

行政院及所屬各機關出國報告
(出國類別：考察)

澳洲電子化政府推動策略與成效

服務機關：經濟部

出國人員：職稱：技監兼主任

姓名：林培謙

出國地區：澳洲坎培拉

出國期間：九十年五月廿日

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主辦機關：

經濟部

聯絡人/電話：

出國人員：

林培謙 經濟部 資訊中心 技監兼主任

出國類別：考察

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內容摘要：本次考察係赴澳洲首府坎培拉訪問負責推動電子化政府及資訊業務委外的相關機關，以了解澳洲聯邦政府推動策略及成效。經與澳洲政府相關人員會談後發現，澳洲政府在推動電子化政府或資訊業務委外，都一直受到最高首長的重視並列為施政重點積極推動，最特別的是分別設立國家資訊經濟局推動資訊經濟及電子化政府業務；設立資產出售及資訊委外局負責整合各部會資訊業務後進行整體委外。由此可見澳洲在推動相關政策的決心，設置專責機關及配置充足的專業人力全力推行，值得借鏡。澳洲在電子化政府推動工作上，設定於二〇〇一年完成各項政府服務線上申辦的目標，目標大膽推行至今也獲致成效。在資訊委外政策上，自一九九七年實施至今，在節省經費、獲得優秀人才提供服務也獲致預期成效，惟自二〇〇一年起政策略為調整，由整體大規模、跨部會的委外政策，改為由各機關依權責自行決定如何委外及執行委外招標工作，不再統籌由資產出售及資訊委外局進行發包工作。

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壹、目的：

本次出國考察主要係輔導本部駐澳洲坎培拉經濟組使用本部相關資訊系統，並順道拜訪澳洲相關機關，了解澳洲推動電子化政府及整體資訊作業委外等業務推動之策略及成效供本部參考。

貳、過程：

經由本部駐澳洲坎培拉經濟組之安排，赴隸屬澳洲通訊、資訊科技及藝術部(Ministry for Communications, Information Technology and Arts)的國家資訊經濟局(National office for Information Economy, NOIE)辦公室與下列機關人員分別座談：

- 一、國家資訊經濟局(National Office for Information Economy)。
- 二、資產出售及資訊委外局(Office of Asset Sales and IT Outsourcing)。
- 三、通訊、資訊科技及藝術部(Ministry for Communications, Information Technology and Arts, DCITA)。

座談的主題包括：

- 一、電子化政府(government online)推動現況、遭遇問題及未來展望。
- 二、政府整體資訊業務委外實施情形及成效。澳洲聯邦政府約於四、五年前推動政府整體資訊業務委外作業(outsourcing)將各部會業務相近者之資訊業務合併分五個外包案委由民間業者作業，以節省費用並提升效率。
- 三、澳洲政府資訊業務推動組織的變革。

參、心得

一、電子化政府方面

(一)電子化政府推動策略

澳洲聯邦政府在推動政府業務電腦化工作一直都是非常積極，而且政府高層也都非常重視並列為施政重點推行資訊化工作不遺餘力。澳洲總理霍華德（John Howard）於一九九七年十二月提出 Investing for Growth 的政策白皮書，宣示鼓勵創新投資、擴展貿易與金融服務，並要求聯邦政府加速運用資訊科技於二〇〇一年底將政府各項服務上網。

根據這項政策宣示，通訊、資訊科技及藝術部(DCITA)部長坎培爾(Ian Campbell)於二〇〇〇年四月提出電子化政府策略計畫 (Government Online : The Commonwealth Government's Strategy)，其中提出了下列八項策略，用以整合跨部門資訊服務的開發工作，以提供更好的便民服務。

- 1.各機關應充份運用網際網路的優勢與機會。
- 2.建立良好的資訊服務環境，包括認證、電子出版、電子文件、穩私、資訊安全、詮釋資料標準等。
- 3.加強澳洲偏遠地區政府資訊便民服務。
- 4.運用電子化政府各項推動計畫，促進澳洲資訊產業。
- 5.政府各項業務上網服務。
- 6.監督最佳實務(Best Practice)案例及其發展過程，供各機關觀摩運用。
- 7.促進跨機關資訊服務。
- 8.加強與民意互動。

這些策略最主要目的是要讓澳洲聯邦政府成為一個領先各國，提供優質的政府服務給民眾，成為全年不打烊的網路化政府。

(二)電子化政府主要工作重點

澳洲電子化政府計畫下主要推動的工作重點包括：

- 1.守門者(Gatekeeper)計畫：本計畫係為提供政府部門一個整合、安全及經過認證的網路環境，供各機關傳送資訊及業務上網服務。
- 2.澳洲商業編號／數位簽章憑証(Australian Business Number / Digital Signature Certificate)：提供企業與政府間透過唯一的憑証進行安全的線上資料交換。
- 3.入口網站架構(Portals Framework)：民眾不必瞭解政府組織架構即可透過單一入口網站與政府進行線上互動並獲得政府各項服務。
- 4.電子採購策略(E-procurement Strategy)：提供各聯邦政府機關電子採購的標準規範，促進電子商務之發展。
- 5.創新政府電子化區域服務(Trials in Innovative Government Electronic Regional Services, TIGERS)，此計畫係試辦將各政府機關之各項服務整合在一起，透過網路提供便民服務給偏遠地區的民眾。
- 6.政府資源網(Government Electronic Resources Network, GOVERNMENT)：提供無間隙的、跨機關的政府服務網。
- 7.澳洲政府目錄服務(Australian Government Locator Services, AGLS)：提供銓釋資料之標準，供各機關建立各項政府資訊與服務，以便利民眾查詢及服務。

(三)電子化政府推動成果

澳洲電子化政府最終的目標是要達成霍華德總理所宣示：於二〇〇一年底前透過網際網路提供政府各項便民服務。根據澳洲國家資訊經濟局(NOIE)於二〇〇一年三月所作之調查報告各機關推動顯示成果如下：

- 1.線上服務：已有 17%的政府機關已全面上網提供所有服務。93%的受調查單位認為可達成二〇〇一年全面上網提供服務的目標。其餘 7%認為可於二〇〇二年全面上網。
- 2.服務類型：上網提供之服務已從靜態網頁資訊提供，進展至資料下載服務、資訊處理及交易處理服務。目前已提供 343 項服務屬於交易處理性質之服務。

- 3.電子付款：已有 20%的機關透過電子支付方式，支付廠商款項。
- 4.線上服務項目：目前各機關已提供 1315 項線上服務，未來將再增加 622 項，合計可提供 1,937 項服務。
- 5.商業、工業界及民眾常提及受益於政府所提供之各項便民服務。
- 6.各機關皆依循聯邦政府所提供之隱私保護準則，建置各項資料。

(四)推動電子化政府遭遇之問題

澳洲聯邦政府在推動電子化政府最常遇上的問題有下列四項：

- 1.缺乏資源及經費。
- 2.民眾上網使用意願不高。
- 3.身份認證及安全的顧慮。
- 4.資訊基礎架構及技術上的限制。

二、資訊業務委外方面

(一)資訊業務委外推動策略

我國曾於民國八十七年由行政院研考會訂定了「行政院所屬各機關資訊業務整體委外作業實施辦法」鼓勵政府機關運用業界人力及技術加速政府業務電腦化並精實政府員額。相似地，澳洲聯邦政府於一九九七年亦決定採取政府整體資訊作業委外策略，並由資產出售及資訊委外局(Office of Asset Sales and IT Outsourcing,OASITO)負責規劃執行，整體涉及的經費約台幣 800 億元，經費頗大，澳洲政府即是以此經費來帶動中小企業並希望建立有效率高品質的資訊服務產業，成為亞太地區資訊服務業的先進國家。

澳洲政府推動整體資訊業務委外主要之目標為：

- 1.鼓勵市場競爭。
- 2.鼓勵跨機關運用共同資訊架構以增進效率及加速資訊系統建置。

- 3.降低各機關各自開發共同性業務軟體及採購所造成之重複投資。
- 4.增進服務水準並且降低費用。
- 5.有效運用業界的技能及服務。
- 6.奠立澳洲政府成為世界領先運用資訊科技提供民眾低成本，隨處可使用之各項政府的資訊服務。
- 7.支援資訊與通訊產業成長。
- 8.增進澳洲資訊、通訊產業在世界上的競爭力。
- 9.促進就業成長及郊區發展。

(二)推動成果

根據上述的推動策略，澳洲政府於一九九七至二〇〇〇年間主要係致力於將聯邦各部會依性質及經濟規模整合為五組，並透過公開競標方式進行整體資訊服務委外工作，分別於一九九八至一九九九年間外包給 CSC(Computer Sciences Corporation)、EDS、Advantra、IBM、IPEX 等五家不同公司，總計經費約為澳幣十二億元（約台幣 220 億元），共有 23 個部會或機關參與佔總機關的一半。

資訊委外工作執行至今主要的成果如下：

- 1.節省資訊相關經費支出。
- 2.可獲得世界各國最佳技術與人才，提供服務。
- 3.可獲得最新技術。
- 4.促進資訊工業及服務業的發展。
- 5.政府部門資訊人員可獲得更佳資訊專業生涯機會。

