



**Center for  
Technology in Government**

Explore • Empower • Innovate

# Opening Government Data and Creating Public Value

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*[ctg.albany.edu](http://ctg.albany.edu)*

*A Presentation to the FASTER COP of NITRD*

*Tuesday, April 22, 2014*



**UNIVERSITY AT ALBANY**  
State University of New York

# Outline

- An Introduction to CTG
- Context, Stakeholders and Co-Production
- Opening Government Data and Public Value Creation
- A Few Ideas to Take Away

# What we know

- Technology advances are changing the way countries, communities, companies, and citizens operate.



### Video: Mayor Bloomberg Speaks at NY Tech Meetup

Mayor Bloomberg joined the NY Tech Meet Up to launch the third NYC Big Apps competition, immigration seminars for startup companies, and a new mayor's council on technology. "Technology is going to define the 21st century economy and I want to make sure those jobs are created in New York City," said Mayor Bloomberg. "When I started my technology business, there was no better place to be than the Big Apple. The BigApps competition is just one of the ways we're making sure that's still true for today's entrepreneurs and for the visionaries of the future."

"Technology is going to define the 21st century economy, and I want to make sure those jobs are created in New York City,"



Visiting an improved mini park on Sukharevskaya Square

- ALL | FEATURES | TRANSCRIPTS | PRESS RELEASES
- 25.10.2013 Mayor Sobyanin inspects an improved mini park on Sukharevskaya Square
- 25.10.2013 Open Data portal to feature 40 new datasets by year end
- 25.10.2013 Trees and shrubs are being planted in Moscow's courtyards
- 25.10.2013 Government discusses performance of Moscow Our City week
- 24.10.2013 Sergei Sobyanin meets with Governor of Lower Austria Erwin...



# What we know

- Technology advances are changing the way countries, communities, companies, and citizens operate.
- Government leaders the world over are turning to technology as a driver for government transformation.

# Digital Government

Building a 21st Century Platform to Better Serve the American People



## Introduction

*"I WANT US TO ASK OURSELVES EVERY DAY, HOW ARE WE USING TECHNOLOGY TO MAKE A REAL DIFFERENCE IN PEOPLE'S LIVES."*

— President Barack Obama

### The Speed of Digital Information

Mission drives agencies, and the need to deliver better services to customers at a lower cost—whether an agency is supporting the warfighter overseas, a teacher seeking classroom resources or a family figuring out how to pay for college—is pushing every level of government to look for new solutions.

Firefox CTG Home Page G8 Open Data Charter... KACST Proposal Revie... People You May Know... People You May Know... Is is changing the consumer landscape<sup>1</sup>

www.independent.co.uk/life-style/gadgets-and-tech/g8-open-data-charter-will-increase-transparency-and-fuel-innov

Technology Life > Gadgets & Tech

## G8 Open Data Charter will 'increase transparency' and 'fuel innovation'

Five key principles outlines how governments should release datasets for economic and social benefits

JAMES VINCENT | WEDNESDAY 19 JUNE 2013

Share Tweet + Share in Share Reddit Shares: 74 PRINT | A A A

### News in pictures



### Life & Style blogs



A delegation from Kenya's Devolution Study spent a week in Albany to effectively leverage eGovernance to support their country's development.

# What we know

- Technology advances are changing the way countries, communities, companies, and citizens operate.
- Government leaders the world over are turning to technology as a driver for government transformation.
- Information technology decisions are among the most complex government officials must make.

# Innovation as Planned Change

Planned change uses appropriate knowledge in a systematic way to support the creation of informed action and decision making in change efforts.

Bennis, 1966

# Innovation

- An idea or behavior perceived as new to the individual or adopting organization. (Rogers, 1972, Kanter, 1983, Damanpour, 1996)

The generation, acceptance, and implementation of new ideas, processes, products, or services. (Kanter, 1983)

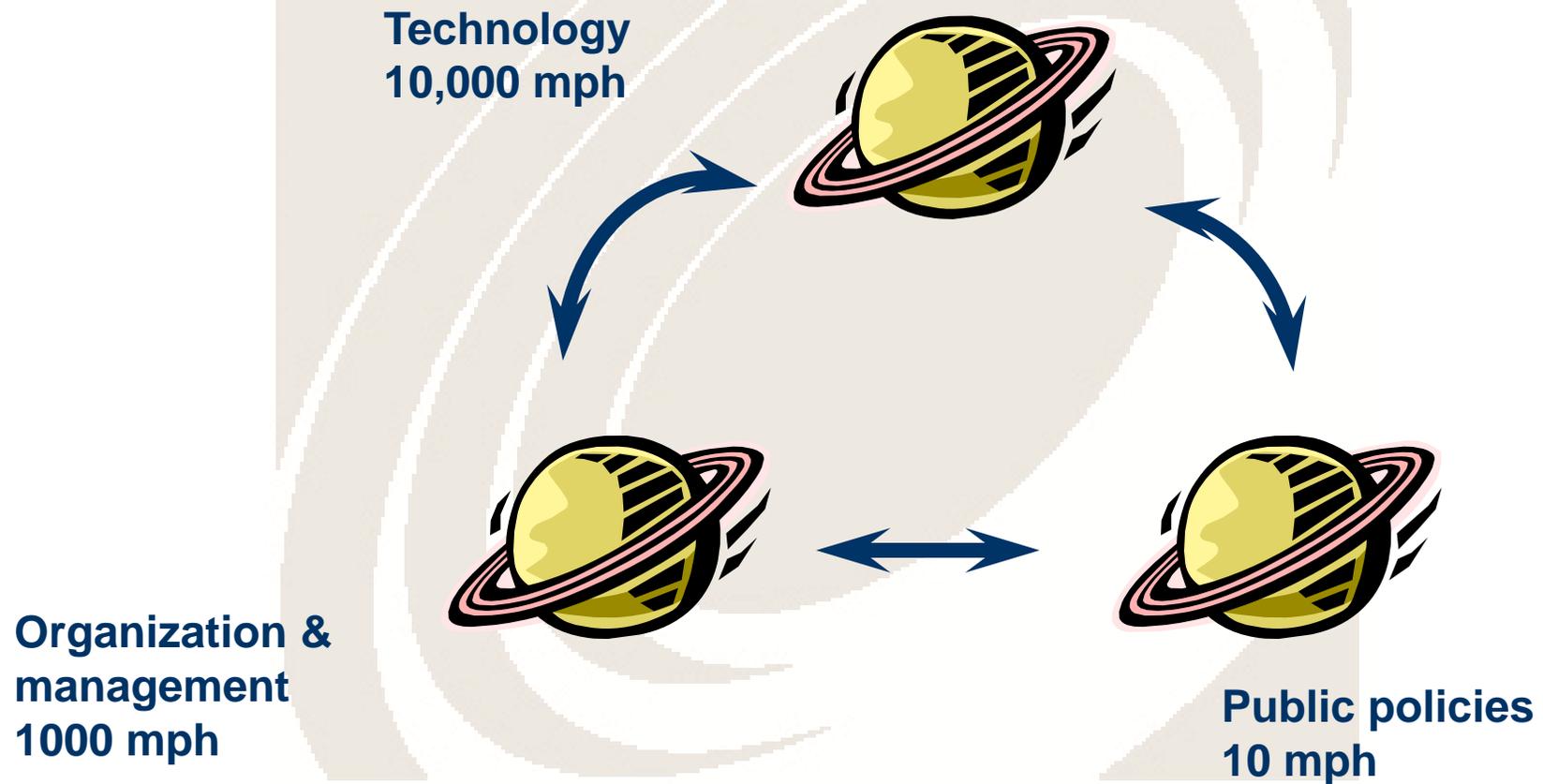
# Innovation and Risk

- Innovation characteristics interact with organizational characteristics
- Uncertainty results from the lack of adequate knowledge about the interaction
- Risk results from uncertainties about the consequences of change efforts

# Risks of IT Innovation

- Public sector environment
  - divided authority, multiple stakeholders, many links
- Organizational factors
  - alignment, support & acceptance
- Work-associated risks
  - business process design
- Technology-related risks
  - too much hope, too little knowledge

# The Government Innovation Context





January 31, 1993 Milestones & Honors

## **Governor Mario Cuomo Initiates a Center for Technology in Government**

“We will set up a **Center for Technology in Government** to pursue new ways of applying technologies directly to the practical problems of information management and service delivery in the public sector — focusing on increasing productivity, reducing costs, increasing coordination, and enhancing the quality of government operations and public services.”

—New York State Governor Mario Cuomo, 1993 State of the State Address





# Center for Technology in Government

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- About ▾
- Research ▾
- Projects ▾
- Results ▾
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The mission of the Center for Technology in Government at the University at Albany is to foster public sector innovation, enhance capability, generate public value, and support good governance.



## Upcoming



Pardo to Co-Chair UAlbany's *Inaugural President's Forum on Data* | May 5, 2014, 8:00 am - 12:30 pm | D'Ambra Auditorium, Life Sciences Research Building, University at Albany

[More>>](#)



Pardo to be Honored at the 2014 Rockefeller College Alumni Dinner and Awards Ceremony on

## Latest Report and Case Studies



### CTG Releases Findings on the Benefits of Air Quality Information

CTG has released findings from a study assessing the potential socio-economic

## CTG Celebrates 20 Years



### An Open NY Envisioning Workshop

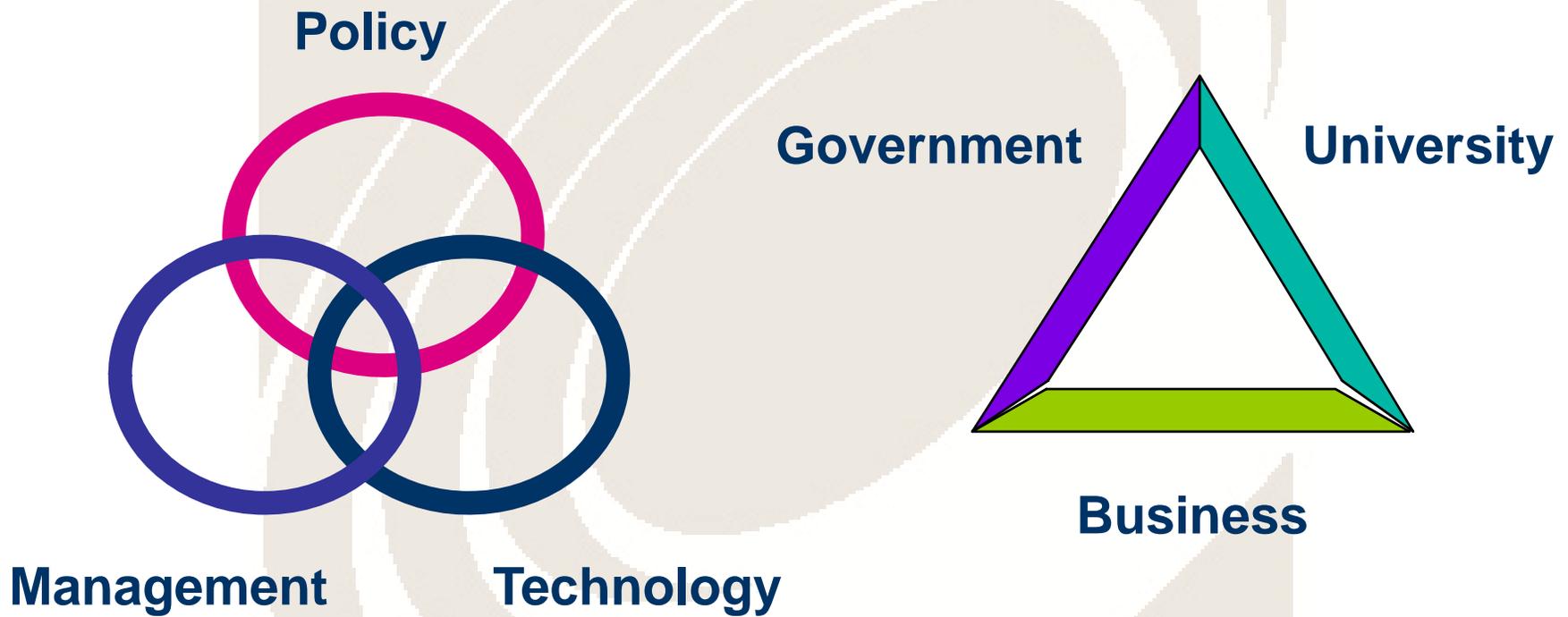
In celebration of Sunshine Week, CTG, in partnership with the State of New York, recently led a collaborative



