Service Delivery Integration kind where cross government approvals are required or where a service is paid for by State government and delivered in Local Government as is the case with environmental health officers.

The Albany City Council had made a strong commitment to training and had a training program in place that met the needs of Council staff. There was no interest in participating in an initiative that would involve IPAA.

5.4 The Training Environment

5.4.1 Introduction

The letter introducing this project was the first the interviewees had heard about IPAA potentially providing training in Albany. Few interviewees knew about IPAA and were non committal about IPAA delivering services in Albany. One openly expressed concerns that IPAA would be intruding on the business of her organisation.

While there was no general enthusiasm by public servants in Albany to work with IPAA to support the delivery of training to public servants in the region, resistance

would only result if IPAA services competed with training already being delivered by one of the existing service providers.

5.4.2 Current Training Initiatives

There are a number of training services provided in Albany:

- The Great Southern TAFE College delivers training to support the needs of industry in the Albany region. This training is of both the generic kind, like report writing skills and skills needed by specific industries in the region.
- The University of Western Australia has a campus in Albany that provides a range of mainstream university courses and short courses. The staff at the campus are part of the Albany community. They are aware of business and community developments in the area and seek to deliver education and training services to match emerging needs. They have very good online training facilities but their clients have not been interested in taking up opportunities to use these.
- As a separate enterprise, the University of Western Australia has established the Centre for Regional Innovation and Enterprise (CRIE) that is coordinating services provided by a number of organisations to deliver management training to business owners and managers in the region.
- In mid 2005 the University of Western Australia also won a \$490,000 Australian Research Council Linkage Grant with the South West Aboriginal Land and Sea Council to examine enterprise and entrepreneurship among WA's Noongar community.
- The Business Enterprise Centre exists to support the needs of self-employed small business owners in Albany. It runs workshops and seminars to meet the needs of this client group.
- The Australian Institute of Management that is based in Perth was cited by a number of people interviewed as a provider of management training in Albany.
- Industry specific training is also delivered. For example, Department of Education and Training staff participate in professional development programs for educators in Perth and locally. Similarly the Health Department staff participates in training provided in Perth and locally and they also receive training programs via videoconferencing facilities at the hospital.
- The Water Corporation explained that contractors employed through the Perth central office provide training to staff in the regions. When this training is provided in Albany spare capacity is sold or given to people in other organisations.
- The Chamber of Commerce and Industry is also a participant in the delivery of training. It publishes a program of events delivered by all training providers in

its newsletter. This has occurred partly in an effort to reduce duplication of programs.

- The Great Southern Area Consultative Committee works to coordinate service delivery in Albany. It has recently undertaken a project called “Learning City – Learning Region Growing the Great Southern” that provides a strategic framework for enhancing the social and economic climate of the region.
- In mid 2005 the Great Southern Area Consultative Committee conducted a *Workforce Planning Seminar* that attracted 140 participants from governments, church and community groups and representing many industries. The aim of this seminar was to gather information that would be used to develop a strategy that addressed labour shortages in the region. All training provider organisations in Albany were represented at the seminar.
- The Great Southern Regional Development Commission has a focus on supporting the establishment and growth of industry development projects. It is a key stakeholder in the provision of services to industry in Albany and works with, supports and is supported by the community of different training service providers.

While none of these training providers focuses specifically on the needs of public servants, there are a number of competing training providers all trying to meet the needs of the region. They share information with each other and, if there is no perceived conflict of interest, they use their networks to advertise and support each other's initiatives.

5.4.3 Support for Initiative

Interviewees understood that as IPAA is a not for profit organisation with limited resources the successful delivery of IPAA training in Albany would require collaboration between IPAA and interested stakeholder in Albany. There was no one organisation identified by interviewees that would be the logical partner in such an arrangement. Some people indicated that TAFE would be the logical organisation; the University of Western Australia expressed general interest. There was no enthusiasm for forming a committee of volunteers to support the endeavour. The Area Consultative Committee said that as IPAA was a not for profit association it could be eligible for a grant to get the program started. The Area Consultative Committee offered support to investigate grant opportunities and write a grant application.

5.4.4 Interest in IPAA

None of the interviewees were members of IPAA, ten did not know what IPAA was and only two had ever attended an IPAA event.

One of the interviewees expressly stated that the networking opportunities provided through IPAA events were not relevant in Albany where public servants generally know each other.

A list of IPAA 2005 courses and breakfast seminars had been sent to interviewees so that they were aware of the services that IPAA offered and so that they were able to consider what sort of programs people in Albany might be interested in⁵.