這些成果與當初所訂之目標相去不遠，但在執行一段時間後陸續也發現一些風險，值得注意。

(三)遭遇問題

- 1.由於澳洲資訊委外係採集中且強制性整合各機關業務，透過資產出售及資訊委外局統一外包，造成不少機關反彈。
- 2.集中整體委外與各機關所賦予之法律權責有所衝突，委外成功與否各獨立機關無法獨立監控，責任不易歸屬。

- 3.在推動整體委外策略下，優先處理的重點擺在如何執行委外計畫，而把涉及高風險、複雜度高的資訊作業及如何管理委外專案等重點未充分考量，以致造成後續作業的困擾及增加不少管理成本。
- 4.各機關首長對整體委外作業大都持保留態度，也不認為整體委外是最佳的方式，因此在整體委外推動的各階段皆造成不少困難及障礙。
- 5.整體委外由於專案龐大，涉及法律義務、服務水準、資料安全、人員移置、業務轉移及專案管理等細節頗多，因此，專案在準備、招標、決標等過程冗長，影響進度。
- 6.整體委外各專案由於非常龐大，反而加高業者投標的門檻，大多數業者無法獲益。

(四)改善措施

整體委外執行過程所遭遇的這些問題，澳洲負責資訊整體委外政策的財政部便委託澳洲證券交易所總經理 Mr. Richard Humphry 進行評估診斷工作，並於二〇〇一年一月發布評估報告(Mr. Humphry's Review)，其報告中主要建議改善措施如下：

- 1.資訊委外計畫執行機關改由各獨立機關自行決定委外範圍及作法，而不統籌由資產出售及資訊委外局負責。
- 2.各機關首長應依所賦予之法定權責，自行決定當委外專案到期後，是否繼續依原來方式繼續委外。
- 3.尚未進行資訊委外或進行中的各機關首長應注意委外建置可能遭遇的風險。

整體而言，澳洲政府仍然認為資訊委外是正確的策略，在執行數年後，做了以上的改善措施，促使委外工作進行的更順利，使各機關可採取較具彈性的委外作法並且直接負責成敗。

三、澳洲政府資訊業務推動組織的變革

澳洲政府資訊業務推動組織頗具彈性，常常依需要而調整、增設或裁撤，從組織設置的積極亦可看出澳洲政府非常重視資訊業務在政府服務所扮演的角色，並且投入不少資源及人力推動資訊業務，以

最近設置的國家資訊經濟局為例，即配置了一百六十五位專業人力統籌規劃各項業務。澳洲資訊相關推動組織簡介如下：

(一) 資訊交換推動委員會(The Information Exchange Steering Committee, IESC)(一九八五—一九九六)。

此委員會成立於一九八五年，係為諮詢性質組織負責推動機關間電腦系統互連，促進資訊交換，同時也負責策訂聯邦政府資訊與通訊技術應用之政策及策略及標準，本組織原隸屬於公眾服務委員會(Public Service Board)下，一九八七年起改隸屬於財政部之下，召集人為財政部副秘書長(Deputy Secretary)委員會成員為各主要部會之副秘書長或處長層級官員組成，本組織扮演政府綜合規劃與協調的角色。

(二) 政府資訊技術局(Office of Government Information Technology, OGIT)

設局成立於一九九五年七月，係依據政府「顧客第一」報告書之建議而成立，取代成立了十年的資訊交換推動委員會。共約有三十名職員，主要職掌為：

- 研擬資訊技術與管理之策略計畫，以支援政府現在及未來各項服務的推行。
- 提供政府機關資訊與通訊應用之一致性政策與具體作法。
- 提供政府機關進行資訊技術、管理與通訊策略規劃之諮詢服務。
- 支援開發政府共通性應用軟體。
- 負責規劃並向業者購買政府整體性通信服務。

澳洲政府為了能以政府為一整體，來考量資訊通訊技術的有效運用，特別正式成立此室隸屬於財政部之下，取代原來的任務編組，顯示澳洲對資訊通訊科技之運用特別重視。同時也設置了一個頗特殊的職位—政府資訊長(Chief Government Information Officer, CGIO)主管此局，並負責聯邦政府資訊技術應用的規劃。首任資訊長 Macdonald 先生係自加拿大挖角來的，Macdonald 先生原任職加拿大政府資訊長。

澳洲政府資訊長設置之目的與功能為：

- 負責召集資訊與通訊技術政策諮詢委員會。
- 負責指導政府機關有效運用資訊科技。
- 負責有效運用資訊科技為財政部部長規劃澳洲公眾服務之藍圖。
- 提出政府機關共通性業務資訊系統解決方案，並有效推廣。
- 研擬政府資訊處理所需的標準。
- 蒐集並散布各國運用資訊科技提供公眾服務的資訊供澳洲政府機關參考。
- 推動示範機關的觀念，補助在特定應用有成效之機關成為示範機關，提供特定領域較佳之解決方案供各機關採行。

(三)政府資訊服務政策委員會(Government Information Service Policy Board, GISPB)

澳洲政府依據「民眾第一」之建議所成立的委員會，委員會召集人為政府資訊長，此委員會之主要任務為協助政府資訊長及政府資訊技術室建立使用者導向的政府整合性資訊應用策略，具體之任務為：

- 促進並推動各政府機關採行跨機關之資訊應用與服務。
- 找出政府資訊基礎建設及服務提供的整合機會，並推動各政府機關採行最佳的解決方法去實施，這些方法包括資訊業務委外(outsourcing)或與民間合作。
- 以提供民眾服務為重心，研擬政府資訊技術應用及資訊服務的遠景。(vision)
- 提供建議及促成：
 - *政府跨機關資訊系統之開發與應用。
 - *有效合併較小的資訊中心成為較大的資訊中心。

此委員會共由十八個機關代表組成，在此委員會之下，同時也成立許多跨部會工作小組及推動委員會，由不同的機關負責召集，推動政府整體性(Whole-of-government)的資訊業務。

(四)資訊科技與通信政策諮詢委員會(Information Technology and

Telecommunication Policy Advisory Committee, ITTPAC)

1996年10月10日澳洲聯邦政府宣布成立此委員會以取代前述的政府資訊服務政策委員會(GISPB)，主要的原因係財政部長認為 GISPB 在革新政府資訊服務及整體委外政策的研擬上沒有具體績效，因此另成立由民間代表組成的新委員會來促成應興應革的工作。這個資訊科技與資訊政策諮詢委員會(ITTPAC)，係由九位專家組成，成員由財政部長親自遴選，其中四人為民間大型企業主管並且具有運用資訊科技提供創新服務的經驗，另外五人為政府部門主管。委員會之召集人係由政府資訊長 Mr. Andy Macdonald 擔任。委員的任期為二年，委員會的秘書事務支援係由政府資訊技術室負責。

這個委員會最主要的任務為：

提供政府機關創新應用資訊技術，提供各項服務的策略性建議給財政部長。因此，此委員會工作內容主要包括了：

- 聯邦政府資訊處理平台(platform)整體委外的策略。
- 有效合理化政府部門通信網路。
- 政府資訊透過網路流通。
- 以單一窗口的理念提供政府的服務。
- 透過政府整體資訊作業委外促進資訊工業發展。
- 聯邦與州政府共同投資資訊處理平台。

這個委員會成立後，即頗積極的就聯邦政府資訊處理平台整體委外的策略進行研究，並提出可行性報告給財政部長，財政部長即於1997年4月25日正式宣佈除國防等特別性質機關外，全聯邦政府機關之資訊處理平台一律採行整體委外的策略，並要求各政府機關於二年內完成委外工作。

(五)電子化政府局(Office of Government Online,OGO)

於一九九六年澳洲政府將電子化政府列為重點工作，因此，即將政府資訊技術局(OGIT)改名為電子化政府局負責推動電子化政府的相關重點工作。

(六)國家資訊經濟局(National Office for Information Economy,NOIE)

國家資訊經濟局於一九九七年十月正式成立，係隸屬於通訊、資訊技術及藝術部下之一獨立機關，負責發展及協調政府資訊經濟相關策略及議題，包括了：

1. 資訊與通訊科技所帶動之資訊經濟對產業的影響。
2. 電子化政府、電子化商務所需之法規環境與實體基礎架構。
3. 運用新科技提昇政府管理及便民服務之提供。
4. 協助政府及企業推動電子化政府及電子商務。
5. 統合政府各部門有關資訊經濟策略與國際對話工作。
6. 加強發展資訊經濟提昇澳洲競爭力。
7. 推動縮短數位落差、強化資通訊安全以及其他促進資訊經濟發展所需的工作。

該局之下共分三組辦事，三組分別為資訊經濟組(Information Economy)，資訊產業組(Information Industry)及電子化政府組(Government Online)，其中電子化政府組係將原隸屬財政部下的電子化政府局(Office of Government Online,OGO)併入的，全部共配置了一百六十五位專業人力。由該局所賦予的職掌與人力資源，可看出澳洲政府對資訊經濟前景及影響的重視，全力投入以開創澳洲在資訊經濟下更美好的未來。