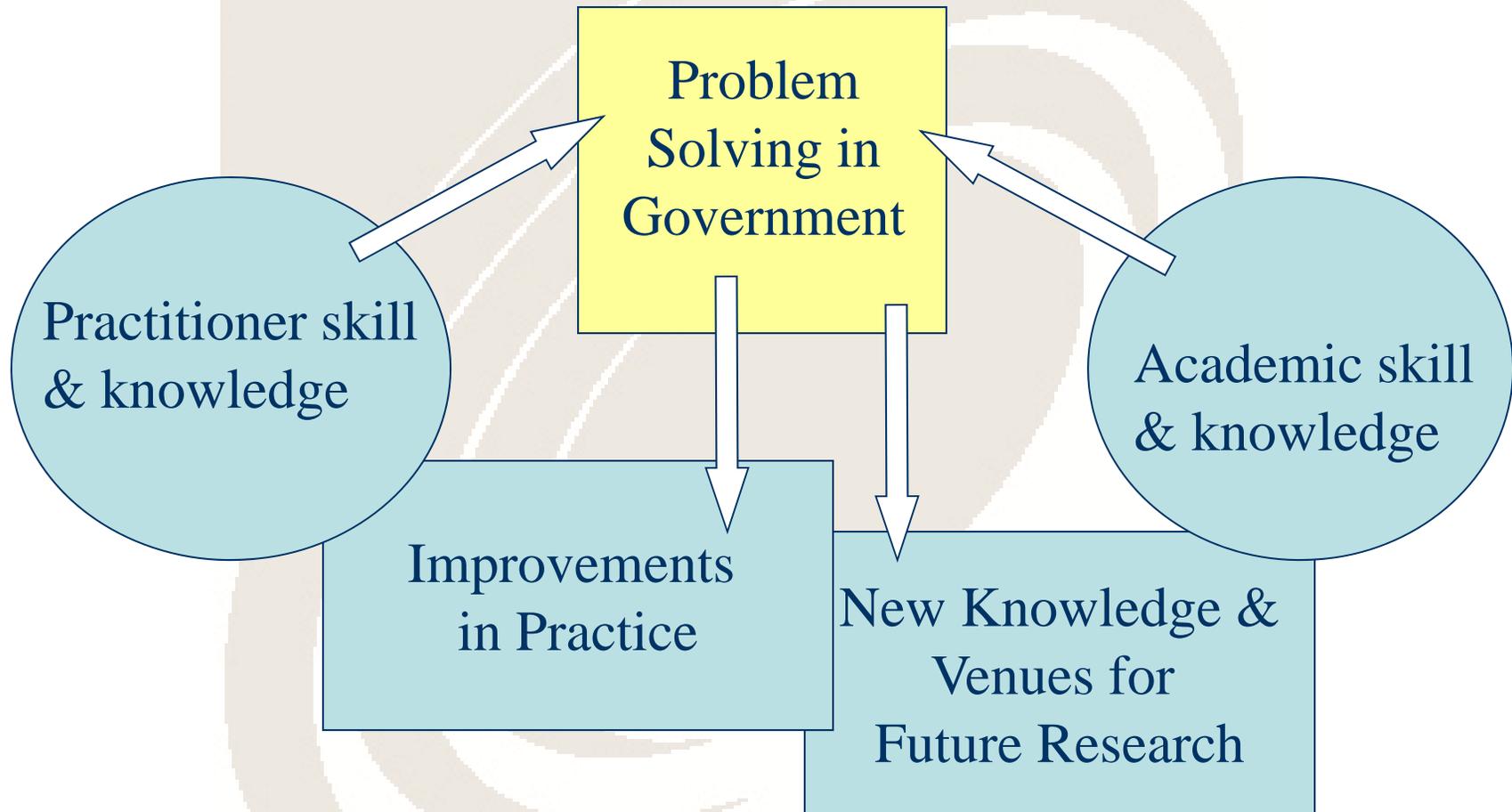
# CTG's Agenda

- Improve public service delivery and government efficiency through innovations in ICT, policy and management.
  - Knowledge Creation
  - Information Dissemination
  - Capacity Building

# Our Focus and Partners



# Research-Practice Partnerships



# The CTG Model

- Established, effective model of integrated research, education, and knowledge transfer.
- Since 1993, CTG has combined a rigorous research program with deep engagements in practice for knowledge transfer, extending research results into formal education programs, professional training, and commercialization of training methods and materials.
- Ground-breaking approach recognized with a Ford Foundation Innovations in American Government award in 1995.

# Four interconnected components

- First...
  - and most important is a staff mix that includes deep experience in practice, expertise in technical subjects, well-developed research and research communication skills, and effective organizational management.
- Second...
  - is an institutional arrangement that links strongly across academe, government, and the private sector.
- Third...
  - is close working relationships with graduate and undergraduate programs and affiliation with national and international educational organizations.
- Fourth...
  - is a sophisticated outreach and technology transfer capability that employs web resources and online tools, social media, commercialization of training materials, and publication.

# The CTG Team

- Staffing
  - 16 Professional and support staff
  - 10 Faculty Fellows
  - 9 Undergraduate Interns and Graduate Assistants
  - 2 Professional Volunteers
  - Visiting Scholars
- Partners and collaborators
  - All over the world and across sectors

# Some CTG partners



**WORLD BANK**



UNITED NATIONS



OECD



20 YEARS | CTG by the Numbers

**3 RANKING**  
 Rockefeller College of Public Affairs and Policy, Information Strategy and Management Specialty taught by CTG faculty is ranked #3 among all public administration departments by US News & World Reports

**30 CONFERENCE LEADERSHIP**  
 An active role as organizers, chairs, and program, sponsor, & award committees in more than 30 national and international conferences

Including what could be considered the four most important international conferences in the field of digital government:

- International Conference on Digital Government Research (dg.o)
- IFIP E-Government Conference (IFIP EGOV)
- International Conference on Theory and Practice of Electronic Governance (ICEGOV)
- Electronic Government Track at the Hawaii International Conference on System Sciences (HICSS)

**300 KNOWLEDGE SHARING**  
 Given over 300 trainings, workshops, and conference presentations

**5 TOP SCHOLARS**  
 Five of CTG staff are ranked in the top ten of scholars in the field of digital government

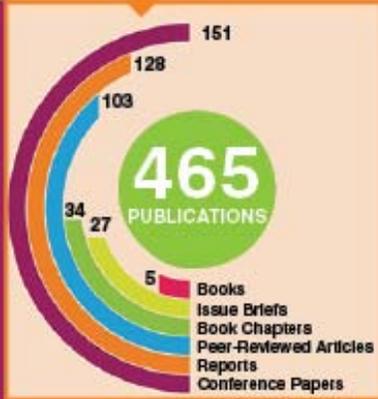
**25 DISSERTATIONS**  
 Provided data and support to more than 25 doctoral dissertations and masters projects.

**9,000 CITATIONS**  
 CTG staff, including research and faculty fellows, represent more than 9,000 citations to their published work.

**309 PARTNERS**  
 Collaborated with 140 government agencies, 70 private companies, 67 universities, and 19 nonprofit organizations.

**26 AWARDS**  
 Been recognized with more than 25 local, state, national and international awards

**146 EDITORIAL & ADVISORY**  
 Participated on 146 editorial boards, advisory committees, working groups, and study panels.



**70 PROJECTS**  
 Partnership projects have produced outcomes that have helped state, local, and federal government agencies improve services and operations



# CYBER SECURITY

NEW YORK STATE DIVISION OF HOMELAND SECURITY AND EMERGENCY SERVICES

**Advisory: "Heartbleed" OpenSSL Vulnerability - Includes recommendations for consumers.**

 **Office of Information Technology Services**

With the passage of the 2013-14 NYS Executive Budget, the functions, powers, and duties of the Office of Cyber Security have been transferred to the Office of Information Technology Services (ITS). Both the content and design of this website will be undergoing revision in order to reflect the transfer to ITS.



New York State  
**Broadband  
Speed Test**

**ALERT INFORMATION**  
New York State Cyber Alert Level  
**GUARDED**

**NYSGIS**  
Clearinghouse

**DAILY CYBER SECURITY TIP**

- Thom...
- search
- Cyber
- Cyber Sec
- Awareness
- Incident Re
- Breach Not
- Cyber Advis
- NYS Digital
- Work Group

**Project Menu**

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- 
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> SEARCH:  
This Project Only

**GO**

## Smart Cities Service Integration

The city, as a government unit, is growing increasingly larger, more complex and more important as the population ranks of urban areas swell with ever increasing speed. According to the UN Population Fund, 2008 marked the year when more than 50% of all people, 3.3 billion, lived in urban areas. By 2030 this number is expected to increase to 5 billion. The unprecedented rate of growth as well as the fact that majority of this growth will happen in the developing world, creates an urgency to finding smarter ways to manage the accompanying challenges and opportunities. The concept of a smart city is not new, but in the recent years it has taken on a new dimension of using information technologies to build and integrate critical infrastructures and services of a city.

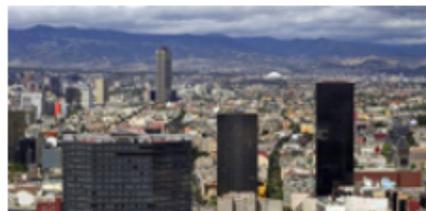
### PROJECT SUMMARY

The Smart Cities Service Integration project is funded by the Social Sciences and Humanities Research Council (SSHRC), a Canadian federal agency that promotes and supports university-based research and training in the humanities and social sciences. The aim of the project is to create a framework for service integration for Smart Cities. The international research team includes researchers and graduate students from the US, Canada, Mexico, and China. The project will produce a series of comparative case studies of Quebec City, Canada, New York City, Seattle and Philadelphia, U.S., Mexico City, Mexico, and Shanghai and Macao, China.