IPAA Courses

Most interviewees explicitly stated that TAFE delivers a number of the generic programs that were identified in the 2005 IPAA Program that was delivered in Perth, like Advanced Report Writing, Essential Grammar, Spelling and Punctuation and Report Writing Skills.

One person said that the course on Ministerial Briefings and Letters Writing would not be of any interest to people in his agency as he was the one who wrote them all and he had been doing so for years.

There was more interest in programs that developed skills that related to working in government but that were more generic than Ministerial Briefings and Letter Writing. The courses that were considered to be so specific to government that they did not intrude on training already provided in the town, but generic enough to be of interest to a number of participants were:

- Financial Statements in the Public Sector – what do they mean?
- The Budget Process, Cycle and Preparation; and
- Key Performance Indicators and Agency Reporting.

IPAA Breakfast Seminars

Two of the senior staff interviewed expressed an interest in attending breakfast seminars with high profile speakers of the calibre that presented at IPAA breakfasts in 2005. Only one of these said that he would be interested in watching such an event through real time videoconferencing facilities.

5.5 Cost and Conditions for Providing IPAA Training in Albany

5.5.1 Support Required by Training Consultants

The Questionnaire sent to contract trainers identified that IPAA would provide course advertising, registration, venue and facilities and hospitality. It pointed out that no IPAA representative would be on site and asked what support they would require.

Most of the respondents pointed out that there would need to be a venue, transport to it, accommodation provided if an overnight stay was required and a list of attendees. Some identified the need for standard training resources like a whiteboard, data projector, photocopying of handouts and name badges for participants. Interesting requests were for a basic profile of participants, the imperative that a person would be available to address technical difficulties if an overhead projector was not working, a

⁵ A list of interviewees is identified in Appendix 1

request for a contact to deal with other issues like hospitality problems on the day and the need to ensure the quality of the venue and training facilities. Apparently one of the issues faced by travelling trainers is that the venue is often sub standard because no one has checked.

5.5.2 Cost of Training

The cost of providing training in Albany would need to be met by participants. As many of the training programs would need to be delivered by consultants from Perth the cost of providing that training was investigated⁶ and an average price was identified. This price was then compared to an average cost of sending a participant to Perth. The costs of both a two-day and a one-day course were calculated.

Sample Cost comparison – 2 Day Course

Break Even Cost for 10 people training in Albany		Cost for one person to travel to Perth for 2 days training.	
Facilitator Cost	\$3800	Course cost	\$1200
Training Materials	\$600		
Venue Hire	\$800		
White board/ projector/ audio visual aids	\$500		
Advertising	\$1000		
Morning & A/noon Tea (10 people x 2/day)	\$300		
Lunch x 2days x 10 people	\$500		
Air Fare	\$370	Air Fare	\$370
Accommodation/ Travel Allowance 2 nights	\$400	Accommodation/ Travel Allowance 2 nights	\$400
Transport/Taxis	\$200	Transport/Taxis	\$200
Certificate organisation, printing and postage	\$100		
Course registration and organisation	\$500		
Total Cost	\$9370 = \$937/ person		\$2170 per person

Cost comparison 1 Day Course

Break Even Cost for 10 people training in Albany		Cost for one person to travel to Perth for the course.	
Facilitator Cost	\$2000	Course Cost	\$400
Training Materials	\$300		
Venue Hire	\$400		
White board/ projector/ audio visual aids	\$250		
Advertising	\$500		

⁶ A copy of the Questionnaire sent to training consultants is provided in Appendix 3

Morning & A/noon Tea (10 people x 2/day)	\$150		
Lunch x 2days x 10 people	\$250		
Air Fare	\$370	Air Fare	\$370
Certificate organisation, printing and postage	\$100		
Course registration and organisation	\$500		
Transport	\$200	Transport	\$200
Total Cost	\$5120 = \$512/ person		\$970/person

Clearly economies of scale can be achieved by ten people attending training in Albany, compared to one person travelling to Perth. The issue would then be to attract at least 10 participants to the training.

6 Application of Research to the Case Study

This section examines each of the Key Areas in the light of the research findings and identifies issues and strategies that would support a joined up agreement between IPAA and public servants in Albany that aimed to deliver IPAA services in that town.

6.1 Types of Joined Up Arrangement

If IPAA decided to extend its services to Albany it would need to identify more precisely what it was aiming to achieve so that it could then work towards a delivery strategy.