肆、考察建議

- 一、自一九九五年網際網路開始商業化應用後，網際網路對企業經營、政府服務或日常生活皆引起革命性的創新應用，所以世界各先進國家在各項國家建設計畫中，無不鼓勵運用網際網路創造知識經濟社會。澳洲於一九九七年即鼓勵運用網際網路提供政府創新服務，並要求聯邦政府於二〇〇一年全面完成政府各項服務網路申辦工作，可算是先進國家中較大膽的目標，其他國家如英國的目標是二〇〇五年，新加坡是二〇〇一年，美國是二〇〇三年，加拿大二〇〇四年，日本二〇〇三年，我國在電子化政府方案中則是預定於二〇〇五年完成 40%政府服務上網的目標，目標不算高，因此，建議行政院在推動的策略上，宜選定對民眾或企業影響面大的政府服務，優先投入資源積極建置，將可獲致更可觀的

成效，也不致於落後世界各先進國家。

二、澳洲政府在推動電子化政府或資訊業務委外等重大政策時，都獲致政府最高層首長的支持與重視，而且很特別的都設置專責機關，給予適當的資源、權責及人力全力去推行政策，而且組織深具彈性隨時依據政策的需要設置、裁撤或重組，例如，為了推行電子化政府就將原設的政府資訊技術局(Office of Government Information Technology,OGIT)改為電子化政府局(Office of Government Online,OGO)，一九九七年為了推動資訊經濟，就成立國家資訊經濟局(NOIE)，將電子化政府局納入，並將原隸於財政部下的電子化政府局轉隸屬通訊、資訊技術及藝術部，而且給予一百六十五位專業人力推動相關業務。另外為推動資訊業務委外特別成立了資產出售及資訊委外局，統籌規劃跨部會的資訊業務整合工作，並負責統一外包工作等。反觀我國雖然負責規劃電子化政府的行政院研考會資訊管理處投入很多心思規劃，但受限於只有二十多位專業人力，實難將推動電子化政府所需的各項標準、規範、認證、安全、跨機關流程整合等環境完備規劃。因此，建議行政院宜重視電子化政府的工作並給予相關權責單位足夠的職權及資源才能有效進行各項項規劃，使我國電子化政府的效能領先各國，同時也可透過電子化政府的推動帶動資訊相關產業的發展，獲致政府、產業與民眾三贏的局面。

三、在世界各國推動電子化政府的過程中，所遭遇便民服務上網的困難，最主要為身份認證及隱私權的問題。由於大多數國家民眾對政府發行網路身份認證可能對隱私的侵害致推行不易，也因此造成政府線上交易服務系統無法有效運作，使便民服務的成效不彰，因為一旦無網路身份認證，很多涉及民眾權益的服務即無法上網，民眾就不易受益。我國在推動網路身分認證上比起其他各國應較樂觀。首先電子簽章法於九十年已完成立法工作，九十一年施行細則即可公布施行，應可促進電子商務，讓民眾熟悉網路交易的便利性及安全性。另外本部所推動的公司法人電子認證服務即將於九十一年提供服務，衛生署所推動之 IC 健保卡也將於九

十一年推出，內政部所規劃之個人身份認證服務也在推動中，這些推動成果將可使民眾有意願運用網路身份認證機制，在網路上獲得政府各項服務，使政府推動電子化政府之預期成效可達成，民眾也可直接受益。因此，我國在網路個人身份認證的應用環境應較其他國家樂觀，因此，建議各級政府機關宜積極規劃、建置各項網路申辦服務，使我國電子化政府之績效可領先其他國家。

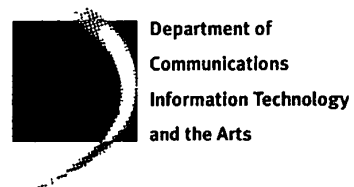
四、澳洲政府在推動電子化政府所遭遇的困難，如缺乏資源及經費，其實也是我國各機關普遍的困難，由於資訊經費係在一般行政項下，以近幾年預算編列的情形可知，都是負成長。所以各機關普遍缺乏經費推動資訊服務上網的工作，如此將影響推動的成效。因此建議行政院宜重視此一現象，並能將電子化政府之推動列為國家經濟建設之重點工作，由經濟建設經費支援重點業務之建置工作，如此將可提早完成電子化政府的重點工作，建立以民眾為導向的服務型政府。

五、本部所主管的業務範圍龐大，舉凡工商管理、智慧財產、標準檢驗、國際貿易、中小企業、技術研發、油電能源、水資源等，各項業務皆影響國家經濟之發展。各機關在有限的經費下，如何將與廣大民眾或企業有關的各項服務，透過網路提供更及時及更便捷的服務，將影響企業的活力及經濟的發展；因此建議本部所屬各機關宜檢視各項便民服務及早將涉及廣大的民眾或企業的服務項目（如工商服務、無紙化貿易、專利商標審查、標準檢驗等）透過網路提供服務，以彰顯本部電子化政府推動的成效並促進經濟發展。

六、澳洲資訊業務委外政策推動至今，主要的成效如節省經費、獲得較佳的技術及人才等都顯而易見，尚屬成功。惟第一階段所推動的五大分組由於跨部會且系統龐大，所以委外過程複雜且費時，影響績效，所以澳洲政府自二〇〇一年起即決定不再由資產出售及資訊委外局負責委外工作，而改由各機關首長依權責自行決定委外方式，以符權責。澳洲的經驗值得我國參考，我國在整體資訊委外政策上本就不具強制性，也未要求跨部會業務整合後委

外，所以並無澳洲所遭遇的阻礙，但相對的也較看不到委外的績效，各部會所進行的只是機關內部分系統管理或系統開發委外的工作，不易達到經濟規模獲致成效。行政院組織基準法及員額法未來若通過後，各機關能設置的幕僚單位只能有五個，屆時資訊單位將不易受重視，在這樣的組織架構下不易推展資訊業務。屆時，建議可採取較大規模的資訊業務委外，將一個部會內（如經濟部）的資訊業務整合後進行委外，如此既可獲致經濟規模、節省經費又可在較精實的資訊組織及人力下，推動電子化政府的業務而獲致預期的成效，不致影響政府管理與便民服務的績效。

附錄一



GovernmentOnline

The Commonwealth Government's Strategy

April 2000

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FOREWORD

The global information technology revolution is continuing at a staggering rate. It is estimated that within two years, half of all adult Australians will be regular users of the Internet. All governments and businesses must be ready to meet the increased demand for effective online services.

In December 1997, Australia's Prime Minister, John Howard, announced in the *Investing for Growth* statement, the Commonwealth Government's commitment to putting all appropriate Government services online by 2001. Since that announcement considerable progress has been made towards this goal. However, much remains to be done.

The Government must develop more and better services online—integrated services that break down the barriers of Government structure and jurisdiction, and services that meet the real needs of individuals and business. Only through concerted action with other governments, industry and the community, can we realise the opportunities now within reach.

Government Online will drive the development of a seamless national approach to the provision of online services. Users of these services should not need to understand how Government is structured to interact with it easily and safely. This document outlines the steps being taken to make sure this is possible.

The strategy will become a key reference for Government agencies and their stakeholders, setting out an operational framework for agencies to meet the Prime Minister's 2001 target. It also defines the role of agencies in developing online services, and the opportunities they will have to report on their plans and progress. Stakeholders will also be able to use this strategy to plan working, and conducting business, with Government online.

Government Online will build unprecedented opportunities for people and business to interact with Government regardless of where they are located in Australia. The Australian Government's commitment is to use the benefits of modern technology to deliver better quality service.

Ian Campbell

INTRODUCTION

The information economy has been with us for only a few years, but in that short time it has come to be regarded as one of the contributors to the current sustained period of economic growth. Its potential to expand economic and social opportunities is being rapidly exploited. There is hardly any sphere of activity which is not able to be improved by the online environment—to achieve more, and to do it more quickly and efficiently.

This potential has been highlighted in a number of the Government's policy statements. The Prime Minister's December 1997 policy statement *Investing for Growth* outlined the importance of the information age for national prosperity, and the ways in which the Government is promoting and supporting the uptake of the online environment, through:

- strong leadership;
- encouraging business and consumer confidence;
- getting key Australian sectors online; and
- fostering the development of the information industries.

Integral to the Government's role in providing people with confidence in, and understanding of, the online environment is how well the Government itself makes the online transition.

The Government made a commitment in *Investing for Growth* to show leadership in the information economy by adopting online technologies to provide better services and improve its own business practices. Specific commitments were made to:

- deliver all appropriate Commonwealth services electronically on the Internet by 2001, complementing—not replacing—existing written, telephone, fax and counter services;
- establish a Government Information Centre through the Office for Government Online as a main point of access to information about government services;
- establish electronic payment as the normal means for Commonwealth payments by 2000; and

- establish a government-wide intranet for secure online communication.

A *Strategic Framework for the Information Economy*, released in December 1998, outlined the Government's ten key strategic priorities for the information economy together with associated key action areas, covering areas such as skills, infrastructure, electronic commerce, industry development, health, culture, and regulation. First and foremost of these priorities was maximising the opportunities for all Australians to benefit from the information economy. One of the ten key strategic online priorities is to 'implement a world class model for delivery of all appropriate government services online'. This strategy outlines in more detail the Government's approach to providing services online.

Why Government Online?

Getting *Government Online* is a natural and important step in the development of government and the community interaction. Since 1997, Commonwealth agencies have been developing service charters—short plain language explanations of the service quality standards that clients of government agencies can expect—with the aim of improving service quality and increasing the responsiveness of the public service. As agencies have begun to move online, there are increasing reports from agencies that clients are expecting and demanding more of the agency's information and services to be accessible online.