### CASE STUDIES

[< Previous](#) | [Next >](#)

#### Mexico City, Mexico

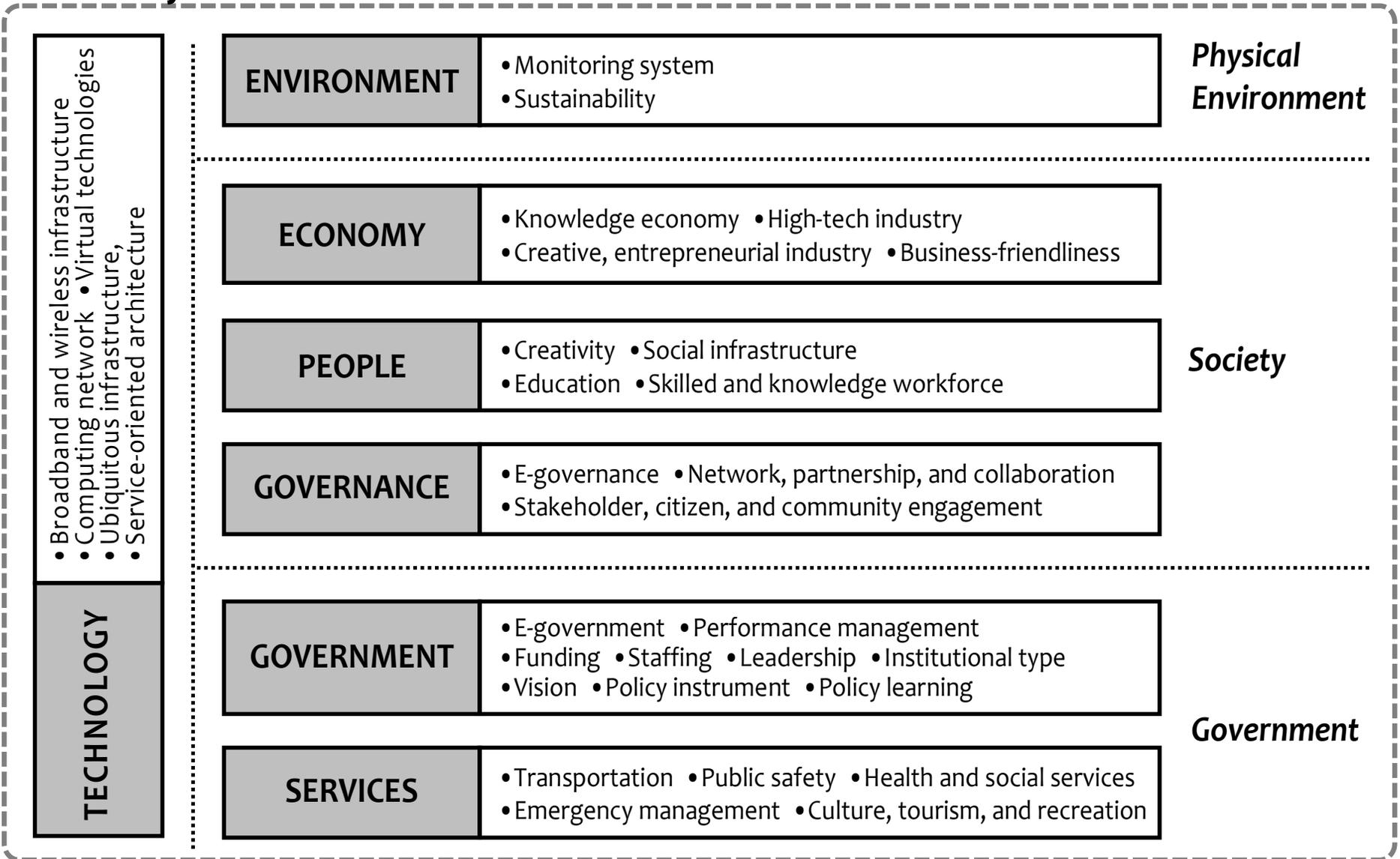


#### New York City, United States



MCE 2012

# Smart City





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> SEARCH:  
This Project Only



**Building Information Sharing Networks to Support Consumer Choice Project**

Most products consumed within the North American Free Trade Area (NAFTA) are produced and distributed through low cost supply chains that typically do not reveal certain types of information to end consumers. Without this information it is difficult for consumers to assess the quality of the products they buy or exercise their preferences for safe, environmentally sustainable, and economically just products and services. Producers also have much less of an incentive to provide such goods without an effective, trustworthy way to inform consumers. In order to provide full information about how, when, and by whom products were produced, producers, supply chain operators, and third party certifiers need to agree on a data architecture that can facilitate exchange and sharing of information that comes from product production systems, supply chain distribution systems, and systems used to determine compliance with voluntary and government-mandated product standards.

**PROJECT SUMMARY**

The Building Information Sharing Networks to Support Consumer Choice Project (I-Choose Project) is a three-year research activity funded by the National Science Foundation. The research team consists of a network of researchers and practitioners from Canada, Mexico, and the United States. The project aims to develop a data interoperability framework to provide consumers with a wide range of information about how, where, and by whom products are manufactured and brought to market. The





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ABOUT

RESEARCH

PROJECTS

RESULTS

THEMES

ACADEMICS

NEWS & EVENTS

# Information Sharing and Coordination Challenges in Financial Market Regulation

A research agenda setting workshop

November 14, 2013 | Washington, DC  
20F Street Convention Center

20 YEARS 

Center for  
Technology in Government

INSTITUTE FOR  
FINANCIAL MARKET REGULATION



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# CENTER FOR TECHNOLOGY IN GOVERNMENT

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Overview

Concept Paper

Online Forum

Advisory Committee

Funding

News

Co



## READ THE CONCEPT PAPER

The draft concept paper proposes a framework to provide public libraries

## Overview

### The Role of Public Libraries in Improving Local Open Government Ecosystems

State and local governments are exploring new ways to open their governments using technology to engage citizens, increase transparency and accountability. Such efforts provide new opportunities and challenges for public libraries as citizens turn to them for both access to and assistance in their interactions with



## PROVIDE FEEDBACK ONLINE

Participate in our online forum to give us your feedback to the





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# **Context, Stakeholders and Co-Production**

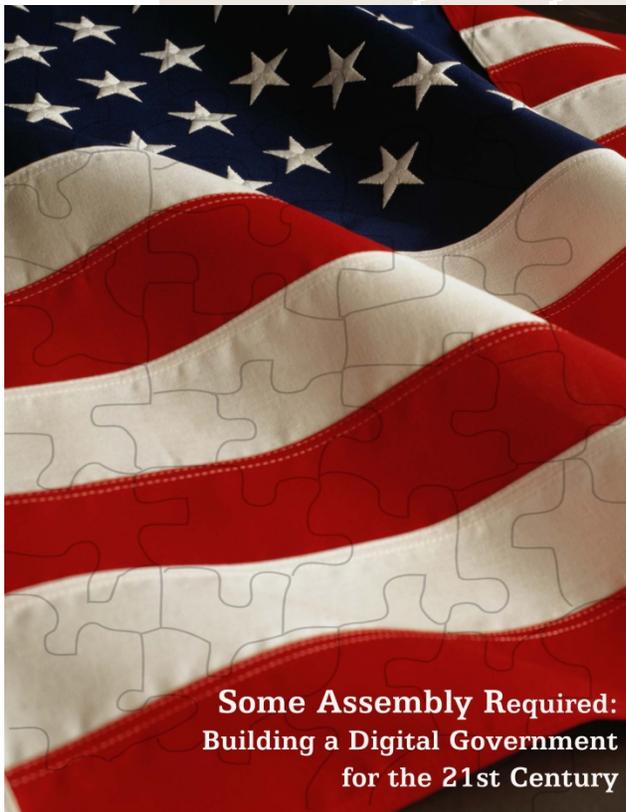
*The CTG Model*



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# Recognizing the quintessential underlying problems of a Digital Government

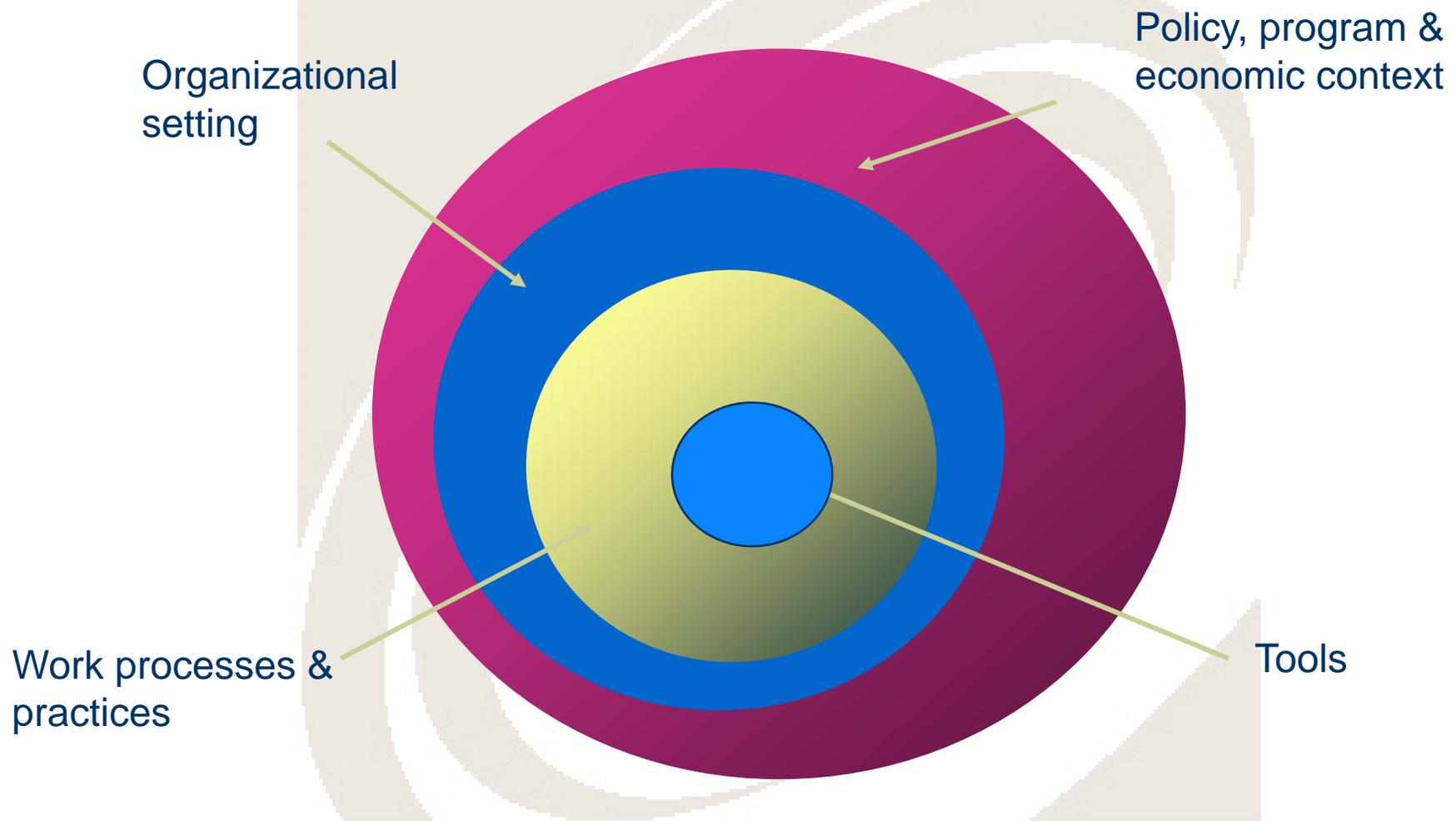


**“What is technically possible may not be organizationally feasible or politically or socially desirable.”**

**“Advanced IT applications in government must *integrate* policies, processes, information, and technology.”**

**1999**

# Layers of Complexity



# Sustained Interactivity and Take-up

- Research in fields ranging from education (Huberman, 1990) to natural hazards (Yin and Moore, 1995), to organizational sociology (Breyer and Trice, 1992) all indicate that “sustained interactivity” (Hutchinson and Huberman, 1993) before, during, and after a research project is the best way to assure that the research is relevant to, and understood and used by practitioners.

