European Innovation Partnership for Smart Cities & Communities

EIP-SCC

6-Nations Smart Cities Forum

Clarifying Central Government Roles

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Summary

A major issue identified in all Member States is the lack of clarity of role within Government for key actions towards the (smart) cities market.

This simple pragmatic tool helps identify the key things that the cities market wants of Government – and vice versa – so that the various roles that Government Departments play is crystal clear, thus supporting a more efficient market

ity Need	Ministry / Department	Cabinet	Finance	Tax	Local Gov	Welfare	Health	Energy	Water	Marine	Export	Skills	Industry	IT / Digital	Tourism	Commentary
1	Set City Service Funding Framework & Conditions	R	A		C	i										
1.1	Negotiate Specific City Deals	R	r	C	A	c	c									
1.2																
2																
3																
4	Establish Programme of funded Smart City competitions	r	R		A	c	C	C	C		i		C	R	i	
4.1	Overall Programme Management	r	r		A		R	r			R	R	R			
4.2	IoT Compeitition				R									A		
4.3	Health & Wellbeing Competition				R	r	A						r	R		
5																
6																

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1 INTRODUCTION

1.1 PURPOSE

This guide presents one of the tools from the 6-Nations Smart Cities Forum: the "**Roles & Responsibilities Matrix**" as a basis for its application.

1.2 CONTEXT: THE 6-NATIONS SMART CITIES FORUM

The 6-Nations Smart City Forum brings together a manageable number of progressive &/or large EU Member States on the smart city agenda, to make practical progress on important matters where Governments can act to increase the productivity of their cities marketplace, particularly for those challenges that are common amongst forum members. These include: Austria (AT), Germany (DE), Spain (ES), France (FR), The Netherlands (NL), and Britain (UK). For latest information on the Forum: https://eu-smartcities.eu/content/six-nations-forum-0

1.3 LACK OF CLARITY OF GOVERNMENT ROLES TO DEVELOP THE SMART CITIES MARKET

A recognized and major challenge for both Government and for the cities market they serve is the lack of clarity of who does what in Government. This is often openly discussed, and too often also swept under the carpet as "just the way things are".

For Smart Cities development defining and clarifying roles is of particular importance as the topic typically involves a greater degree of cross-cutting, transversal, involvement.

Lack of clarity of roles:

- Creates inefficiencies within Government

- Introduces risks from overlaps and gaps in policy

- Causes confusion for the cities market – which is a particular challenge perhaps for those smaller cities that only interact with Government occasionally on matter of priority – thus risking a gap between the advised and less advised cities

- Created confusion for many of the other sector partners that operate in the market – for some this too is an opportunity (rarely one that benefits society however)

- Provides an environment where vision, strategy, policy, plans, investment, , metrics – indeed most any intervention that helps move things along swiftly – are harder to establish

It also offers 'wiggle room' for politicians and officers within which to operate, which for some is a desired state. Complexity and ambiguity is something that is an accepted norm in Government. Everything seems to be attached to everything else – creating the Gordian knot of government. Viewed from a more positive perspective this ambiguity can create a more open space for innovation and exploration of policy.

1.4 THE ROLES & RESPONSIBILITIES MATRIX

This tool is delightfully simple – which is why it can be so effective. It helps make crystal clear 'who does what' within Government for the priority needs of cities. It seeks to clarify the:

1. **"Top 20 Priority Needs of City"** – and for each make clear

2. "**Which Ministry / Department plays what level of role**" in addressing these needs.

2 THE ROLES & RESPONSIBILITIES MATRIX

2.1 WHAT IS THE R&R MATRIX TOOL?

The tool in concept is as shown in the figure below. This includes a few example City Needs / Activities and Departments to make it more tangible.

2.1.1 Distinguishing Roles

Importantly, the chart makes a distinction of 4 different levels of involvement for roles. Language and meaning would suggest that these terms are carefully translated into local language and meaning to ensure that the chart functions appropriately within each Member State.