This is hardly surprising. Australia is well placed to take advantage of the Internet. We have the third highest per capita usage of the Internet, after Finland and the United States of America. It is estimated that half of all adult Australians will use the Internet by 2001. And as Internet take-up rates increase, so too will expectations that government information and services will be available. *Government Online* is a natural extension of the emphasis on service quality and meeting the needs of clients.

For many areas in government, the online environment will enable better program outcomes. For example, the [Australian Job Search](#) site contains every job listed with every job network member across the country together with vacancies in the Commonwealth, those advertised in selected newspapers and some lodged directly by employers. It is the largest employment database in the country, and provides the opportunity for people

to find what they want when they want it, in a manner which suits and is natural for them. An online facility such as this will enable more matching and better matching of job vacancies with job seekers.

Government Online will contribute more broadly to service quality beyond just the impact on individual agencies and their service charters. Online technology has the potential to break down traditional barriers faced by clients.

Online access to information and services can have a significant positive impact for regional communities, older Australians and the disabled. *Government Online* can address the inequities of regional/rural Australia in accessing government information and services. It can break down the barrier of distance or mobility that some clients face. Online service delivery can complement and enhance existing traditional service channels for such clients, and provide around the clock access to government from almost anywhere.

Government Online will remove the need to understand the structure of the Commonwealth Government and the distinction between it and other tiers of government.

Business in particular has had to navigate the complex structure of government to gain the necessary information or service—often having to deal with more than one government agency or jurisdiction to resolve a business issue. The Business Entry Point is a cooperative initiative of the Commonwealth, State and Territory Governments that brings together business information and services at a single point. It allows business to access current information on a wide range of government assistance programs and services; make initial business registrations online and undertake a number of transactions; and submit tenders for some government contracts.

Government Online will continue to provide opportunities to reduce the costs to business and government of interacting with each other. A key element of the introduction of taxation reform will be the opportunity for businesses (and for larger businesses a requirement) to deal electronically with the Australian Taxation Office (ATO) to reduce compliance costs. Similar opportunities are also being provided to individuals, with the introduction of direct electronic lodgement of personal taxation returns.

Exporters of meat and dairy products are now able to obtain electronically a single clearance from both the Australian Quarantine and Inspection Service and the Australian Customs Service, greatly simplifying and streamlining the clearance process. This facility is being progressively expanded to other food industries.

These two initiatives and others like them will reduce costs and speed up operational processes for both business and government.

Until recently the community has also needed to understand government structures to access information. The Commonwealth Government entry point, developed and managed by the Department of Finance and Administration (DOFA) as part of its whole-of-government information access responsibilities, is an important milestone in delivering a transparent, one stop access point to this information for all Australians. It has been internationally recognised as leading the field for the development of government entry points.

While in the short term moving information and services online will require new investments by agencies while retaining traditional service delivery channels, in the longer run greater use of the Internet will reduce overall costs.

Government as a leading edge online user will have a strong demonstration effect for the entire community—that there are real benefits to be had from widespread uptake of the information economy.

Where are we now?

Recent surveys of Commonwealth departments and agencies by the Australian National Audit Office (ANAO) and the Office for Government Online (OGO) indicate that the Prime Minister's 2001 commitment is likely to be met by the great majority (82 per cent) of respondent agencies. It further indicates that the great majority of those agencies are well advanced in identifying potential services to be brought online.

Achievement of the 2001 goal is likely to be met as the result of concerted action by agencies to identify suitable services and bring them online. A recent progress report published by OGO, based on the result of these two surveys, concluded that the great majority of agencies were well positioned to

meet the Government's commitment to deliver appropriate services on the Internet by 2001.

The progress report found that more than 90 per cent of respondents had established the foundation for online service delivery—an Internet website. For many agencies, establishing a website might be all that is appropriate to meet the 2001 commitment—this would be the case for those agencies that simply provide information and publications to the public. However many agencies are likely to move to provide more advanced services, such as interactive services, transactional services and services which are integrated with those of other agencies and jurisdictions. Only two per cent of agencies are currently at the most advanced stage of providing integrated transactional services, but around half had moved beyond merely providing a website.

More than 400 online service delivery initiatives have been identified by respondents to the surveys, providing a picture of widespread benefits to government clients. Services delivered through the Internet include:

- client-service information and support;
- procurement;
- payment to suppliers;
- receipt of revenue;
- public relations; and
- advertising.

The progress report identified a number of case studies of customer focused initiatives in the online environment. In addition to the services for business outlined above, there are an increasing number of services aimed at the community. The progress report highlighted the examples of online services to overseas students, weather services and improved access to consumer protection services.

Initiatives such as these require a common set of 'enablers' to be in place to facilitate their development and their use. Considerable progress has already been made on several key enablers.

For example, many transactions and services require the authenticity of the other party to be established and the security of the transaction to be assured. The Government has created the Gatekeeper Government Public Key Infrastructure (GPKI) framework to allow for the accreditation of certification

authority service providers and their public key technology products which provide this surety.

As part of the introduction of the Australian Business Number, the Government is developing a common digital signature certificate, which enables businesses to provide information to government in a secure and authenticated online environment.

Another common enabler is the ability to easily find and navigate information across a number of agencies. Together with the States and Territories, the Commonwealth Government has been developing a standard technique, the Australian Government Locator Service (AGLS), for describing and labelling information and services. AGLS will enable users to easily find what they want, without unduly constraining agencies in the way that they develop their online applications.

Where we want to be—the possibilities of

Government Online

Government Online aims to extend the benefits of the information revolution currently being experienced by individuals, communities and businesses in their dealings with each other to their dealings with government.

Government Online has as its objective an environment where virtually all government services are available around the clock to anyone.

While face-to-face and telephone services will have some limitations on availability, technological approaches offer the potential of around the clock access to government from any suitable electronic device and from any location. The Internet frees users from having to deal with government at a government office, and wireless communications solutions will provide even greater freedom. *Government Online* will aim to make best use of available and emerging technology.

Of course the online environment does not do away with the need for traditional ways of dealing with government, and service quality in these areas must be maintained. *Government Online* will provide the opportunity to complement and enhance traditional service delivery, by enhancing the range

and quality of services that can be obtained from an office or over the telephone.

Government Online has as its objective a complete range of high quality, low cost online services.

Users of government services will be naturally attracted to dealing with *Government Online* if they can be sure in advance of finding what they want online, and that the quality of the service will make the effort worthwhile.

Government Online has as its objective tailored services that are easy to use and allow people to interact with Government in a way which is natural to them.

In the offline environment, clients often find it hard to access the full range of services that are of interest or relevance to them. Services can be hard to identify and locate. It can often be impractical for clients to access all services that they require.

In the online environment, the task of locating and identifying services can be made straightforward and intuitive. Separate services can be integrated. Multiple approaches to accessing information and services can be designed, so that people who look for services targeted towards their sector or group or community can find the information they need easily. Others may think in terms of subject matter. Others may expect services classified by their stage in life. The online environment will allow individuals to tailor and select their approach to government.

Government Online has as its objective bringing government closer to people to encourage people to interact with government.

The service charters developed by agencies in recent years seek to improve the quality of service to clients. However, government can still seem remote to many people. The online environment will allow government to reach out to individuals, communities and businesses to provide a direct channel to government. People will have the ability to customise their online channel with government, to make it more useful, familiar, convenient and in many instances, transparent. This will lead the Australian community to have a greater familiarity with government policy and programs.

How will we get there?

While the vision for *Government Online* is clear, government, like business, is learning how to evolve towards its longer term target.

The information economy era, although only a few years old, has already provided lessons about how to approach placing information and services online. Online service delivery should be designed to be flexible and adaptable over time. Rigid models designed solely from experiences and approaches in the offline environment and without an understanding of clients' online needs are unlikely to succeed. Online service delivery needs to be integrated closely with other service delivery channels.

Online service delivery therefore needs to grow and evolve over time in light of experience. A pragmatic approach is appropriate, with continual development and improvement being based on experience to date and lessons from the experiences of others. This is the broad approach that the Commonwealth Government will adopt in meeting the 2001 commitment.

THE STRATEGY

The Commonwealth delivers a range of programs and services through a large number of departments, authorities and companies. Each of these agencies already has specific program objectives and a range of traditional program delivery mechanisms. The online environment will be an extension of these traditional mechanisms, and will be closely integrated with them.

Under this approach, decisions about which programs should be the first to go online, how this will be done, and which applications might not be appropriate to go online are best taken by each agency. Individual agencies are best suited to placing services online in a pragmatic, evolving manner suited to that agency's clients, and is integrated with the broader customer service and continuous improvement charters of government.

While individual agencies have an important role to play, *Government Online* needs to be more than the sum of its component parts. OGO will partner with other agencies in facilitating cross-agency initiatives, promulgating basic standards, setting in place enabling technologies, and facilitating a seamless interface to government for clients.

The Commonwealth will work with the States and Territories through the Online Council to promote a national approach to *Government Online*. OGO and other relevant Commonwealth agencies will work closely with the States and Territories to facilitate a national approach to seamless online government for clients.