# Action Research

- Methodologies are designed to include strategies for involving practitioners in the research process.

# Prototyping and Comprehensive Prototyping

- Prototyping
  - A powerful way to gain knowledge about a technology's capabilities, benefits, and limitations, particularly in relatively uncertain conditions (Boar, 2004).
- Comprehensive prototyping
  - Extends prototyping by creating the context for a technology
    - Also takes into account managerial, institutional, and environmental factors.

# Context Matters

- In comprehensive prototyping and action research, technological innovations are not developed in isolation and then tested within various contexts; the technologies are designed and implemented considering the organizational, institutional, and larger environment, with participation from all relevant stakeholders (Gil-Garcia, 2007).

# Living Labs

- Research approaches and methodologies where stakeholders collaboratively develop and implement solutions within a certain context.
- This approach not only assists in getting stakeholders' views incorporated into the policy process, but also enhances acceptance of the policy or product by the stakeholders because they were part of the process of making it so (e.g. see Klievink and Lucassen, 2013).



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# Opening Government Data Public Value Creation

*Action Research, Comprehensive  
Prototyping and Co-Production*



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# The 2009 U.S. OGD



Transp  
arent



Partici  
patory



Collab  
orative

- Principles
  - Sets out the principles of increased transparency, participation and collaboration as a framework to guide agency-level plans for implementing the directive.
- Process
  - Includes an implementation process to institutionalize policies and practices that employ technology and information-based strategies to create more openness at the federal level and beyond.
- Responsibility
  - Assigns this responsibility to agency administrative and operational levels to strengthen their capability to provide information and opportunities for citizens and non-government stakeholders to play a greater role in the workings of government.

# The 2009 OGD

- Directs executive departments and agencies to take specific actions to implement the principles of transparency, participation, and collaboration:
  - Publish Government Information Online
  - Improve the Quality of Government Information
  - Create and Institutionalize a Culture of Open Government
  - Create an Enabling Policy Framework for Open Government
- Central Mandate
  - Open data requirement, not a political transparency requirement



Site search

SEARCH

HOME

DATA

APPS

COMMUNITY

METRICS

OPEN DATA SITES

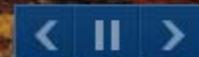
GALLERY

WHAT'S NEW



# GENERAL LAND OFFICE RECORDS SYSTEM

Bureau of Land Management's General Land Office Records System provides original images of more than five million Federal land title records, survey plats, and field notes dating back to 1801.



## Latest Datasets

- Large Truck Crash Causation Study (LTCCS) -...
- Motor Carrier Registrations - Census File...
- Motor Carrier Registrations - Census File...
- Pipeline Incident Data - Natural Gas...

## DATA AND APPS



## COMMUNITIES



## OPEN GOVERNMENT



# The U.S. Department of Transportation

## An OG Exemplar

The screenshot shows a Mozilla Firefox browser window displaying the U.S. Department of Transportation website. The address bar shows [www.dot.gov/open/](http://www.dot.gov/open/). The page features the DOT logo and navigation menu. The main content area is titled "Open Government Initiative" and includes a sub-header "At the Department of Transportation we are working hard to become more participatory, collaborative and transparent." A central graphic shows a scale of justice and a line of diverse people. Text on the right states: "Since its inception in 1967, DOT has emphasized open communication with States, municipalities, public officials, grantees, and others members of the public with whom we conduct business. The initiatives outlined in our Open Government Plan are designed to continue and enhance this tradition by instituting changes in DOT's policy, culture, and technology." Below this is a quote from John D. Porcari, Deputy Secretary: "Read the full text of the Deputy Secretary's introduction letter." A "Share Your Comment!" button is visible, along with a "DOT OPEN GOV" logo. At the bottom right, a "Senior Accountable Officials" section lists "Open Government: Kristen".

U.S. Department of Transportation - Mozilla Firefox

File Edit View History Bookmarks Tools Help

United Airlines - Seat Selector United Airlines - Traveling with an Infant U.S. Department of Transportation

www.dot.gov/open/ department of transportation open government

United States Department of Transportation

Quick Search GO

Home About Briefing Room Services

OpenGov Home  
OpenGov Plan  
OpenGov Framework  
Evaluate our Progress  
Timeline  
News and Events  
Data Inventory  
Plain Language  
Digital Transportation Exchange

Home / Open

### Open Government Initiative

Transparency • Participation • Collaboration

**OPEN GOV**  
WHITEHOUSE.GOV/OPEN

At the Department of Transportation we are working hard to become more participatory, collaborative and transparent.

### DOT's Flagship Initiative Opens up the Rulemaking Process

Since its inception in 1967, DOT has emphasized open communication with States, municipalities, public officials, grantees, and others members of the public with whom we conduct business. The initiatives outlined in our Open Government Plan are designed to continue and enhance this tradition by instituting changes in DOT's policy, culture, and technology.

--John D. Porcari, Deputy Secretary

**Read the full text of the Deputy Secretary's introduction letter.**

**Share Your Comment!**

**DOT OPEN GOV**

**Senior Accountable Officials**

Open Government: Kristen

# Talking to practitioners in the US and around the world

- **Two important questions emerged**
  - Does it matter?
  - How do I know which thing matters more?
- **Two important needs emerged**
  - New insight into the most effective means of increasing openness in government.
  - New assessment tools.

# Why are these questions important?

- Ideals
  - Significance of openness in our most fundamental ideas of what makes for good government.
- Investment
  - High stakes involved in the many open government agendas in play; stakes in terms of large investments by government and the many interests that can be affected.

# Concept of Public Value as Social

- Value in terms of individual and group interests – there is no absolute value
- Seldom full agreement about how to assess value across communities or jurisdictions
- Individual interests link to institutional and governmental forms—consider health care reform, gun control, immigration, etc.

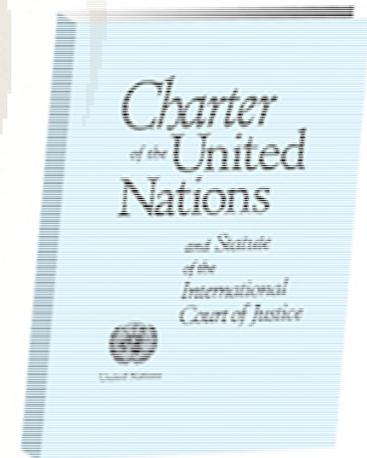
# How does Government look to the citizen?



**AQI**  
AIR QUALITY INDEX

Quality Index (I) Values	Levels of Health Concern
50	Good
51-100	Moderate
101-150	Unhealthy for Sensitive Groups
151-200	Unhealthy
201-300	Very Unhealthy
301 to 500	Hazardous

# Public Value in Government Foundations



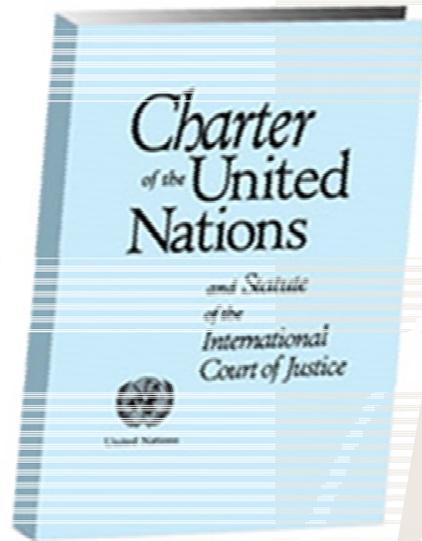
# Government Foundations

*We the People* of the United States

US Constitution

“... to form a more perfect union, establish justice, insure domestic tranquility, provide for the common defense, promote the general welfare, and secure the blessings of liberty to ourselves and our posterity.”

# Government Foundations



## UN Charter

“to promote social progress, ...better standards of life in larger freedom, ... [and] promotion of the economic and social advancement of all peoples.”

# Government Foundations



## EU Constitution

“... the good of all its inhabitants, including the weakest and most deprived; that it wishes to remain a continent open to culture, learning and social progress; and that it wishes to deepen the democratic and transparent nature of its public life, and to strive for peace, justice and solidarity throughout the world.”

# Importance of public value: Focus on ICTs

"If governments do not accurately measure the full value of their IT investments, they risk a serious political backlash. They will be accused of wasting billions of pounds of taxpayers' money on unnecessary technology. Governments must connect IT investments to expected and actual improvements, not only in their organisational performance, but in the state of the nation as a whole."

Andrea Di Maio, Research Vice President, Gartner.

# Public Value: Core Concept of IT Strategy

## Two major kinds of public value:

- The value that results from delivering specific *benefits directly to persons or groups*
- The value to the public that results from improving the *government as a public asset*

## The public point of view:

- Assessing public returns should reveal *value in terms of stakeholder or user interests*

## **Understand Relationships: Different Stakes = Different Stakeholders**

- **Compliance/Enforcement:** Income tax, etc
- **Subsidies and transfer payments:** e.g., Medicare
- **Direct service:** subsidies, services, opportunities: public schools, police & firefighters
- **Indirect service:** e.g., economic development
- **Governance:** good stewardship in political and administrative affairs, public participation