- **Accountability – "A"** – the ultimate ownership rests with this party. Typically this should be assigned to an individual so that this accountability is very clear and 'owned'. That party may well contribute resource (R/r) to the work also, however the principal role is that of the final decision maker.

- **Responsibility** – "R" or "r" – those parties that provide resource in major or modest proportions to the delivery or content related to that need or activity.

- **Consulted** – "C" or "c" – those parties that provide commentary only on the topic, which those with responsibility include into the deliverable, for the person with accountability to decide upon.

- **Informed** – "i" – those parties that are specifically identified to receive the deliverable, and thus likely act upon it

2.1.2 Determining Activities / Needs / Deliverables

There will be a variety of topics where Government seeks to define policy and practice as regards cities, and smart cities (e.g. research; major national smart linear infrastructures)

And, taken from the perspective of the city as a customer, there will also be a (perhaps somewhat different) list of topics that are most important to cities (and/or Industry and other stakeholders), where they have expectations of Government in terms of seeking direction.

These lists may differ, and indeed the process of exploring this is an important one to set and align expectations.

These can also be articulated as topics with sub-level definition. Indeed they can be structured to the six blueprint themes.

2.1.3 Matching Activities to Roles

The process of matching activities to roles is theoretically very simple. However, it is very rarely done, which can result in confusion and misunderstanding. In a fragmented cities market this can lead to losses. Neither does it help for most effective Government.

An emerging example of this mapping of activities to roles ('ARci') is shown in the figure 1. This is based on the city needs as developed by one 6-N member state. The list of Ministries and 'ARci' roles is arbitrary to explain the concept.

6-Nations Smart Cities Forum "Roles & Responsibilities Mapping Tool" Ministry / Department / City Need	Cabinet	Finance	Tax	Local Gov	Welfare	Health	Environment Energy	Environment Water	Environment Marine	Industry Export	Industry Skills	IT / Digital	Tourism	Commentary
1 Policy, Strategy, Plans	R	A		C	i									
1.1 Set **national level objectives and priorities**	R	r	C	A	c	c								
1.2 Provide **coherence between sectorial policies** related to smart cities														
1.3 Clarify the **role of all public bodies** dealing with smart cities issues														
2 Governance / Organisation														
2.1 Assist cities in a common identification of their needs, particularly urban data	r	R		A	c	C	C	C		i	C	R	i	
2.2 Help cities **structure and pool their requests** towards private companies	r	r		A		R	r			R	R	R		
3 Programmes / Funds														
3.1 Support **innovation and competitiveness** of national industry at home & abroad														
3.1.1 **Call for project**s: co-funding of innovative projects, assist in implementation to avoid legal & admin barriers														
3.1.2 **Evaluation** of projects and identification of criteria for deployment at a larger scale or replicability														
3.1.3 Support **export,** promote national knowhow worldwide														
4 Market Engagement														
4.1 Assist cities in a **common identification of needs**, particularly urban data	r	R		A	c	C	C	C		i	C	R	i	
4.2 Help cities **structure and pool their requests** towards private companies	r	r		A		R	r			R	R	R		
4.3 Use public **procurements** to harmonize the requests				R								A		
4.4 Offer a place to **share experiences**, best practices				R	r	A					r	R		
5 Enabling														
4.1 Ensure social and territorial equity of **access to ICT**: tariffs, territorial coverage of broadband networks, training of users														
4.2 Attend European and international **standardization** activities														
4.3 Training, **capacity building** in new sectors of activities related to smart cities														
4.4 Data Governance														
4.4.1 Provide a legal framework for access, ownership and use of **data**.														
4.4.2 Trusted third party for establishing **data regulation** and governance														
4.4.3 Clear rules for **open data**														
4.4.4 Establish a valuation model for **data**, and specify conditions for free access														
6 Monitoring														

EXAMPLE only on how to fill it in
"A" - accountability
"R/r" - responsibility
"c" - consult
"i" - inform
List your actual Depts and discuss/agree roles

Figure 1: Example Roles & Responsibilities Matrix

Simple rules can be applied in developing this matrix, the likes of:

- Only <u>one</u> single point of accountability ("A")
- The accountable person may also play an active role in the task ("A/R")
- Too many "R's" leads to a clear need to establish sound communications, alignment and management processes
- A 'consult' and 'inform' means just that – the former is two-way for which there is a reasonable expectation that opinions of the person consulted will be built into the final model; the latter is a one-way process where no expectation of feedback is set.