STRATEGIC PRIORITY 1

AGENCIES TO TAKE FULL ADVANTAGE OF THE OPPORTUNITIES THE INTERNET PROVIDES

A building block of this *Government Online* strategy is that the Internet will continue to be embraced by agencies as a mainstream environment when providing information and services, and dealing with clients. Agencies are already active in their use of the Internet, and will continue to move to take full advantage of the opportunities that it provides.

In so doing, each agency will develop further its understanding of the online environment, what the online needs of clients are, what the possibilities are and how best to deliver services.

SPECIFIC ACTION

(i) Online Action Plans

Under an agency-based approach, each agency will need to adopt a thorough and systematic approach to placing its information and services online. As part of this strategy, each agency will develop and publish by September 2000 an *Online Action Plan*.

Each agency's *Online Action Plan* will:

- be based on a comprehensive audit of the agency's information, transactions, purchasing arrangements and other external dealings;
- be related to the agency's customer service charter; identify all functions which potentially could be made available online;
- identify services which could be coordinated with the delivery of services of other agencies;
- identify an indicative timeframe for bringing all those functions online;
- and

- indicate impediments which need to be removed to achieve the Prime Minister's 2001 target.

An *Online Action Plan* should also address issues such as legislative issues, costs and benefits of Internet service delivery, and risk control strategies for Internet and other electronic service delivery. The strategies will also need to ensure that the minimum mandated common standards and online requirements discussed below are implemented.

(ii) Reporting arrangements

In addition to the plans, a reporting framework will be established to enable the monitoring of progress towards the 2001 target. All agencies will report twice yearly to OGO on progress in key areas. The reporting framework will be finalised by OGO, in consultation with agencies, with a view to minimising the burden on agencies, while gathering sufficient basic data to ensure a whole-of-government assessment can be formed.

It is envisaged that the electronic reporting framework will cover the general level of progress in moving information and services online, as well as progress against the specific commitments contained in this strategy regarding minimum standards and procurement and supplier payment. Reporting will also cover the scope for cross agency/jurisdiction integrated services which have been identified and/or implemented; other key impediments which have been identified; and the beneficiaries of online initiatives.

(iii) Online Information Service Obligations

A key feature of the Government's presence online will be the comprehensive and authoritative nature of information available. Much of this information is already available online. For example, legislation can be accessed through SCALEplus and the Commonwealth Government Directory (GOLD) is available online. These and other online services are accessible through the Commonwealth Government Entry Point. The majority of Commonwealth departments and agencies have a website. Despite all this, the quality and quantity of information services provided online is not yet fully consistent, complete and up-to-date.

All established Commonwealth information frameworks and principles are equally applicable to the online environment as to traditional forms of information and service delivery. As part of this strategy, the Government

will complement the established information frameworks and principles, discussed in more detail under Strategic Priority 2, with Online Information Service Obligations (OISOs) for agencies. AusInfo, in the Department of Finance and Administration, has policy responsibility for the OISOs and their ongoing development.

OISOs will ensure that a minimum, common set of information about agencies and their services is readily available online, and to ensure that any information released to the public in printed form is also available online at the same time. This includes basic information such as organisational contact details and other corporate information, media releases, speeches and legislative information.

While OISOs may be hosted on an agency's website, wherever possible the capabilities of the Internet should be exploited through the principle of storing information once but linking to this information from multiple sites. For example, legislation is currently available at the SCALEplus website and can be linked from any agency's website.

In addition, all publications and forms for public use must be made available online concurrently with other forms of distribution. The online availability of printable forms will enable anyone who needs to submit a form in many cases to do so without the need to visit an agency office. While agencies should strive for full online service delivery where practicable, the availability of online forms will be a useful step in this direction.

OISOs will be implemented in a staged manner. From 1 June 2000, all new website content falling within these OISOs are to be routinely placed online and all new non-commercial publications are to be made available online concurrently with other forms of dissemination. It will be a matter for agencies to determine the appropriateness of existing documents to be made available, with those being placed online by 1 December 2000. All forms for public use must be available online, to be downloaded and/or electronically completed, by 1 December 2000. Refer to Annex A for further details.

Once all appropriate services are online, the array of available information and services will be substantial. The Government's presence must not only be comprehensive, but it must also be easy to use. The main entry point for the Commonwealth Government is an essential part of the Commonwealth's strategy for providing transparent and comprehensive access to government

agencies and information. There are opportunities to enhance these facilities and make them simpler and more powerful through the use of metadata and by the creation of customer-oriented channels.

OGO and DOFA, with its responsibility for whole-of-government access and publishing, will facilitate the development of an integrated network of customer-focused channels in conjunction with other lead agencies. These are intended to complement and enhance existing channels and be accessible through the Government's main entry point. Using these facilities, individuals, communities and businesses will be able to locate information through a range of approaches that suit their circumstances without the need to understand the structure of government.

STRATEGIC PRIORITY 2

ENSURE THE ENABLERS ARE IN PLACE

As agencies place information and services online, it is inevitable that they will face common policy issues and practical challenges. The Government's strategy places an emphasis on the early identification and resolution of common issues and challenges. Some of these enablers will assist agencies to overcome practical problems, while others will provide guidance about the approach to adopt where no obvious choice currently exists. Many of these enablers have already been identified and work is at an advanced stage.

SPECIFIC ACTION - USER CONFIDENCE

The Government's *Strategic Framework for the Information Economy* had as one of its strategic priorities the development of a legal and regulatory framework to facilitate electronic commerce. It noted the importance of securing the confidence of all Australians that online information and transactions are private, and secure and, where necessary, that the identity of the counter-party is authenticated. Some aspects of user confidence are being dealt with in an economy-wide manner, such as the passage of the *Electronic Transactions Act* to provide legal certainty for online transactions. Even so, there are several specific areas where it will be important to ensure that this aspect of the Strategic Framework is implemented for government information and services if *Government Online* is to be successful.

(i) Authentication

A common feature of online service delivery and financial transactions is the need for each party to the transaction to ensure the authenticity of the other party, and to ensure the integrity and security of the information exchanged as part of the transaction. Electronic Authentication technologies such as 'public key' provide a means to meet these requirements. The Government already has in place the Gatekeeper framework for the use of public key authentication technology within the Commonwealth Government.

Arising from the rollout of the Australian Business Number (ABN) to Australian business, as part of the implementation of taxation reform, the Government has announced a specific public key digital signature process—the ABN-DSC—able to be used by Australian businesses in dealing with the Commonwealth. This online digital signature certificate, which authenticates the identity of each business, will be linked to the ABN, and be used by all agencies.

OGO will work with agencies, industry and other jurisdictions to implement electronic authentication technologies as part of their online service delivery initiatives.

(ii) Privacy

The protection of personal information on the Internet is widely regarded as a threshold issue for many people who use or who are considering using the Internet for providing information to or transacting with agencies.

Commonwealth agencies are already bound by the Privacy Act 1988 to handle personal information in accordance with the Act's information privacy principles. It is the responsibility of Commonwealth departments and agencies to ensure that their websites comply with the Privacy Act 1988. The Privacy Commissioner has issued guidelines to agencies to assist them in ensuring that the privacy practices of their websites and other online activities comply with the Act. The guidelines cover: openness; collection of personal information; security of personal information; and publishing personal information. As part of this strategy the Government requires agencies to comply with these guidelines from 1 June 2000.

(iii) Security

The security of personal information is also a threshold issue of concern to potential and current online users, even if the user is confident about the

privacy practices of the agency. Authentication technologies can provide security while a transaction is conducted, but users require more than this. They want reassurance about the totality of an agency's security, including the storage of information after a transaction is completed.

Agencies are required to comply with the Protective Security Manual (PSM) issued by the Protective Security Coordination Centre within the Attorney-General's Department. Agencies are required by the PSM to devise an Information Systems Security Policy and implement plans to ensure systems are appropriately protected.

The Defence Signals Directorate (DSD) issues security guidelines for Australian Government IT systems, known as Australian Communications—Electronic Security Instructions 33 (ACSI 33). ACSI 33 provides guidance to all agencies in the task of protecting classified or unclassified online information and describes the steps to be taken to plan and implement the information security measures required by the PSM.

SPECIFIC ACTION - PRINCIPLES AND STANDARDS

All agencies will need to make choices about which principles and standards to use in placing information and services online. While there is benefit in leaving as much choice as possible at the agency level, there is also benefit in a common approach in some areas.

To gain the maximum benefit from an agency-based approach, it will be important to ensure that any enabling standards are minimal and reflect key areas where a broad consensus exists. In areas where guidelines and standards are specified, agencies will be consulted.

In addition to the Government's commitment to whole-of-government access points it is also proposed to provide guidelines and principles in the following initial areas.

(iv) Metadata standards

A challenge faced by users of large collections of information like the Commonwealth's is to easily locate information. This can often be a challenge even for users familiar with the structure of government, let alone for those who are not. *Government Online* as a whole must be easy to comprehend and use. Applications and services must be packaged in a way

that makes information easy to find and enables similar or related transactions to be conducted together.

Under this strategy, the Government is committed to implementing systems so that information and services can readily be located without the user needing to understand how government and government information is structured. The technology that will underpin this feature of *Government Online* is metadata. A collection of metadata comprises descriptive information about government information and services, which can be used to classify, present and search the information that it applies to.

Careful and systematic application of an agreed metadata standard by agencies will enable a seamless interface to government to be constructed, based on the separate online services of each agency. If care is taken to ensure that metadata is of a high quality, the increased ease with which resources can be discovered will provide benefits to agencies and users alike.