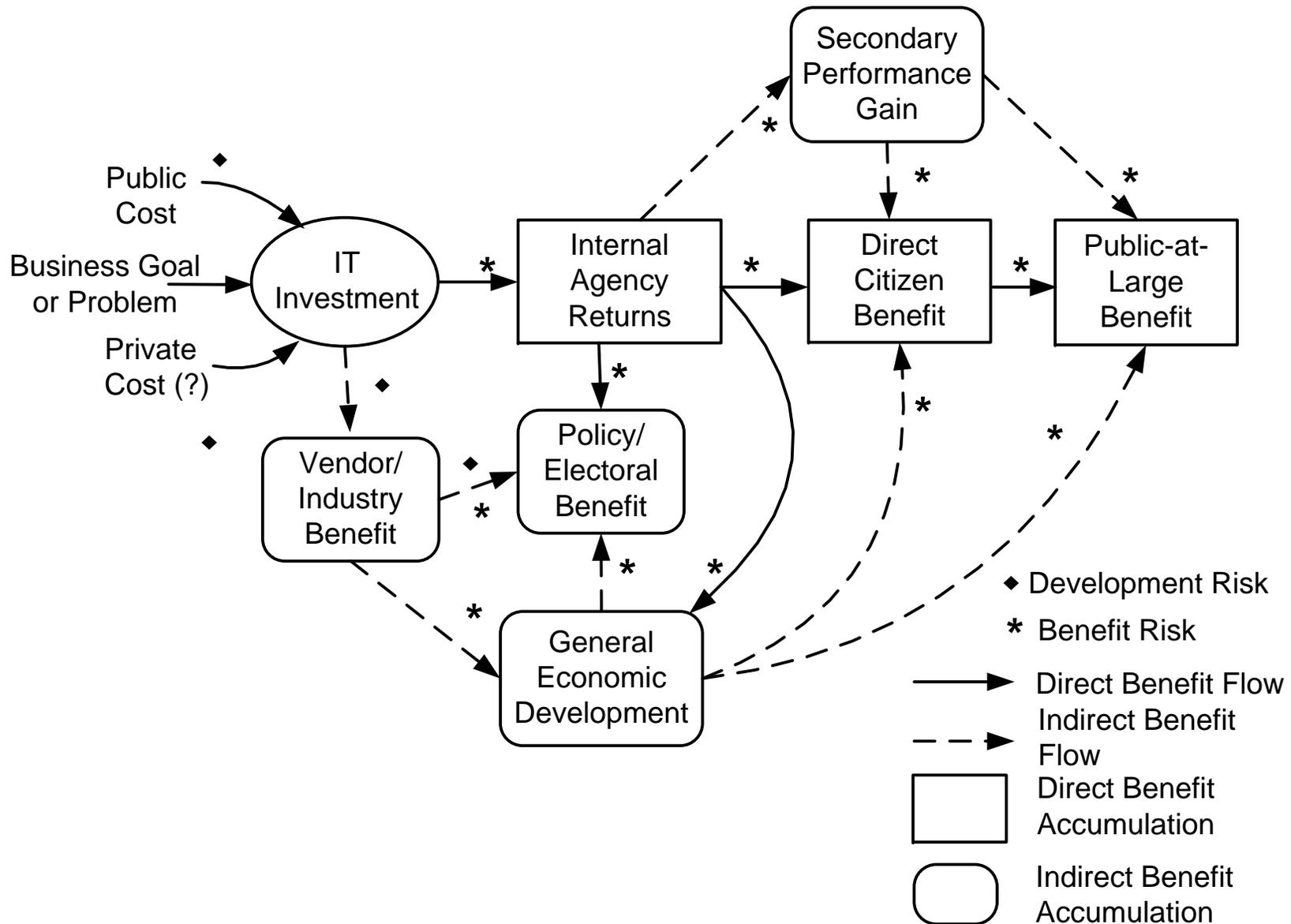
# Why the Public Value Framework?

- Expanding the investment rationale
- Understanding stakeholder interests and value mechanisms
- A more comprehensive model and results, allows for comparison across investments

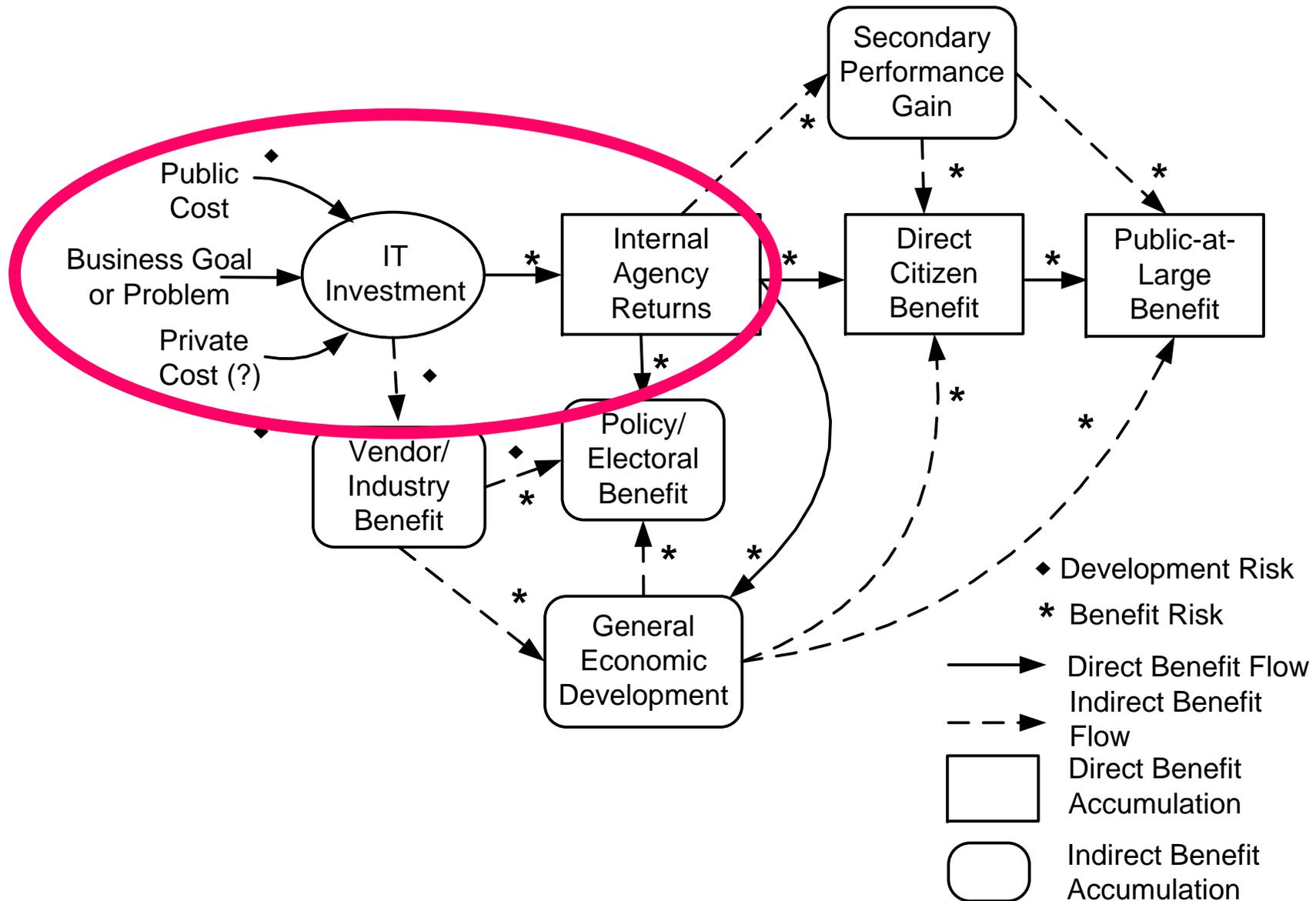
# Components of Public Value

- Expanded value proposition
- Analysis of value types
- Analysis of value generators
- Application framework and methods

# Public Value Proposition



# Public Value Proposition







### Economic Value

income, asset values,  
liabilities, entitlements,  
risks to these

### Social Value

family or community  
relationships, social mobility,  
status, identity.



### Political Value

personal or corporate  
influence on  
government & politics.

### Quality of Life Value

security, health,  
recreation,  
personal liberty



### Strategic Value

economic or political  
advantage or  
opportunities, goals,  
resources for innovation or  
planning.

**What is the  
Public Value of  
Opening Data?**

### Ideological Value

alignment of beliefs,  
moral or ethical values  
with government  
actions or outcomes.

### Stewardship Value

public's view of  
government officials as  
faithful stewards.



# **A critical question for all governments seeking to create public value through openness**

- Does our open government portfolio, taken as a whole, optimize our resources and capabilities, and maximum public value to all stakeholders?

# Challenges to creating public value through openness strategies

- For most government agencies – these expectations are unfamiliar and impose responsibilities that compete for resources within their traditional programs.
- Understanding the investments in data that will generate the great value for the public.

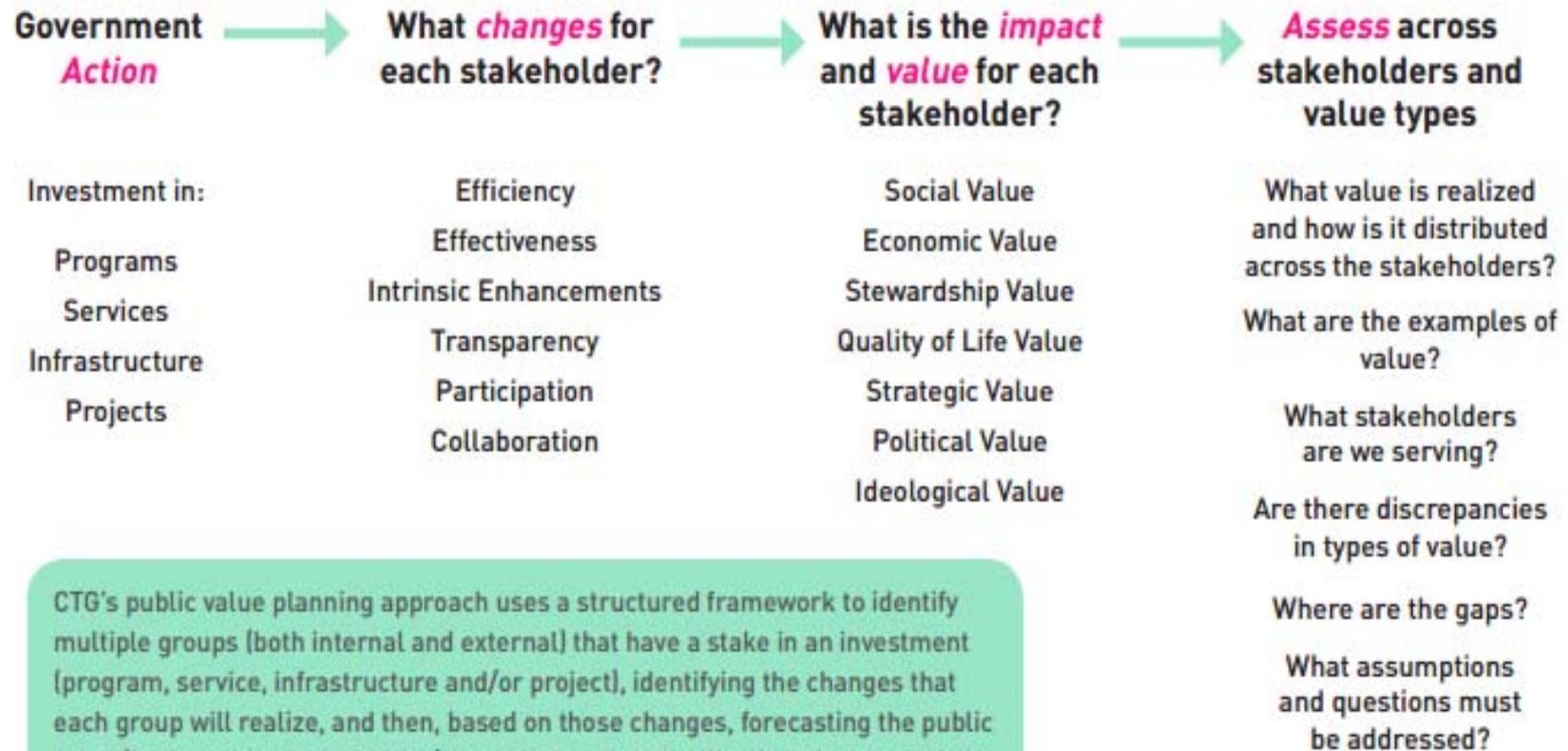
# Stakeholder Interests

- **Efficiency:**
  - Obtaining increased outputs or goal attainment with the same resources, or obtaining the same outputs or goals with lower resource consumption.
- **Effectiveness**
  - Improvements in the quality and/or quantity of program results or other outputs of government performance.
- **Intrinsic enhancements**
  - Changes in the environment or circumstances of a stakeholder that are valued for their own sake.
- **Transparency**
  - Access to information about the actions of government officials or operation of government programs that enhances accountability or influence on government.
- **Participation**
  - Frequency and intensity of direct citizens involvement in decision making about or operation of government programs or in selection of or actions of officials.
- **Collaboration**
  - Frequency or duration of activities in which more than one set of stakeholders share responsibility or authority for decisions about operation, policies, or actions of government.