As most successful joined up arrangements are supported by a top down, comprehensive policy framework, the extension of IPAA services to regional centres in Western Australia would be most likely to succeed if this goal was incorporated into the IPAA strategic plan.

The characteristics of this high level strategic approach are identified in the *Wiring It Up* report (Wiring It Up cited by IPAA 2002:87). IPAA would need to consider:

- Organisational change – if the needs of regional public servants were to become an ongoing concern for IPAA an approach should be adopted that ensured that addressing their needs became an integral part of IPAA's strategies.
- Merged structures and budgets – as this would be a new initiative there would be no structures and budgets to be merged. A structure and budget would need to be developed to support the delivery of services to regional public servants and they would should be consistent with the traditional hierarchical structure of IPAA while accommodating horizontal management strategies between IPAA and the regional initiatives. The points of dependency between the central organisation and any regional activities would need to be robust enough to ensure that the central IPAA systems were enhanced rather than compromised through the joined up arrangements. IPAA should also ensure that its internal processes were standardised and that inconsistencies and redundancies were removed to enable the integration of regional services with the central office activities.
- Joint teams (virtual and real) – the size of Western Australia and sparseness of population outside of the regional centres make the “virtual team” approach one of the most interesting and cost effective options worthy of further consideration by IPAA. Government efforts to bridge the digital divide are improving telecommunications access in even the most remote communities. These could be used to extend the quest for “excellence in public service” to public servants in these remote centres.

- Shared budgets – the Working Group investigating the delivery of IPAA services to regional Western Australia identified the need for all training to be self-supporting. While this appears clear in the first instance, it may be more difficult in practise. For example, if a training contractor is employed to deliver training in the metropolitan and a number of regional centres, the price per delivery to numerous sites may be lower per delivery than a one off contract. The regional and metropolitan budget would therefore benefit from this financial transaction although it may take longer for staff in the central office to negotiate and support such a contract. Another example occurs where a visiting speaker is paid to come to Perth to deliver a program. If that person is then invited to present at a regional function, should the cost of the trip to Perth be shared between all members? The third example that requires consideration is the management of a grant, if one was received to support this initiative. The management of the grant and generation of an ongoing business model that would support the network would need to be considered by the parties to the agreement.
- Joint customer interfaces – one of the disadvantages of joined up service delivery is that it is not always clear which organisation is providing the service. In the case of this potential initiative the services of a partner, like TAFE or the University of Western Australia could be enlisted through a grant supported by the Area Consultative Committee to support the extension of IPAA services. If this happened the contribution of each party would not be obvious to the customer or decision makers.
- Shared objectives and performance indicators – while the IPAA Mission and Strategies provide high level objectives that could drive this initiative, the regional public servants would need to have significant input into the type of services that were required. One of the performance indicators would be the economic sustainability of the services. As long as this was achieved, the regional public servants could identify their own performance indicators for the services that were delivered.
- Consultation – parties to this initiative would need to negotiate a clear agreed goal. Once the goal was agreed further consultation and negotiation should occur to determine the nature of the services to be delivered and how they were to be delivered. Ongoing consultation should be built into IPAA processes if it committed to deliver services to regional public servants.
- Information exchange – the need to develop formal systems and processes that enable information to be collected, used and stored are discussed in the next section, Key Areas.

Once the top down policy and strategy framework has been developed decisions will have been made about how much IPAA needs to involve regional public servants in the endeavour in order for it to be successful. This will determine how much power needs to be shared and whether a Service Delivery Integration or an Integration Around Programs approach will be most appropriate.

6.2 Use of the National Service Improvement Framework

Once parties to attempting to solve a problem decide that a joined up agreement would enhance the efficiency and effectiveness of outcomes the step by step approach of the NSIF can help parties to work towards the development of the agreement.

The step by step approach through each Tier of the Framework is supported by a logical sequence within each Tier. For example, the first Principle within Tier 1 of the Framework is that:

All parties to a collaborative service delivery arrangement must pursue a common vision and understanding of the scope (Integrated Transactions Reference Group 2005a).

This would seem to be a logical first step to any project.

These Principles seem commonsense and reasonable but they are far reaching and should not be agreed to without due consideration. For example, Principle 2 states:

Collaborative service delivery will be customer-centric, seamless and streamlined requiring the customer constituency to be consulted and their views represented in decision making (Integrated Transactions Reference Group 2005a).

This approach and governance considerations are not necessarily easy to follow. Parties to an agreement would need to consider the implications of such a Principle before agreeing to comply with it.