The Australian Government Locator Service (AGLS) has been developed over the last few years by the National Archives of Australia (NAA), in consultation with Commonwealth, State and Territory agencies, as such a metadata standard. It is a set of 19 descriptive elements which government departments and agencies can use to improve the visibility and accessibility of their information and services. AGLS has been developed cooperatively by all Australian government jurisdictions and is based upon the leading international online resource discovery metadata standard, the Dublin Core standard.

It is already in use in several other jurisdictions. The stage has been reached where the Government has decided to require AGLS to be used by Commonwealth agencies in line with NAA guidelines, in respect of their online activities.

The adoption by agencies of AGLS metadata should not be a major imposition on agencies. AGLS metadata should be strategically assigned to targeted resources at the highest level of aggregation; in many cases less than 10 per cent of the pages of an organisation's website may need to be assigned AGLS metadata. The NAA is currently drafting guidelines to assist agencies with AGLS implementation. From 1 June 2000, AGLS metadata should be applied to new website content, in accordance with the AGLS Metadata Obligations. By 1 December 2000, AGLS metadata is to be applied to

existing website content, in accordance with the AGLS Metadata Obligations. Refer to Annex B for further details.

(v) Electronic publishing and record keeping guidelines

DOFA has produced Guidelines for Commonwealth Information Published in Electronic Formats as part of its charter in whole-of-government information publishing, dissemination and delivery. These guidelines provide principles for language usage, information presentation, production and best practice conventions for electronic publications. They also include, and refer to, other lead agency initiatives in archiving and accessibility. The application of these guidelines by Commonwealth agencies will lead to improved efficiency, quality and accessibility of government information online and will assist in the preservation of electronic government publications for future access.

Commonwealth websites are a form of publication and as such they are considered to be records for archival purposes. Under the Archives Act 1983, Commonwealth agencies have legal obligations regarding the proper retention and disposal of Commonwealth records, including web-based records. Commonwealth agencies need to make and keep records that accurately document their public websites over time, to satisfy business and accountability requirements and community expectations. The NAA is currently developing a policy for keeping web-based records in the Commonwealth Government.

To ensure best practice by agencies in these areas, the Government requires agencies to follow the principles outlined in these guidelines. From 1 June 2000, all new electronic publications and records are to comply with the relevant principles in these guidelines. By 1 December 2000, existing electronic publications and records are to comply.

(vi) Accessibility

Government Online provides a tremendous opportunity to reach out to people with disabilities. However they can be excluded from *Government Online* if website design does not recognise the special online requirements of this group. Similarly, people who have low speed Internet connections or other technical limitations in accessing information online, can be disenfranchised if websites are designed without any allowance for their limited access to bandwidth. A recent report by the Rural Industries Research and Development Corporation (RIRDC) has highlighted the benefits to people in

rural and regional areas if websites are designed taking into account their circumstances.

Commonwealth departments and agencies are already obliged by the Disability Discrimination Act 1992 to ensure that online information and services are accessible by people with disabilities.

The Human Rights and Equal Opportunity Commission (HREOC) is currently investigating issues surrounding website access by people with disabilities and older Australians. As part of this process it has published Progress update on reference: access to electronic commerce and new information and service technologies for older Australians and people with a disability and Working paper for e-commerce reference: web accessibility.

These papers draw on and strongly support the Web Accessibility Initiative (WAI) of the World Wide Web Consortium (W3C). The WAI has resulted in the development of documents such as User Agent Accessibility Guidelines 1.0 and Authoring Tool Accessibility Guidelines 1.0. These guidelines are primarily aimed at making web content accessible to people with disabilities, however they also make web content more accessible to other users with technical constraints (e.g. people using a low-speed Internet connection). The W3C accessibility guidelines were supported in the RIRDC report.

The Government is committed to ensuring that no group is excluded from being able to access Government Online. Agencies will be required to fulfil their obligations under the Disability Discrimination Act 1992 by observing the World Wide Web Consortium's (W3C's) Web Content Accessibility Guidelines 1.0, to ensure the widest possible audience for *Government Online*.

From 1 June 2000, all websites are to be tested by agencies for accessibility, and all new website contracts to include accessibility as a key performance measure. By 1 December 2000, all websites are to follow the W3C guidelines to a sufficient extent that they pass recognised tests of accessibility.

STRATEGIC PRIORITY 3

ENHANCE GOVERNMENT ONLINE IN REGIONAL AUSTRALIA

While online services can be a convenient method of service delivery for anyone, they can be a particularly useful tool for people and businesses in regional and rural Australia. They can provide a greater access to information and services for many people than could ever be provided through conventional service delivery channels, and can do so more quickly. Rather than replacing traditional channels, online service delivery can enhance them to make them more effective.

Online service delivery can mean that more information and services can be made available through traditional and new service outlets. Under this strategy, the Government is committed to ensuring that government information and services of relevance to regional people are available online and easily accessible. Development of content for rural and regional people will support other government initiatives such as the Social Bonus initiatives arising from the sale of the second tranche of Telstra, which aim to improve regional telecommunications and online services.

SPECIFIC ACTION

The Regional Australia Summit, held in November 1999, indicated that there is a widespread lack of awareness of, and access to, government services in regional areas. Summit delegates called on governments to design and deliver programs and services in a more responsive and flexible way, taking into account the unique circumstances of different regional communities. There is a pressing need to develop a more integrated, whole-of-government approach to service delivery in regional Australia.

The Commonwealth Government has committed to maintaining the current level of government services in regional and rural Australia and is considering options for improving the number, spread and variety of points of contact with the Commonwealth Government. It will be important for each point of contact with the Commonwealth, whether it be face-to-face or through technology, to have available to it a consistent and comprehensive collection of information and programs.

The most cost-effective way of achieving this is for an integrated online resource to be available, which would underpin each different type of contact point. The resulting whole-of-government online resource will draw together all Commonwealth information and services for the benefit of people in regional Australia. People in regions could access this resource at

Commonwealth offices, State Government Shopfronts, Rural Transaction Centres, through the Government Information Centre, or directly through the Internet or a kiosk. In the longer term, this initiative would integrate State, Territory and local government services.

As part of the implementation of *Government Online*, particular emphasis will be given to providing a regional emphasis as part of this resource. For example, in devising an interface that enables clients to find information and services relevant to them, particular attention will be given to ensuring that information and services of regional and rural people will be prominent, well organised, and readily accessible.

It is proposed to provide regional, rural and remote Australians access to information specific to their needs through a regional web portal that will consist of an information directory, detailed information about regional programs and services and a community resource centre providing localised information and case study materials.

The Commonwealth will also continue to pilot innovative ways of delivering services to regional and rural people. As part of the *Investing for Growth* initiatives, a Government Information Centre (GIC) has been established. Initially a telephone call centre, the information directory in use by the GIC is being prepared for online release. This online resource over time will be integrated with the Government's entry points and customer focus channels. The Social Bonus initiative 'Trials In Innovative Government Electronic Regional Services' (TIGERS) aims to extend the GIC, concept by integrating Commonwealth, State and local government services and making them easier to find and to access.

STRATEGIC PRIORITY 4

ENHANCE IT INDUSTRY DEVELOPMENT IMPACT OF GOVERNMENT ONLINE INITIATIVES

The OGO progress report on *Government Online* indicated that the Government is already a major user of online technologies. In a number of areas, such as electronic authentication, government is at the leading edge of developments. The Government's role in the wider information economy will increase further under this strategy. Australian industry will have considerable opportunities to benefit from and contribute to the expansion of *Government*

Online. The Government is committed to ensuring a high level of domestic industry involvement in this strategy.

SPECIFIC ACTION

The *Online Action Plans* of agencies and the reports of progress against those plans will provide a useful guide to industry about the plans and intentions of agencies, and will better position industry to be involved in *Government Online*. The Government will draw information from these plans together to provide guidance to industry on whole-of-government directions in the online area. The Government is committed to an ongoing dialogue with industry over emerging opportunities and perspectives.

STRATEGIC PRIORITY 5

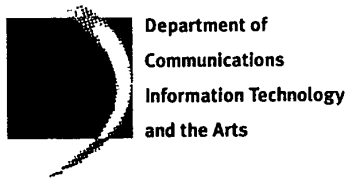
GOVERNMENT BUSINESS OPERATIONS TO GO ONLINE

Some processes of government are common to all agencies and are particularly well suited to being delivered online. The Government has already committed in *Investing for Growth* that electronic payment will be established as the normal means for Commonwealth payment by the year 2000.

In conjunction with this *Government Online* strategy, the Government has released a *Commonwealth Electronic Procurement Implementation Strategy*, which sets out specific initiatives in this area.

Under the *Commonwealth Electronic Implementation Procurement Strategy*, the Government commits to moving all appropriate common and routine business processes of agencies either online or to other electronic mechanisms, to maximise the efficiency of these processes for both government and those that deal with government. Government electronic procurement will reinforce the trend towards simplified electronic systems, and will perform an exemplar role.

附錄二



IT OUTSOURCING AND ICT INDUSTRY DEVELOPMENT FRAMEWORK

April 2001

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1. Executive summary

The changed approach to information technology (IT) outsourcing following the release of the Humphry Review has necessitated a revision of the industry development (ID) arrangements to apply to future IT outsourcing (ITO) deals, and to the broader procurement of IT goods and services by Government.