# Public Value Types

- **Economic**
  - income, asset values, liabilities, entitlements, risks to these.
- **Political**
  - personal or corporate influence on government & politics.
- **Social**
  - family or community relationships, social mobility, status, identity.
- **Quality of life**
  - security, health, recreation, personal liberty
- **Strategic**
  - economic or political advantage or opportunities, goals, resources for innovation or planning.
- **Ideological**
  - alignment of beliefs, moral or ethical values with government actions or outcomes.
- **Stewardship**
  - public's **view** of government officials as faithful stewards.

## CTG'S PUBLIC VALUE LOGIC MODEL



CTG's public value planning approach uses a structured framework to identify multiple groups (both internal and external) that have a stake in an investment (program, service, infrastructure and/or project), identifying the changes that each group will realize, and then, based on those changes, forecasting the public value (both positive and negative) for each group and rolling it up into a portfolio view so that enterprise discussions (and ultimately decisions) can take place.

# Public Value Planning

- What datasets bring the most public value?
- What is the balance of public value brought by the datasets we release?
- What are the mix of stakeholders we are serving?
- What types of value are most prominent by the data we release?
- What do we want our open data portfolio to look like?
- Can we enhance our data to bring more public value

# PVAT



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## OPEN GOVERNMENT PORTFOLIO PUBLIC VALUE ASSESSMENT TOOL

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### Abstract



Open Government Portfolio Public Value Assessment Tool  
Fri, 15 Apr 2011  
Online Resource

The Open Government Portfolio Public Value Assessment Tool (PVAT) offers government leaders with an approach to making better informed decisions about their portfolio of open government initiatives. This tool provides a structured way to assess the public value of an initiative so that an agency can review the expected public value across their entire portfolio of open government initiatives. The information generated from using this tool can then support decisions about the mix of initiatives in a portfolio and how to adjust the mix to enhance the agency's public value. [More >>](#)

### Overview

- [FAQ](#) - This short document provides answers to the most frequently asked questions about the PVAT.
- [Presentation](#) - This slideshow presents an overview of CTG and the core components of the PVAT including descriptions of public value types and mechanisms.
- [Report](#) - This document describes the project approach and methodology and presents the PVAT concepts and design. It details how CTG, in partnership with federal agencies, worked together to bring the ideals of open government and the importance of public value into a practical portfolio-based tool that can be used to inform decision making. [More >>](#)
- [Executive Leadership Program](#) - CTG's two-day Executive Leadership Program, *When Traditional ROI Isn't Enough: A Public Value Approach to Open Government Planning*, offers governments a unique experience to learn and discuss CTG's Public Value Approach to open government planning and decision making. This program will present the foundations of public value thinking and explore the benefits and challenges of understanding the real value of open government. Using the PVAT, government leaders will see first-hand how conducting a more comprehensive analysis can provide essential information for their overall portfolio decision making. [More >>](#)

### Step 3. IDENTIFY AND RATE: PUBLIC VALUE FOR EACH STAKEHOLDER

#### Step 3 Overview

Step 3 is the first in the iterative process of making judgments about 1) the type and level of Public Value (PV) this initiative is expected to create for each of the primary stakeholders, and 2) how this initiative compares with others in the portfolio of open government initiatives. Please note: The five top priority stakeholders are preloaded in the Stakeholder column. All assessment results carry forward automatically to Step 5, Summarize Public Value Rating Across Stakeholders.

#### Step 3 Instructions

Enter a description of the value expected to be created for each stakeholder for each public value type, as appropriate. To see an explanation of each public value type, place your cursor over the public value (PV) category column labels. Once the statements are entered, add your assessment of the expected value to each stakeholder for that category. Your assessment is entered by selecting a value from strongly positive, through neutral (zero), to strongly negative on the "Value Assessment" scale at the bottom of each stakeholder block. Once you have completed these steps for all primary stakeholders, move to Step 4.

#### Sustainable Business Clearinghouse

Stakeholder	Economic Value	Social Value	Political Value	Strategic Value	Quality of Life Value	Ideological Value	Stewardship Value
<i>Existing sustainable businesses</i>	Reduced cost of implementing sustainability and access to best practices information; increased market share due to...	Enhanced reputation and social status due to reputation for sustainable operations	Contact with similar businesses provides opportunity to mobilize political action.	Better positioned for long-term profitability with more sustainable methods & products	Improved life style through more sustainable and profitable business	Satisfaction with support for government commitment to a sustainable economy	Enhanced opinion of government stewardship of the environment by supporting sustainability
<b>Value Assessment</b>	Strongly Positive (+) 0 (-) Strongly Negative (-)	Strongly Positive (+) 0 (-) Strongly Negative (-)	Strongly Positive (+) 0 (-) Strongly Negative (-)	Strongly Positive (+) 0 (-) Strongly Negative (-)	Strongly Positive (+) 0 (-) Strongly Negative (-)	Strongly Positive (+) 0 (-) Strongly Negative (-)	Strongly Positive (+) 0 (-) Strongly Negative (-)
<i>Pro-sustainability advocacy groups</i>	Reduced cost for identifying pro-sustainability business & practices; increased revenue from access to larger pool of employees	Expanded relationships with like-minded businesses; improved status for sustainability advocacy	Access to greater pool of potential allies for mobilizing political action and advocacy campaigns	Possible access to new knowledge about sustainability technologies and emerging issues		Satisfaction with support for government commitment to a sustainable economy	Enhanced opinion of government stewardship of the environment by supporting sustainability
<b>Value Assessment</b>	Strongly Positive (+) 0 (-) Strongly Negative (-)	Strongly Positive (+) 0 (-) Strongly Negative (-)	Strongly Positive (+) 0 (-) Strongly Negative (-)	Strongly Positive (+) 0 (-) Strongly Negative (-)	Strongly Positive (+) 0 (-) Strongly Negative (-)	Strongly Positive (+) 0 (-) Strongly Negative (-)	Strongly Positive (+) 0 (-) Strongly Negative (-)
<i>Suppliers</i>	Increased volume and profit; increased ROI	Enhanced reputation and social status due to reputation for sustainable	Access to greater pool of potential allies for mobilizing political action and advocacy	Increased knowledge of market and opportunities for innovation		Satisfaction with participation in a sustainable economy	Enhanced opinion of government stewardship of the environment by supporting

### Step 5. SUMMARIZE PUBLIC VALUE RATINGS ACROSS STAKEHOLDERS

#### Step 5 Overview

Step 5 captures summary PV assessments across all primary stakeholders. As the summary assessments are entered for each PV category for this initiative, they also appear in the Portfolio Review Workbook. If additional initiatives are to be assessed and added to this Portfolio View Workbook then before proceeding to Step 6, Portfolio View, repeat steps 1 thru 5 with each of these initiative, up to a total of six, in a new workbook. Once Steps 1 thru 5 are completed for all six initiatives in the portfolio, move to Step 6, the *Portfolio Review Workbook*.

#### Step 5 Instruction

To establish a summary assessment for this initiative for each PV type, first review the results for each PV category as shown on the Step 5 Worksheet, as well as the narrative analysis captured in the Step 4 Worksheet. Once a rating is agreed upon across all stakeholders for that PV category, enter that rating on the line labeled "Summary Public Value Rating." Repeat this for all PV categories for the initiative. Results can be reviewed and refined at any point.

#### Sustainable Business Clearinghouse

Stakeholder	Economic Value	Social Value	Political Value	Strategic Value	Quality of Life Value	Ideological Value	Stewardship Value
Existing sustainable businesses	0	0	0	0	0	0	0
Pro-sustainability advocacy groups	0	0	0	0	0	0	0
Suppliers	0	0	0	0	0	0	0
Appropriation committee	0	0	0	0	0	0	0
Company owners and investors	0	0	0	0	0	0	0
<b>Summary Public Value Rating</b>	0	0	0	0	0	0	0



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# US Department of Transportation

DOT Open Government Plan 2012-2014



DOT Open Government Plan 2012-2014



called the [Public Value Assessment Tool](#) (PVAT), created by the [Center for Technology in Government](#) (CTG) at the University at Albany, SUNY. While the concept of public value is not new and DOT has invoked value analysis as part of its decisionmaking processes, the PVAT represented a new opportunity to systematically assess the public value of DOT's Open Government efforts. DOT sought ideas from multiple sources for activities to include in the Plan that would align with the goals of Open Government. Ultimately, these activities were grouped into similar categories, and prioritized to select our flagship initiative for 2012-2014. The following section will describe in more detail how ideas for activities were sought, how activities were assessed for public value, and how our flagship initiative was selected.

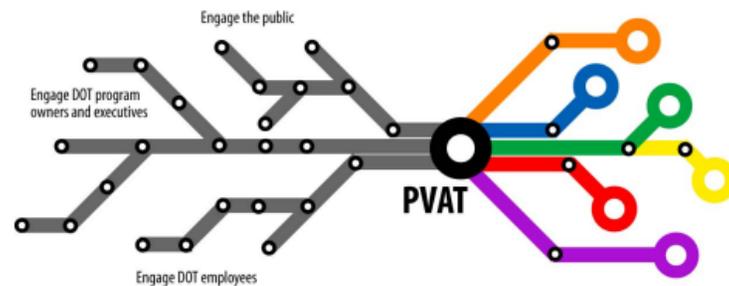


Figure 4: DOT's 2012 Open Government Planning Approach

plan (June 2014)

### Section 3.2.3: Launch Safety.data.gov

See [Section 3.1](#) for a detailed description of this flagship initiative.

Important external stakeholders impacted by this new Web site will include researchers, developers, the public, operators, metropolitan planning organizations (MPOs), State and local governments, trade and professional associations, labor organizations, Federal agencies and manufacturers. DOT believes this community has significant value for the targeted stakeholders, including:

- **Economic value:** Operators can study data and improve their own efficiency. Enables data-driven decisionmaking and efficient allocation of scarce resources.
- **Quality of life value:** Applications and policies developed using this new site can save lives.
- **Social value:** Improved degree of data integration connects previously fragmented communities of research practice.
- **Strategic value:** Can identify opportunities to new and better products to address entrenched safety issues.
- **Stewardship value:** Demonstrates degree of commitment to safety and improves faith in government.