Principle 3 states:

Participants must demonstrate, through action, a willingness to make collaboration succeed (Integrated Transactions Reference Group 2005a).

This is particularly helpful as it commits parties to work towards a joined up solution at the start of negotiations when their enthusiasm has not been drained by detailed negotiations and inevitable compromises.

There are nine Principles and each provides a logical progression towards agreement on the values and approach that will underpin the agreement.

The Tier 2 Statements of Intent begin with the governance and review of the NSIF. The first Statement should therefore be skipped by parties to the IPAA agreement. The other Statements all address high level policy and strategic issues that will help the smooth running of an agreement. Issues like performance management, risk management, privacy and training issues are dealt with. One issue that the Statements attempt to address is the contentious issue of Branding. Statement 9: Branding states:

9.1 Parties agree that the focus of branding will be on the service rather than individual agencies, although individual agencies may be acknowledged.

9.2 Notwithstanding clause 9.1, parties agree that individual agency or jurisdiction specific branding requirements will be resolved with an emphasis on the needs of the customer (Integrated Transactions Reference Group 2005a).

While this Statement does not stop some ministers, agency heads or project participants being unhappy with their lack of public profile, it does attempt to address political and media issues that are common to joined up initiatives.

There are twenty one Statements of Intent that will provide IPAA with a sound policy and strategic foundation to a joined up approach.

Tier 3 is the Collaborative Head Agreement addresses generic issues that apply to any agreement to collaborate and can be used to logically guide the development of an agreement between parties.

Tier 4 in a joined up agreement is the Project Specific Agreement that addresses issues specific to the project. These issues would need to be identified and documented as the next step to identifying the collaborative framework for the initiative.

Each of these Tiers addresses issues relating to five Key Areas. The next section discusses the literature findings relating to each of these Key Areas in the context of the potential agreement.

6.3 Key Areas

6.3.1 Corporate Governance Framework

IPAA is leading the investigations about extending the delivery of its services to regional Western Australia. This is consistent with its Mission to “Advance excellence in the public sector” (IPAA 2005).

If IPAA decided to achieve this through a joined up agreement with public servants in Albany a clear statement of its goal would need to be developed. How this statement was developed would depend on the how much participation with stakeholders it wanted to invite. The International Association for Public Participation’s five levels of community participation provides a continuum of choices:

- Inform – provide the public with balanced and objective information;
- Consult – obtain public feedback on analysis, alternatives and/or decisions;
- Involve – work directly with the public throughout the process;
- Collaborate – partner with the public in each aspect of the decision;
- and
- Empower – place final decision-making in the hands of the public (International Association for Public Participation 2002: Website).

Decisions about how much power IPAA wanted to retain would impact on the type of joined up arrangement that is created. If IPAA decided to retain control of the program and manage it from Perth, IPAA Council could undertake the development of the goal and strategies and would “inform” and “consult” with public servants in Albany. Training services would be purchased, organised and promoted from Perth and delivered in Albany by a training contractor in a venue hired for the duration of the training.

At the other end of the spectrum, IPAA would “involve”, “collaborate” with and “empower” people in Albany in a Integration Around Programs approach. A committee structure would be the most likely governance and management tool. Key success factors for this sort of arrangement would be negotiated agreement on clear goals, decision making processes and appropriate delegations of power and responsibilities. The varying interests of stakeholders would need to be balanced and decision making would need to be fair and transparent.

6.3.2 Legal Framework

Legal issues are often comparatively easy to resolve in joined up agreements as decisions are underpinned by the need to ensure compliance with the most rigorous legal regime that governs any party to an agreement. Privacy, copyright and records management are the three main legal issues that would need to be considered by parties to this potential agreement.

Privacy

The risk of personal information being used inappropriately would increase if it was collected and used outside of the IPAA central office. If IPAA began to deliver services with the support of public servants in Albany it is likely that personal information such as the names and contact details of participants in training or seminars would be collected and transported between parties. Clear guidelines on the management of that personal information would reduce the risk of it being used inappropriately.

As there is no privacy legislation guiding how this personal information should be managed by IPAA. Principles identified in the Federal Privacy Amendment Act (2000) can be used to guide the development of appropriate processes.

Principle 5 of this Act states:

An organisation must set out in a document clearly expressed policies on its management of personal information. The organisation must make the document available to anyone who asks for it (Privacy Amendment Act 2000: Principle 5.1).