The guiding principles underlying the development of this new framework were to:

- provide a simple, transparent approach from the perspective of stakeholders;
- use existing mechanisms as far as possible;
- continue to focus on industry development (ID) outcomes inherent in IT products and services being outsourced;
- favour strategic ID outcomes that support Australia's areas of competitive edge in information and communication technology (ICT); and
- provide agencies with ownership of ID outcomes through an ID evaluation process that complements technical and financial assessments.

The new framework has two main elements—the rules that apply to the ID aspects of the ITO tendering process (what agencies and bidders will need to do) and the broader aspects of the Government's use of IT procurement for industry development purposes—including how the Department of Communications, Information Technology and the Arts (DOCITA) will monitor the new system.

This document concentrates on the first element and establishes a framework which will enable agencies to continue to outsource government IT, in line with Government policy, firm in the knowledge of the ID requirements built in to the outsourcing process.

The approach to ID aspects of tenders will be two-tiered:

- For contracts less than \$10 million in value, the contractor and any sub-contractors will simply need to comply with ESA requirements. No formal evaluation of ID will be undertaken.
- For contracts greater than \$10 million, the contractor and sub-contractors will need to comply with ESA requirements and set out the ID activities involved

in delivering the contract in terms of small-to-medium sized enterprises (SMEs) involvement, Australian Value Added (AVA), and SME AVA (see Section 3).

DOCITA will contribute material to Requests for Tender (RFTs) issued by agencies, and will lend assistance to them in evaluating the ID element for relevant contracts (i.e. those valued at over \$10 million).

This process will identify the ID inherent in each bid in terms of SME involvement, AVA, and SME AVA, but will not otherwise seek to drive a contract-by-contract industry development outcome.

Under the second element, a new strategic industry development framework will be introduced to replace the range of ID mechanisms which currently operate in relation to Government IT procurement. Under the new program, strategic ID plans will be established between DOCITA and companies who have a significant amount of business with the Commonwealth Government. This structure will ensure a medium- to long-term strategic focus on ID objectives, which include ensuring SME access to the Government IT market. These plans will be adjusted over time as the company's level of Government business changes. The establishment and monitoring of the new strategic industry development framework will be finalised following further consultations with industry on details of the proposed approach.

The IT Outsourcing Initiative has created a range of opportunities for SMEs to participate in Government contracts. Around 75 per cent of the goods and services are being produced in Australia, and 30 per cent of the work is going to Australian SMEs. In addition, contractors have committed around \$92 million in strategic investment, and the Initiative has resulted in the creation of nearly 390 jobs in regional Australia. The Government has committed to retaining this focus on industry development in the new IT Outsourcing environment. The new ID arrangements under this framework will further streamline the bidding and ID evaluation processes, providing further opportunities for SMEs to participate in outsourcing as prime contractors while maintaining a mechanism for achieving Government industry development objectives through strategic ID plans. The Government will implement an online notification system to ensure that SMEs are aware of relevant IT outsourcing opportunities and that agencies have information about SMEs that may be interested in tendering for relevant IT outsourcing contracts.

2. Background

The previous ID framework for the IT Outsourcing Initiative was built around a centralised contracting environment where Government agencies were clustered together. The ID framework that existed reflected the centralised approach by requiring successful tenderers to develop specific ID Plans for each contract. These ID Plans were then incorporated into the services agreements and were monitored by DOCITA.

Government policy for industry development

The framework presented in this paper is aligned with the Commonwealth Government's ID objectives for industries in the ICT sector. These objectives are:

- to have a vibrant, competitive and internationally recognised ICT industry that can take advantage of international opportunities and make greater contribution to economic growth; and
- to have globally competitive industries that make effective use of ICT.

The Government's vision is to build a leading role for Australia in the global information economy, and to maximise the benefits to all Australians from innovation, production and use of information and communication technologies.

The enabling effects of information technology and digital communications are transforming other industries across the economy. ICT is changing the way of doing business, increasing the competitiveness of firms and generating new products and services. The ICT sector is also vital to the wider Australian economy, as a source of ideas and skills.

To achieve its objectives for the ICT sector, the government has identified five major themes for policy action:

1. Increasing the innovation capacity in the ICT sector, including supporting SME development and the development of new firms.
2. Encouraging inward investment to enhance the ICT industry base.
3. Ensuring that the workforce and the community are skilled in ICT for participation in the information economy.
4. Providing a robust regulatory and business environment for the

development of the ICT industries.

5. Fostering the provision of a world-class telecommunications infrastructure, which allows all Australians to participate in the information economy.

Combined action on these themes leads to a conducive environment for business activity and investment for the ICT industry. Factors which make Australia a globally competitive location for the ICT industry include:

- creation of an internationally competitive corporate tax regime, with one of the lowest corporate tax rates in the region, a competitive treatment of capital gains, and tax concessions for research and development of up to 175 per cent;
- maintaining and enhancing a stable legal/regulatory business framework;
- world-leading legislation to encourage electronic transactions;
- excellent education sector producing world-class science, engineering and technology graduates;
- further building the skills base in the work force;
- targeted investment facilitation and support services for the ICT sector through Invest Australia, including facilitation of regional headquarters operations, assisting skilled immigration and targeted major project support; and
- enhancing international awareness of Australia's ICT capabilities and its information economy credentials by the National Office for the Information Economy.

Humphry Review recommendations

The *Review of the Whole of Government Information Technology Outsourcing Initiative* (Humphry Review) recommended, in relation to future tenders, that 'future responsibility for implementing the Initiative should be devolved to agency Chief Executives and Boards' (Recommendation 1, paragraph 2.5) and 'The appropriateness of a particular outsourcing model will depend on individual agency requirements. The decision as to which model to adopt should be taken by the agency Chief Executive or Board...' (Recommendation 2, paragraph 2.6).

The Government's response to the Humphry Review agreed to these recommendations and confirmed that the Initiative's objectives, which require agencies to obtain value for money IT and maximise Australian industry

development outcomes, would be maintained. The Government's response to the Humphry review also agreed that DOCITA should have sole responsibility for the ID elements of the Initiative.

The recommendations of the Humphry Review are likely to result in contracts of reduced size and scope to that experienced in the past under the Initiative. The Government's new framework will streamline the bidding process by removing ID requirements from all contracts valued at less than \$10 million, and substantially reducing the ID requirements for contracts valued at over \$10 million. The \$10 million threshold is consistent with the model industry development criteria definition of a major project. In addition, the smaller scale and scope of contracts will allow SMEs greater direct access to government IT outsourcing contracts. This is in accordance with the Government's policy objective of 'increasing the innovation capacity in the ICT sector, including supporting SME development and the development of new firms'. However, it is recognised that there is still significant scope for large scale contracts to be let.

Industry development for future IT outsourcing contracts

Following the Government's response to the Humphry Review, DOCITA has undertaken a series of consultations with stakeholders on the ID approach to be applied to future IT outsourcing deals. Stakeholders' main views are summarised below:

- the emphasis should be on long-term, strategic ID rather than contract-by-contract outcomes;
- the Government needs to continue to focus ID outcomes, as companies are willing to make additional ID contributions as their business builds;
- the new approach must be simple and transparent;
- access for SMEs to Government business should remain a priority;
- the use of existing mechanisms is seen as a positive, but all companies doing business with Government need to be subject to the same ID requirements; and
- agencies are supportive of ID as an objective, but would like assistance in evaluating ID bids and do not want to have an ID element to be the dominant criteria ahead of service, pricing and technical considerations.

3. The new ITO ID framework

The framework presented in this section is aligned with the Commonwealth Government's ID objectives for ICT industries as highlighted above. It also takes into account the findings of the Humphry Review, including the devolved nature of future IT outsourcing decisions, and consultation with industry and other Government agencies undertaken by DOCITA.

The framework provides for a strategic approach by companies to their industry development activities by enabling them to take a holistic, long-term approach to meeting the Government's ID requirements rather than a contract-by-contract approach. The framework reflects the Commonwealth's desire that small firms continue to have access to the Government market and obtain high value, high quality participation in Commonwealth IT outsourcing contracts.

The guiding principles underlying the development of this framework were to:

- provide a simple, transparent approach from the perspective of stakeholders;
- use existing mechanisms as far as possible;
- continue to focus on ID outcomes inherent in IT products and services being outsourced;
- favour strategic ID outcomes that support Australia's areas of competitive edge in ICT; and
- provide agencies with ownership of ID outcomes through an ID evaluation process that complements technical and financial assessments.

RFT Industry Development Content

The RFT content and evaluation activities for the new framework are summarised in Table 1 below.