2.2 APPLYING THE TOOL

2.2.1 *Defining City Needs*

The objective is to identify urban topics that are most influenced by the digital agenda – i.e. 'smart city' items. However there will be invariably be a number of contextual things where it is worth clarifying roles.

There are matters that Government command of cities – these include statutory obligations that derive from national policy priorities.

Where appropriate a cascade approach can be taken to define themes & sub-themes / activities.

The most important thing is to focus on actions and deliverables that are 'SMART' (specific, measurable, action-oriented and achievable, realistic & relevant, and time-bounded).

2.2.2   Identifying Action Parties

Start with the basic Government bodies. Within these will be departments that may play a particularly active and / or important role as regards smart cities, and these can be specifically identified.

Include any influential other bodies that – for instance digital industry associations; standardization bodies, institutional investors, etc.

2.2.3   Development of the Matrix

The issue that one seeks to address through the application of this matrix is the lack of clarity and ownership of roles, so doing the exercise as a back-office task will not develop the level of ownership that is essential for things to operate better, and to sustain.

Also, this is to clarify not just to Government; also to cities, and perhaps other parties. So their involvement too is important.

Clearly however starting from a blank sheet of paper in all instances may not be helpful, so for efficiency purpose some matters may be drafted in advance; or indeed dealt with in components. For instance, the definition of what is most important to cities is something that can be valuably addressed through survey, workshops, and discussion.

Generally speaking a draft matrix including some obligations and further examples of activities with some of the roles already defined is a good starting point from which to engage. The best form of engagement is through facilitated workshops.

Do not expect instant and accurate completion. This will take time. The process itself adds value as it clarifies matters to all parties and in so doing often helps resolve issues immediately.

Focus on *accuracy* not *perfection*: the former (by taking an '80/20', Pareto approach will deliver swiftly); the latter is guaranteed to extent timescales, result in heated discourse, and may result in non-delivery of an output. Simplicity and pragmatism are the principles that work best.

An initial draft matrix is something that can be generated within a week. Planning and executing workshops within Government and with Cities may take a handful of weeks to arrange. The whole exercise can be completed well within a few months. It will evolve with time, so best get started.

The outline format and content shown in figure 1 is included in the embedded file here…

6-N SC Ministry-Dept ROLES Mapping (2).xl

3   PROPOSED WAY FORWARD

3.1   TESTING PHASE – SUGGESTIONS!

3.1.1   Dutch Presidency

The Dutch Ministry has – all as part of the run up to the Dutch Presidency – developed some initial working papers to clarify roles of the various Ministries towards the urban, and more specifically smart cities agenda.

This initial work could support a swift piloting of the matrix.

3.1.2   French Strategy

France is presently developing a smart and sustainable cities framework. Applying the matrix to and during this exercise is likely to help structure the capture of some aspects of the thinking and thus add value to the process.

3.2   6-NATIONS REVIEW

The approach has been well proven worldwide (or derivatives thereof) in multiple settings – typically in private sector organisations. As such it works, and will work in the public sector; despite perceived and real differences in governance models between sectors.

Testing within any or all 6-Nations Smart City Forum Member States is suggested – be that as an overall tool to define smart city roles, or as a tool to support a specific initiative [for instance setting up, running, and reviewing a national smart city programme or (set of) competition(s)].

Doing so will provide some solid evidence to discuss amongst the 6-N members prior to further use and broader dissemination.