### US DOT Open Government Plan

[http://www.dot.gov/sites/dot.dev/files/docs/open-gov-v2\\_0.pdf](http://www.dot.gov/sites/dot.dev/files/docs/open-gov-v2_0.pdf)

### Webinar – PVAT and how it was used at USDOT

<http://www.howto.gov/training/classes/public-value-assessment-tool>

# NYS Office of the State Comptroller



## CTG NEWS IN PHOTOS

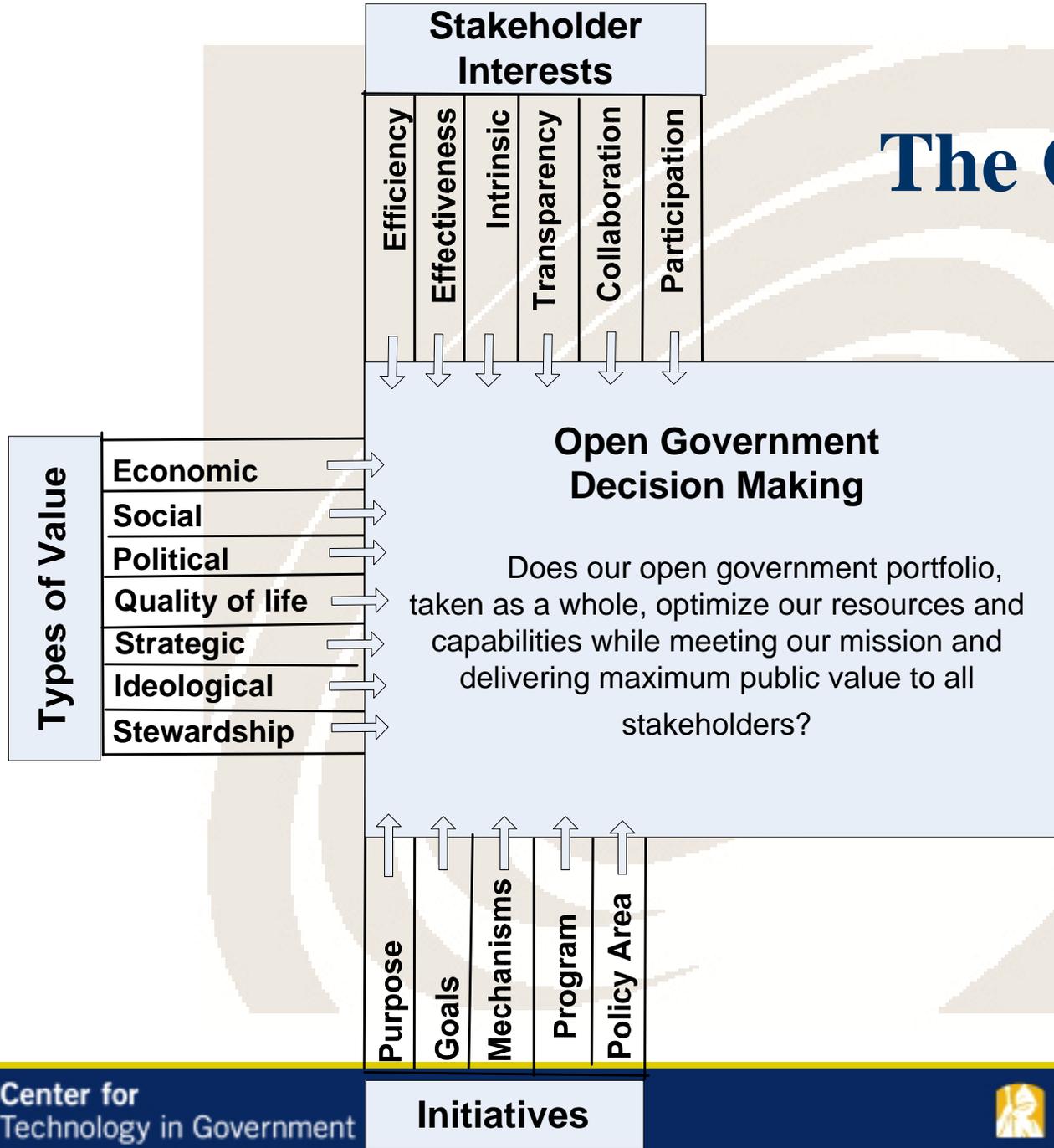
| Photo 1 of 109 | ≥ | >>|

### CTG Working with New York State Office of the State Comptroller (OSC) to Develop an Agency-wide Open Data Portfolio

July 11, 2013

CTG led program and communication staff from the New York State Office of the State Comptroller (OSC) through the preliminary stages of developing an agency-wide open data portfolio. The portfolio development workshops used CTG's [Open Government Portfolio Public Value Assessment Tool \(PVAT\)](#), which provides a structure for describing and assessing proposed open data efforts and for comparing relative value across efforts to ensure a balanced and robust open data portfolio. During each interactive session, Theresa Pardo and Meghan Cook led the group through discussions about the underlying public value framework followed by hands-on exercises using the Open Government PVAT. The brainstorming sessions allowed each participant to grasp work with the core concepts of the tool while beginning...

# The Concepts



# Enhanced Understanding of Opening Government

- Improved stakeholder analysis
- Anticipating governance issues and conflicts
- Anticipating growth in complexity
- Planning for growth in demand and participation
- Identifying synergy with related programs and initiatives

# Why is it so hard?

- Public ROI much broader than traditional ROI
- Differing methods & cultures of assessment:  
*accounting v. evaluation v. social science*
- Public returns are far from the IT in time & space
- Looking back is much easier than looking forward
- Little consistency among existing models

# Advancing Return on Investment Analysis for Government IT: A Public Value Framework



The public value propositions for open data go beyond traditional expressions of value

This take on value also includes many stakeholders, each with special interests and expectations from government; many kinds of public interests require an expansive way to view public value.



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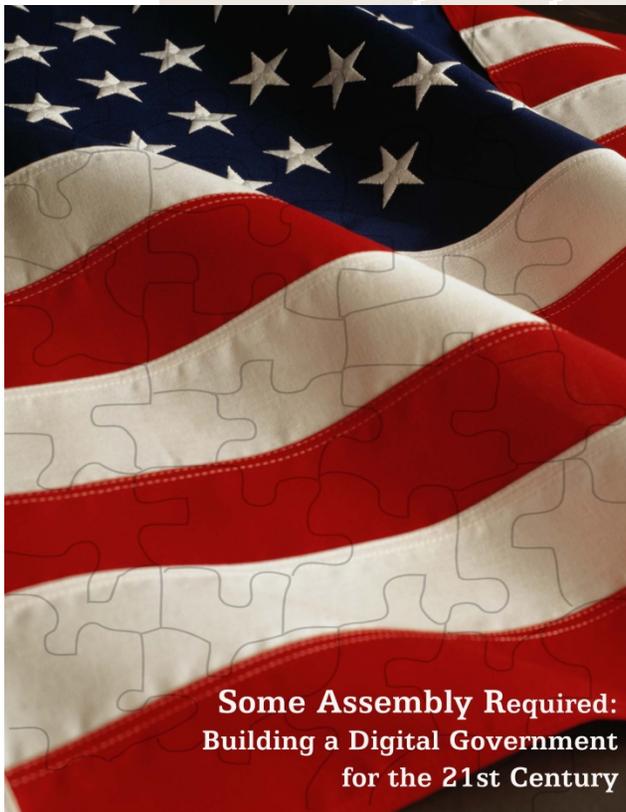
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**A few ideas to take away**



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# Recognizing the quintessential underlying problems of a Digital Government