Table 1. RFT ID content and evaluation based on contract value

RFT ID content and evaluation for contracts under \$10 million in value	RFT ID content and evaluation for contracts over \$10 million in value
– RFT will describe ESA ¹ and new	– RFT will describe ESA and new

<p>IT outsourcing requirements</p> <ul style="list-style-type: none"> - RFT will specify that bidders and sub-contractors must be ESA compliant. - RFT will note that a formal ID evaluation is not required - RFT will require the successful bidder to enter into a strategic industry development plan (see Section 4) if the contract takes its total annual Commonwealth sales above \$10 million. <p>Subcontractors must do the same, if their share of the contract takes their annual sales to the Commonwealth over \$10 million.</p>	<p>IT outsourcing requirements</p> <ul style="list-style-type: none"> - RFT will specify that bidders and sub-contractors must be ESA compliant. - RFT will require the provision of ID information relating to SME, AVA and SMEAVA content - RFT will note that DOCITA will evaluate ID element in consultation with agency - RFT will specify the weighting of ID in the evaluation - RFT will require the successful bidder to enter into/review a strategic industry development plan (see Section 4). <p>Subcontractors must do the same, if their share of the contract takes their annual sales to the Commonwealth over \$10 million.</p>
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¹ *The ESA provides prequalification for suppliers in the Information Technology, Major Office Machine, Commercial Office Furniture and Auctioneering industries to sell into the government marketplace. It is part of the Commonwealth Government's commitment to: streamlining and simplifying Commonwealth purchasing; cutting the cost of doing business with Government; and providing greater opportunities for regional Australia and small to medium enterprises. The use of suppliers under the ESA in the area of Information Technology and Major Office Machines is mandatory.*

Tender evaluation

As shown in Table 1, for contracts under \$10 million in value the sole ID requirement is that bidders and their subcontractors be ESA compliant. DOCITA will undertake no formal evaluation of tenders for these contracts.

For contracts over \$10 million the RFT ID requirements will consist of bidders demonstrating the level and quality of SME participation, the level of AVA and the level of SME AVA in the delivery of services under the contract. SME participation and AVA will be assessed in similar terms as under the previous IT Outsourcing regime. The evaluation will also include an assessment of SME Australian Value Added (SMEAVA). SMEAVA is a measure of SME content adjusted to reflect the level of Australian content.

The purpose of this measure is to provide an incentive for tenderers to maximise the high value-add of SME involvement in tenders.

The existing SME definition will be modified so that the cut-off of \$250 million annual revenue will now be based on a five year average to ensure that SMEs have sufficient time to manage the transition to no longer being considered an SME under the IT outsourcing arrangements.

DOCITA will develop model RFT ID content and evaluation criteria to form the basis of the ID section of all future RFTs. These will be available from DOCITA in coming weeks.

No 'out of scope' proposals or projects will be required of tenderers on a contract by contract basis, as these will be considered as part of companies' overall ID commitments through strategic ID plans (see Section 4). Evaluation of ID will complement pricing and technical considerations. ID will not be considered separately but rather as one factor among other agency considerations in coming to a value-for-money solution.

Under the new framework, DOCITA and the agency will jointly develop the ID aspects of the RFT, including the appropriate weighting to be given to ID in the evaluation phase, and evaluate the ID aspects of the bids received.

Capturing and monitoring ID outcomes

Under the new framework, all IT outsourcing ID outcomes will be incorporated in a strategic industry development plan rather than the Services Agreement entered into between the provider and the agency.

A company will be required to contact DOCITA and negotiate a strategic ID plan or review its existing plan if:

- it wins an IT outsourcing contract valued at over \$10 million; or
- winning a contract valued at less than \$10 million takes its aggregate IT sales to the Commonwealth over \$10 million pa; or
- its share of a contract (e.g. as a subcontractor) takes its aggregate IT sales to the Commonwealth over \$10 million pa.

For companies that already have a strategic ID plan in place, annual performance will be assessed via reports provided by companies. The plan can then be reviewed and renegotiated if appropriate.

DOCITA will continue to have responsibility for monitoring ID outcomes and will liaise with other Commonwealth agencies when monitoring ID outcomes and compliance. The approach will be similar to that under the Memorandums of Understanding developed under the previous IT Outsourcing regime where agencies committed to inform DOCITA of service delivery events that would impact on ID outcomes.

DOCITA will also use this contact to encourage agencies to consider ID issues when purchasing ICT products and services and to discuss issues which may act as an inhibitor to greater SME involvement (see Section 5). DOCITA will monitor ID outcomes on an agency-by-agency basis, including in relation to SME involvement.

Existing ITO contracts

ID Plans entered into under the whole of Government IT Infrastructure Initiative (i.e. under the Cluster 3, Australian Tax Office, Group 5, Health and Group 8 contracts) will remain intact and contractually bound.

Enforcement

The principal enforcement provision proposed under the new arrangements is loss of Endorsed Supplier status. Under the ESA administrative arrangements, dis-endorsement would result from Department of Finance and Administration (DOFA) accepting a DOCITA recommendation to dis-endorse.

Dis-endorsed companies will be unable to bid for future Government ITO contracts but will not be displaced from their existing Commonwealth contracts. Circumstances where dis-endorsement will be considered include:

- non-compliance with ESA requirements;
- non-compliance with ID agreement commitments (including reporting requirements); and
- failing to enter into discussions with DOCITA, or to make appropriate adjustments to their ID arrangements, following the winning of a contract over \$10 million in value.

Companies will be given sufficient time to propose a rectification strategy to DOCITA prior to the commencement of dis-endorsement proceedings.

4. Interaction of the new framework, the strategic ID plans and other IT ID programs

The new framework outlined above focuses on the IT outsourcing related aspects of ID. However, this review presents an opportunity to rationalise and consolidate a number of industry development mechanisms that have been operating in recent years. The new framework will offer a large measure of continuity with core ID programs like ESA and Partnerships for Development (PfD), provide a long-term strategic focus for ID, and signal a desire that SMEs continue to have access to the Government market.

The outcome of the rationalisation will involve the development of strategic ID plans between companies and DOCITA. These plans are intended to incorporate the ID elements of the IT Outsourcing program, the requirements of the PfD program and the ID elements of the Major Projects program.

Details of the operation of the new strategic ID plans will be the subject of further consultation. The Government will consult all existing IT outsourcers as well as all current and graduate PfD partners before finalising details of these plans. The remainder of this section discusses some of the issues that will need to be resolved for existing ID arrangements and programs.

The Government's intention is to finalise the details of the new arrangements by 30 June 2001.

Transitional arrangements for PfD companies

It is proposed that existing PfD companies and graduate partners migrate to the new scheme as they win relevant Commonwealth IT outsourcing contracts or as they provide their PfD annual reports, whichever occurs first. In most cases, the migration will simply mean transferring the existing ID commitments from their PfD Agreement into a strategic ID plan. As there will no longer be a role for the IT Outsourcing project register, commitments currently contained in the register can be included in the plan if desired.

Graduate partners' current PfD arrangements will automatically transfer into strategic ID plans. The Commonwealth recognises the valuable contribution that Graduate partners have made to industry development and this will be fully reflected in the new framework.

Graduate partners' plans will be reviewed if they win new Government IT outsourcing contracts valued at over \$10 million. Any AVA, SME and SMEAVA commitments resulting from IT outsourcing contracts will be monitored for graduate partners as they would be for other successful bidders.

Effects of the new framework on ESA and PfD administration

DOFA administers ESA, with DOCITA having responsibility for the ID element. PfD is administered by DOCITA. PfD is linked with ESA because companies have established a PfD Agreement as a means of meeting ESA requirements to establish this ID commitment. The new framework will affect ESA in two ways:

- the strategic ID plan will replace the PfD plan as a mechanism to meet the ESA requirement for Australian ID activities. Strategic ID plans will incorporate any existing PfD requirements and out-of-scope commitments from ITO contracts. The framework for the strategic ID plans will include other ID activities consistent with the Government's ICT and broader policy objectives, such as regional development and employment, and will be finalised during future consultations; and
- the possibility of smaller ITO contracts may lead to more companies seeking Endorsed Supplier status in order to be eligible to bid for Commonwealth contracts. ESA processes are currently being put online, which should help streamline application and assessment procedures.

Telecommunications carriers

The status of telecommunications carriers under the new arrangements is currently being investigated in the context of the Carrier ID Plan (CIDP) review. Consultations will be held with licensed carriers and other interested parties, and will cover the possibility of rationalising carrier ID plans and strategic ID plans applying to ICT industry development.

State and Territory arrangements

The Commonwealth Government will continue its efforts to coordinate ID policies with the States and Territories. This will be taken forward in the context of the finalisation of this new framework.

5. Inhibitors to SME participation and notification of IT Outsourcing opportunities

Government reference sites are an important promotion tool for SMEs, particularly those selling services into global markets. The Government is concerned, therefore, to ensure that SMEs can participate in the Government IT market without artificial barriers.

During consultations, DOCITA heard of a number of systemic and cultural barriers which may inhibit the ability of SMEs to access Government IT contracts. The issues that were identified include:

- the complexity of tender evaluation processes;
- the level of guarantees required within Government contracts;
- how financial liability issues are handled in Government contracts;
- duplication of ESA endorsement paperwork; and
- that agencies may be unduly risk averse when choosing outsourcing contractors.

The Government will review these and other possible barriers to SME involvement and develop strategies aimed at mitigating them. An action plan will be released by the Government in coming months.

In addition, the Government will implement an on-line notification system to ensure that SMEs are aware of relevant IT outsourcing opportunities and that agencies have information about SMEs that may be interested in tendering for relevant IT outsourcing contracts.

6. Review of framework

This framework will be reviewed by 30 June 2002. The review will look at the overall operations of the framework with specific reference to the appropriateness of the measurement of in-scope SME and AVA levels and SMEAVA.