The first step for IPAA in regard to privacy would therefore be to develop a privacy policy and supporting procedures and make them available to anyone handling personal information and to members and participants in IPAA events.

While the policy and procedures should be guided by all of the Principles, they should take particular care to address the ones that relate to what information should be collected (Principle 1 Collection) and to how personal information can be used and disclosed (Principle 2 Use and Disclosure).

Collection

Decisions about what personal information an organisation collects should be guided by the Principle that personal information should only be collected if it is necessary for one or more of its functions or activities (Privacy Principle 1.1 2000) and that reasonable steps should be taken to ensure that the individual is aware that it is being collected (Privacy Principle 1.3 2000).

Use and Disclosure

The privacy policy should consider how personal information that is collected is to be used. If the names and contact details of participants in a training program or seminar are to be used for direct marketing of future IPAA events this should be made explicit and the individual should be given a choice for the information to be used for this secondary purpose.

Copyright

Trainers contracted by IPAA typically provide their own training resources. If IPAA contracts the development of training resources then ownership of that intellectual property and conditions for its use should be included as part of the contract.

Difficulties relating to ownership and use of intellectual property are more likely to arise from voluntary work that results in the development of information or products that have a commercial value. As IPAA is supported by the goodwill of members and particularly the IPAA Council, it is possible that a dispute over ownership and rights to use intellectual property could arise. The risk of this type of dispute occurring could increase as the organisation grows and diversifies. There is no clear procedure for dealing with such disputes.

The development of a policy about intellectual property rights that supports the aims of IPAA and honours the goodwill of members who contribute to the development of these resources would help to avoid possible disputes.

An IPAA grievance procedure would provide a process through which to resolve conflicts about intellectual property, or any other conflicts that are increasingly likely with the growth and diversification of the organisation.

Records management and archiving

As IPAA is an association, not a government organisation, it does not need to comply with the State Records Act (2000). If it decided to work in partnership with a government agency to deliver services in Albany or if it received a government grant

it would need to ensure that its records management and archiving processes supported its partner's legislative obligations.

6.3.3 Financial management

Successful joined up initiatives provide a high level strategic approach that provides linkages between the plans, the reports and the budget processes (Wilkins 2002). The strategic approach created through the establishment of the Working Group demonstrates the Council's commitment to a high level strategic approach.

The comprehensive policy framework underpinning the initiative would need to address strategic decisions about how budgets, discounts, subsidies and grants would need to be managed.

The fact that IPAA is a not for profit organisation may mean that it is eligible for a financial grant to subsidise the initiative. The Great Southern Area Consultative Committee was concerned that public servants in Albany did not have access to IPAA services and suggested that it work with IPAA to identify opportunities to apply for a grant that would support the initiative. If grant funds were provided to support the initiative there will be responsibilities and accountabilities associated with that grant that need to be addressed and included as part of IPAA's financial management processes.

If a Program Integration model of joined up initiative was created a committee structure is likely to manage the operations of the initiative. It would need to make decisions about establishing bank accounts, spending rights, charging and paying accounts and how it was going to demonstrate accountability to the IPAA Council. The Committee would also need to decide on criteria that guide how funding decisions are made.

Other considerations would include how to cover losses and what to do with surplus funds.

6.3.4 Business Rules Framework

Choosing a Business Model

IPAA currently adopts a Service Integration approach to service delivery. The extension of this approach to deliver services to public servants in Albany would require less effort than establishing an Integration Around Programs approach although it would limit the level of participation by Albany public servants in the initiative. Research undertaken of the Albany environment made it clear that the support of people within the region would be a critical factor in the successful delivery of IPAA services in Albany.

A Program Integration approach that is characterised by ongoing cooperation and collaboration of a community of problem solvers would engage the support of Albany public servants but it would also increase the complexity of the initiative. An

Integration Around Programs approach would require the following decisions to be made:

- How to govern such an approach? This could include considerations about how IPAA can reflect the needs of regional public servants, how to balance power, responsibilities and risk and how to ensure transparency and accountability of processes.
- How to create seamless business processes? Parties in a community of problem solvers have points at which their businesses processes interconnect. Business processes at these points must be standardised to ensure seamless transactions and information flows.

The risk of something going wrong is greater in an Integration Around Programs agreement. The Principles and the Statements of Intent provided in the NSIF are particularly appropriate for use when developing Integration Around Programs agreements and IPAA could use these tools to support the creation of the most appropriate business model for the initiative.