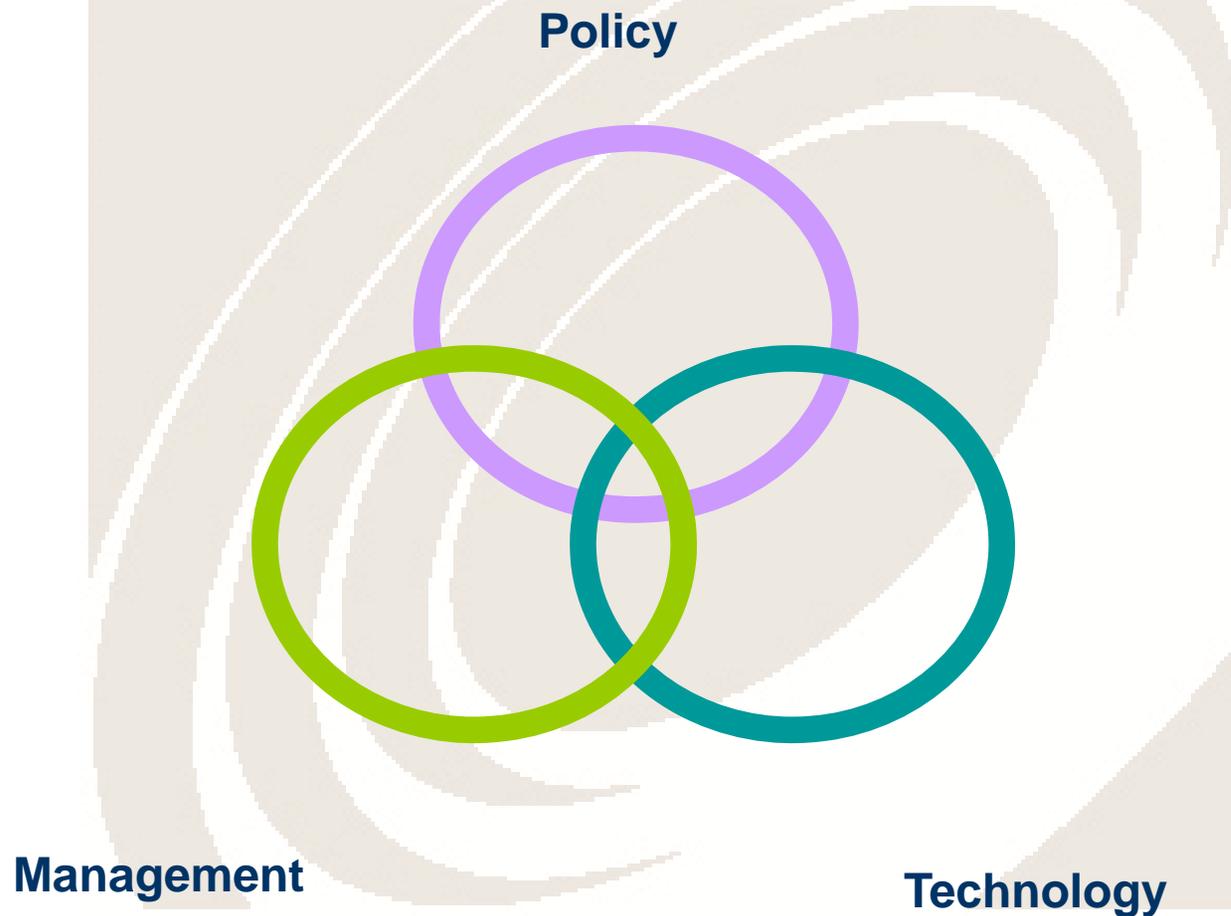


**“What is technically possible may not be organizationally feasible or politically or socially desirable.”**

**“Advanced IT applications in government must *integrate* policies, processes, information, and technology.”**

**1999**

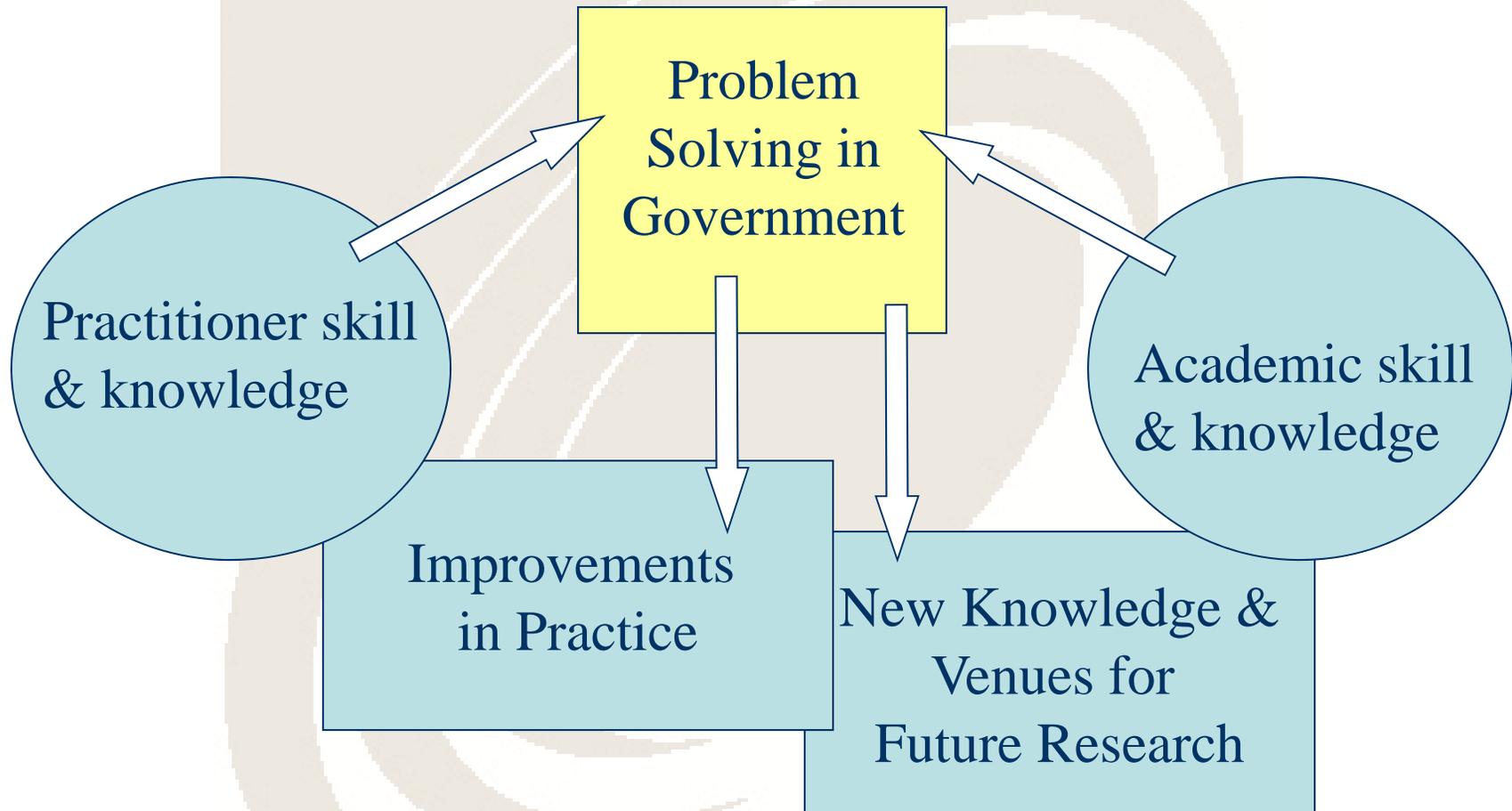
# Making Smart IT Choices



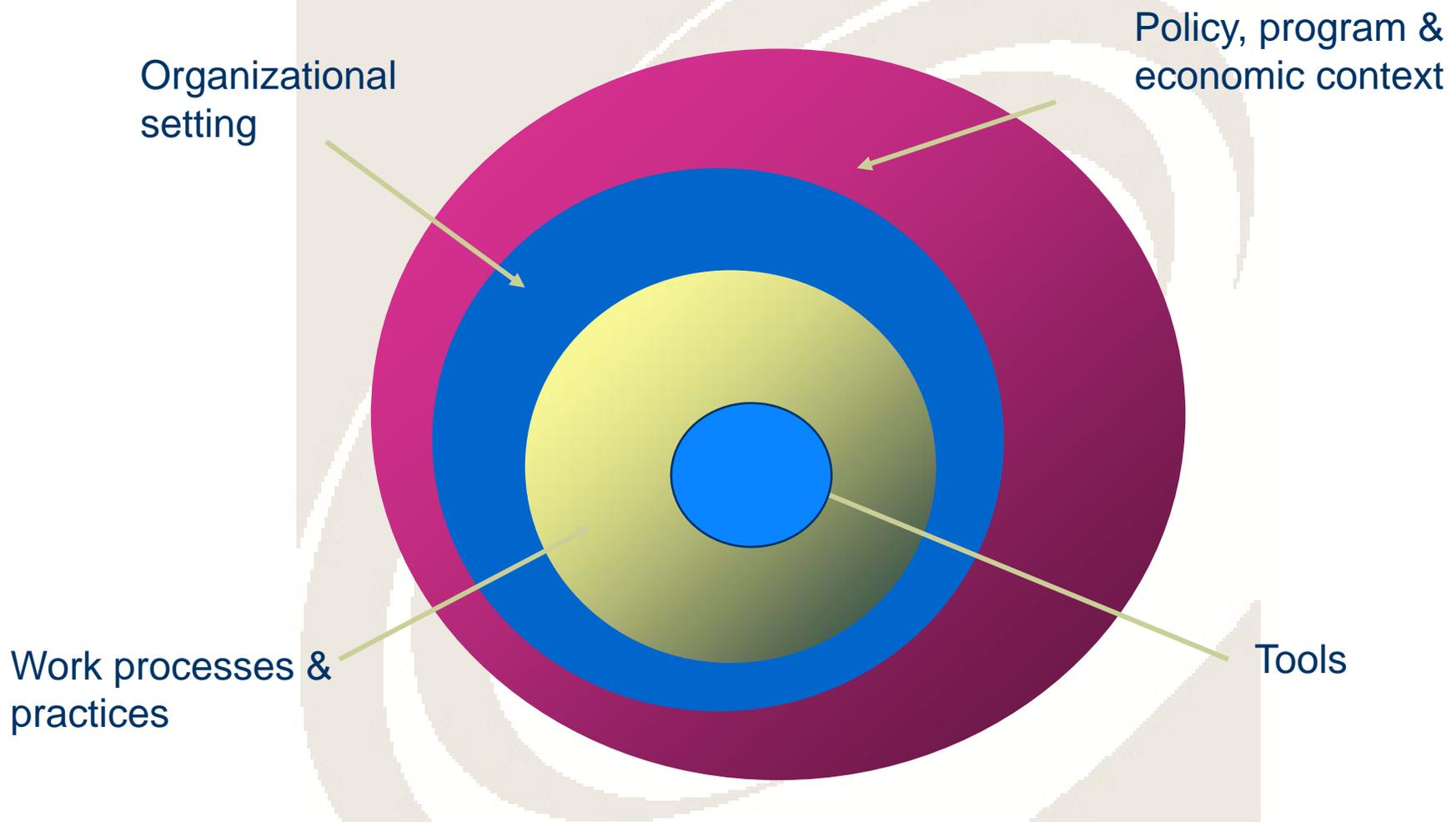
# Sustained Interactivity and Take-up

- Research in fields ranging from education (Huberman, 1990) to natural hazards (Yin and Moore, 1995), to organizational sociology (Breyer and Trice, 1992) all indicate that “sustained interactivity” (Hutchinson and Huberman, 1993) before, during, and after a research project is the best way to assure that the research is relevant to, and understood and used by practitioners.

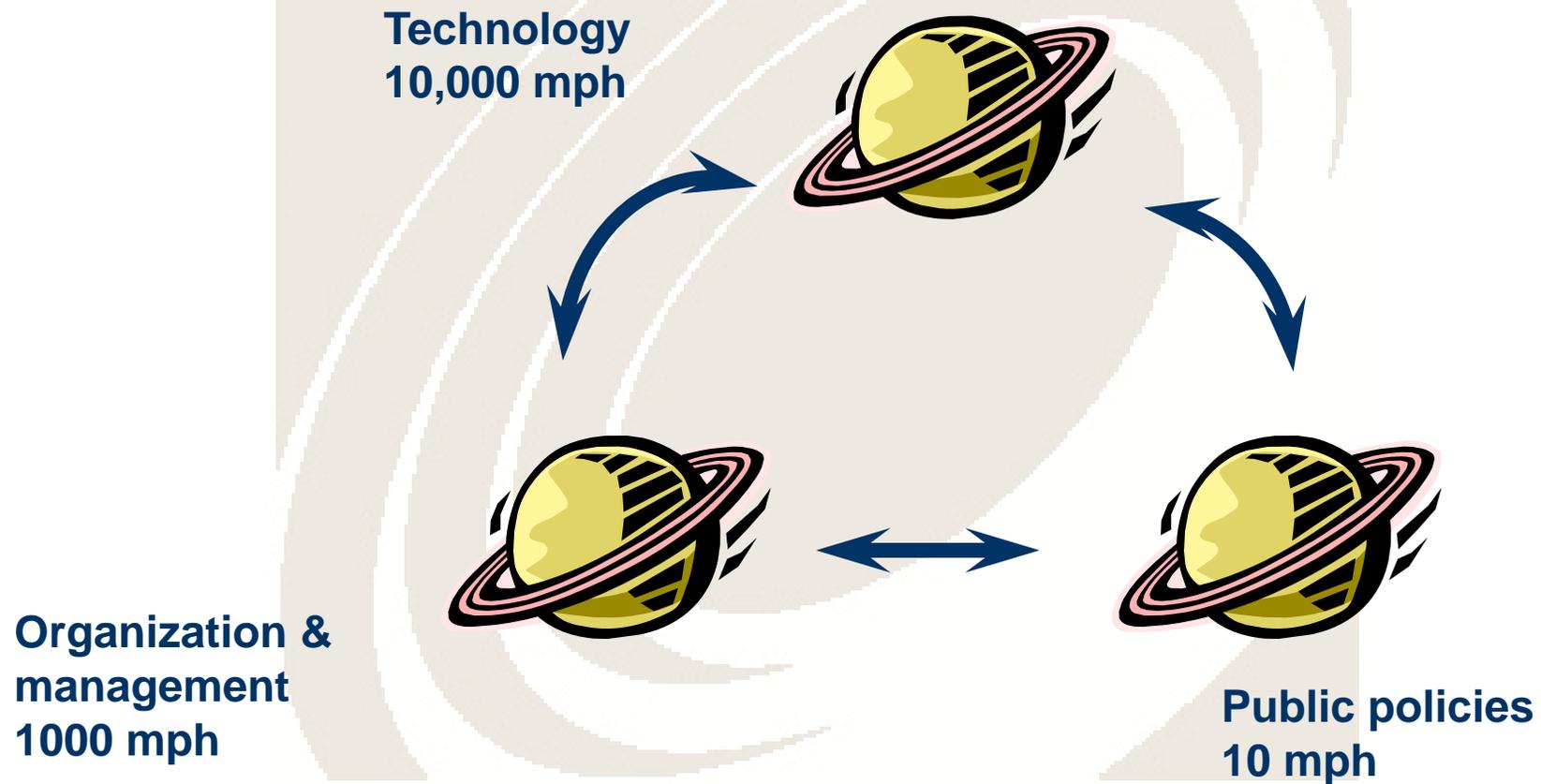
# Research-Practice Partnerships



# Layers of Complexity



# The Government Innovation Context





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**Thank you!**



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# Opening Government Data and Creating Public Value

*Theresa A. Pardo, Ph.D.*

*A Presentation to the FASTER COP of NITRD*

*Tuesday, April 22, 2014*



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