Leadership

The provision of leadership that has high status would help to “kick start” an agreement between IPAA and public servants in Albany. This would help to gain the attention of public servants who have little knowledge or interest in IPAA. It would be incumbent on that leader to communicate a clear high level goal that engaged the interests of potential participants in an agreement. This should be followed by leadership that is flexible and inclusive so that potential participants were comfortable that their ideas would be heard and needs respected

If an Integration Around Programs model was chosen, the level of skill required by the leader is high. Once potential parties to an agreement become engaged in the overarching goal, the leader would need to negotiate a more specific set of goals and strategies to achieve them with those parties. This approach would need to balance the needs of IPAA, with the needs of public servants in Albany.

6.3.5 Technology

IPAA currently uses the Internet and email to deliver more efficient and effective services. These services are not location dependent and would be equally available to any public servants who had good Internet access. The Internet could be used to make bookings and undertake non financial business transactions in regional centres.

The security provided by online banking could be used to support online payments by IPAA for services ordered in the regional centre or to accept payments from course participants.

Videoconferencing facilities are available at the Albany campus of the University of Western Australia and at a number of government agencies in Albany. It was reported that these are used to support industry specific training, like the provision of specialist training to nurses at the regional hospital. There was no interest in using these facilities to undertake general training of the type that IPAA offers and only one

interviewee expressed any interest in viewing the breakfast seminars that IPAA conducts.

Arrangements for the delivery of IPAA services in regional Western Australia would best be supported by an information architecture that included information management principles, a privacy policy, policies for data protection and ownership and standardised procedures that enable data sharing and aggregation.

While this approach will initially provide an interoperable network it also provides the foundation that could be used to establish an online community of public servants that could enhance IPAA goals and strategies state wide and nationally. It could also support the development of an international online community of public servants.

6.4 Case Study Overview Conclusion

The simplicity of the case investigated in this research and the plethora of the options that are available to deliver a joined up agreement highlight the complexity of joined up solutions.

At the core of this particular joined up solution is the question of power. The traditional IPAA service delivery model is hierarchical and centralised. It has the option of moving to a collaborative approach which is much more customer-centric although this move requires delicate and skilled management as well as the creation of new financial management models, policies and standards, an overall standardisation in IPAA operations and creation of a framework that will support horizontal information sharing and management.

Before embarking on a joined up agreement IPAA should:

- Develop a broad understanding of what it is endeavouring to achieve.
- Clearly identify the benefits to be gained from a joined up approach.
- Identify how much it wishes to engage with public servants in Albany as this will help to determine the type of joined up approach.
- Allocate time and resources to be used to plan how the parties to a joined up agreement will work together.

When a decision has been made to embark on a joined up agreement and the degree of desired engagement and power sharing has been determined parties to the agreement should use the allocated time and resources to:

- Clarify specific goals to be achieved.
- Plan how they are going to achieve those goals by using a systematic planning approach, like the NSIF.

This systematic approach to providing systems and processes to support a successful agreement is most likely to deliver a successful outcome.

7 Conclusions and Future Directions

Joined up service delivery is becoming an increasingly important adjunct to traditional government that addresses duplication of effort, gaps in service delivery and disjointed approaches to problem solving resulting from the division of powers between agencies, governments and sectors. Despite the growth in popularity of joined up approaches the outcomes frequently fail to reflect the efforts and aspirations of participants.

The failure of many joined up approaches is due to a lack of awareness of the need to create appropriate infrastructure to support the approach. There are three main categories of approach to joined up agreement and different infrastructures are required to support each of these categories:

- A Whole of Government approach – this describes the high level approach to join up the efforts of government agencies to solve a shared problem. They are generally characterised by a high level mission and goals and by the identification of a strategic approach.
- A Service Delivery Integration approach – these initiatives are characterised by the collection and delivery of information and services relating to one issue or type of customer. They are usually delivered through contracts for services.
- Integration Around Programs – these attempt to join up the resources of organisations with similar concerns to solve multifaceted and/or “wicked problems” through a customer-centric approach. Work is still required to identify systems and processes that will easily enable these initiatives.

In 2002 the Online Council identified the need for a strategy that supported “integrated service delivery” and set in place a process that delivered a Framework that addressed five Key Areas:

- Governance
- Legal
- Financial
- Business Rules
- Technical

The research for this report investigated literature relating to these Key Areas, related findings to the case study and found that:

- Joined up solutions are emerging as a significant adjunct to traditional government approaches to problem solving and service delivery.
- Joined up solutions often fail to deliver outcomes that satisfy the aspirations and efforts of participants.
- Even comparatively simple joined up solutions require consideration, negotiation and compromise to achieve agreement on how parties are going to work together, before they begin to develop solutions.

- There are three categories of joined up approach and they each require different governance and management systems and processes.
- Some joined up approaches to problem solving can be delivered by government agencies using systems and processes that are similar to those that deliver traditional government services.
- Customer centric joined up approaches require a transfer and sharing of power from government agencies and the use of different systems and processes.
- The “soft skills” required to develop and manage joined up agreements are not generally valued and rewarded by traditional government systems and processes.
- Meta approaches, such as the NSIF, provide a useful infrastructure that can support joined up agreements.
- A systematic, well resourced approach to coordinating and managing emerging systems and processes that deliver joined up solutions would reduce duplication, and risk and enhance consistency across initiatives.

Advances in each of the Key Areas are continuing to be developed by auditors, accountants, lawyers, business analysts and those concerned with technical interoperability. While these advances are being written about extensively practitioners continue to begin work on joined up agreements with little or no knowledge about how to do it. Learning how to achieve joined up solutions has been difficult as there is no convenient, single, comprehensive approach that is appropriate for all situations. The NSIF and supporting literature, guidelines, templates and checklists provides a sound starting point for those wishing to create a joined up solution.

By following the NSIF novice practitioners can reduce the need to be aware of how to do it and they can reduce risk and duplication of effort.

The NSIF is new and in order to become an easy tool for practitioners to use further enhancements are required:

- While public servants may welcome such a prescribed approach to achieving joined up service delivery while maintaining government accountabilities, the NSIF may be less useful when working with community members or volunteer group members who are unfamiliar with such bureaucratic processes. As the NSIF is new there has been little opportunity to test this approach with non-government parties to an agreement and approaches to these situations have not been developed.
- The NSIF is new and this report has already identified advances in the Key Areas that enhance the NSIF. Maintaining the currency of the *Framework* will require ongoing effort.
- The research has identified issues that need to be addressed in each of the Key Areas so that clear guidelines and recommendations can be developed to build the “reservoir of resources” at Tier 5 of the *Framework*.

- There is a need for new guidelines, checklists and recommendations to contribute towards a *Framework* in which all of the Key Areas remain compatible.
- This report identifies gaps in the NSIF, such as the management of Branding and Intellectual Property issues. These two Statements of Intent need further investigation and refinement so that conflicts between parties to an agreement can be avoided.
- There has been little opportunity to develop and implement strategies, such as training programs, to support the use of the NSIF across and between jurisdictions.
- The development of a database of joined up initiatives would support information sharing between practitioners.
- Initiatives that share common *Principles*, Statements of Intent and Collaborative Head Agreements are well placed to work together. A database of these initiatives would increase opportunities for further joining up to occur.

Despite these issues, the NSIF provides an infrastructure that supports innovative joined up service delivery and problem solving while also meeting the needs of government agencies to be responsible and accountable to the political arm of government and to citizens.

The use of the NSIF or similar frameworks that deliver an infrastructure where traditional underlying systems are not appropriate is essential. A strategic approach to increasing awareness of the need for a consistent alternative infrastructure is required. This strategic approach needs to be supported by:

- The development, coordination and promotion of tools, like the NSIF, that deliver joined up agreements and also accommodate the accountability needs of traditional government.
- The creation and delivery of training programs that develop knowledge and skills required to negotiate and manage joined up solutions.
- The implementation of human resource management strategies that recognise and reward the “soft skills” required to deliver joined up solutions.

Pressures for governments to be more accountable to citizens, increasing expectations of citizens to participate in decision making and growing recognition by governments of the need to engage with citizens in solving problems are contributing towards more customer-centric approaches needing to be accommodated by governments. Strategies that support successful joined up government initiatives are gradually becoming more sophisticated and joined up approaches are being recognised for their capacity to deliver solutions that complement and enhance traditional government processes.

Appendix 1 Albany Contacts

Albany Chamber of Commerce & Industry Inc
Jo Hummerston – Chief Executive Officer

Albany District Education Office
Mark Paynter

Business Enterprise Centre
Kay Geldard - Manager, Workshop Program

City of Albany
Andrew Hammond - Chief Executive Officer

Community Justice Services (Department of Justice)
Moray McSevich - Regional Manager, Great Southern

Dept of Community Development
Tim Christie - Acting District Manager

Great Southern Area Consultative Committee (WA)
Len van der Waag – Executive Officer
Vicki Brown – Small Business Field Officer

Great Southern Development Commission
Bruce Manning – Chief Executive Officer

WA Country Health Services - Great Southern Region
Keith Symes – Regional Director

Great Southern TAFE
Sue Bennet-Ng

University of WA – Albany Campus
Barbara Black - Director
Randall Jasper – Development Manager

Water Corporation
Mary Berger - Human Resources

Appendix 2 Questionnaire

IPAA Professional Development Questionnaire⁷

Question 1

Which of the following professional development courses would be of interest to your organisation?

Course Title	Duration	Please circle Yes or No
Advanced Report Writing	Half day	Yes / No
Essential Grammar, Spelling and Punctuation	Half day	Yes / No
Writing a Supporting Case	Full day	Yes / No
Gender Analysis Training	Half day	Yes / No
Effective Networking 1: Skills Set and Process	Half day	Yes / No
Financial Statements in the Public Sector – what do they mean?	Half day	Yes / No
How to Structure an Oral Presentation	Half day	Yes / No
Writing Skills for Modern Government	Full day	Yes / No
Rapid Fire Project Management	Full day	Yes / No
Report Writing – an introduction and refresher	Half day	Yes / No
Inside Government: The Legislative Framework	Full day	Yes / No
Facilitating Effective Meetings	Full day	Yes / No
Writing Policy Documents	Full day	Yes / No
The Budget Process, Cycle and Preparation	Half day	Yes / No
Writing Ministerial Briefings	Half day	Yes / No
Writing Ministerial Letters	Half day	Yes / No
Effective Networking 2: Advanced Techniques	Half day	Yes / No
Writing for the Online Environment	Full day	Yes / No
Key Performance Indicators and Agency Reporting	Half day	Yes / No
Developing a Policy Framework	Full day	Yes / No
Effective Oral Communication Skills	Full day	Yes / No
How to produce newsletters and bulletins for your organisation	Full day	Yes / No
Public Sector Policy Development	Two days	Yes / No
Introduction to Policy work	Full day	Yes / No
How to Proofread and Edit	Full day	Yes / No

⁷ This questionnaire seeks to gather information that will help the Institute of Public Administration of Australia to deliver services to public servants and business managers in Albany. Information about these IPAA courses is available at <http://www.ipaa.org.au/default.htm>

Question 2

IPAA hosts breakfast seminars throughout the year. Would you have attended any of the following breakfast seminars if they were available in Albany?

Seminar	Speaker	Please Circle Yes or No
The Imperative for Economic Development – improving government-business relationships	John Langoulant – Chief Executive, Chamber of Commerce and Industry.	Yes / No
Fostering Sustainable Behaviour through Community Based Social Marketing.	Dr Doug McKenzie-Mohr – internationally renowned Canadian – founder of Community-Based Social Marketing.	Yes / No
International Perspectives On Engaging the Workforce for the Future	Dr Peter Scherer, Counsellor to the Director of the Employment, Labour and Social Affairs Directorate of the OECD.	Yes / No
Corruption and Crime Commission and its work.	Commissioner Kevin Hammond	Yes / No
Women and Workplace Mobbing – An Issue for the 21 st Century.	Dr Joselyne Scutt - Barrister and writer.	Yes / No

Question 3

What barriers exist to regional access to professional development?

Barriers to regional access to professional development.

Question 4

Are there any factors that would be important to the successful delivery of IPAA services to your organisation in Albany?

Important success factors?

Appendix 3 Questionnaire to Training Consultants

I am undertaking a Research Fellowship at Curtin University that includes how to set up Institute of Public Administration of Australia (IPAA) courses in the regional centres. I would like to know what conditions training consultants would expect if they were to provide this training.

1. If your air fare, taxis and accommodation were paid for how much would you charge to deliver 2 days of training in Albany?
2. Would you be prepared to go down on the morning flight (7am) and back on the evening flight (8pm) for a one day course? Yes / No
3. If “yes” how much would you charge for a one day course?
4. If “no” how much would you charge for a one day course?
5. If training was offered in a regional centre IPAA would set up the course advertising, registration, venue and facilities and hospitality but there would not be an IPAA representative on site in Albany on the day of the training. What support would you require from IPAA if you were delivering training for them in a regional centre?

6. What sort of training programs do you provide that may be of interest to public sector employees in regional Western Australia? _____

If you are interested in working for IPAA please add your name and contact details.

Thank you for your help. Please return your questionnaire to:

Bev Johnson

Bev.Johnson@cbs.curtin.edu.au

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