



e-SENS white paper

Short, Medium and Long-term Governance Models Scenario

Deliverable 3.6

Abstract of the Deliverable 3.6:

The deliverable presents intentions and ideas regarding a scenario to reach self-sustained governance in the long-term. The scenario for long-term sustainability is based on a hybrid model and relevant principles; it focuses on finances, governance and operations and takes into account life-cycle management. The deliverable also presents a set of criteria, requirements, stakeholder needs and legal considerations that must be addressed to present a holistic governance model for sustaining the e-SENS components.

The Deliverable was developed by the e-SENS Work Package 3 (WP3) 'Sustainability and Long-Term Governance, which concerns the long-term consolidation and maintenance of the technical solutions developed within e-SENS. The goal of Work Package 3 is to pave the way for sustainability and long-term governance of the e-SENS BB and their support in creating interoperable public services across all European Member States and Associated Countries.

White paper:

The e-SENS (Electronic Simple European Networked Services) project focuses on strengthening the Digital Single Market by facilitating the development of interoperable public services across Europe. In order to achieve that, e-SENS consolidates, improves and extends the technical building blocks developed by the LSPs: PEPPOL, e-CODEX, STORK, epSOS and SPOCS.

In the long run, success of these projects requires a stable and consolidated sustainability plan.

The LSPs have already worked on strategies and models to ensure sustainability and long term governance. The analyses performed by the e-SENS project¹ show a significant diversity in the LSPs' vision as far as future governance and operation are concerned. Governance plans of LSPs are not aligned and structures range from a working governance model for OpenPEPPOL (a public-private NPO) to project solutions in epSOS and e-CODEX that are limited to the duration of the project.

¹ D3.3. Report on the integrated view of LSP strategies





Regarding operation, DG DIGIT under the ISA Programme is a common operational partner in three of the LSPs (e-CODEX, Open PEPPOL and STORK). epSOS seems to diverge from this model with the launch of the EXPAND project that has been set up by DG CONNECT to secure the eHealth assets and bridge from epSOS to Connecting Europe Facility (CEF). From an architectural point of view, the solutions designed by the LSPs have been partly developed in isolation. Only e-CODEX and SPOCS have tried to reuse technical standards from other LSPs. However, all LSPs are based on international standards. So far, an overall common approach to architecture has been lacking.

In the long term, the e-SENS building blocks (BB) are intended to move from public funding towards self-sustainability by themselves, i.e. that the BBs are taken up by the market. Reaching that goal is a long lasting process. e-SENS as a project consolidating the results of previous and ongoing LSPs is expected to take the lead. At the same time, the LSPs are continuously working to sustain their individual solutions. Moreover, CEF Work Programme is focusing on the deployment of BBs produced by LSPs.

To address these numerous factors and a complex environment, the e-SENS project operates in a "Scenario for Long-Term Sustainability" (SLTS). The SLTS of the e-SENS assets will be developed, and while developing it, different approaches and governance structures already adopted will be taken into account.

The first outline has been developed by work package 3, in the Deliverable 3.6 Scenario for governance models on short, medium and long-term. The general roadmap presented integrates the policy objective and baseline, and the preferences expressed by the various LSPs in the early take-up stages of e-SENS.

The proposed scenario covers three stages; the short-term, medium-term and long-term:

- The short-term stage reflects the present situation, which means that it covers the lifetime of e-SENS as well as the on-going and completed LSPs.
- The medium-term stage matches the Connecting Europe Facility (CEF) horizon (until 2020).
- The long-term horizon starts after the CEF programme (after 2020) and constitutes the end goal for the SLTS.

The proposed sustainability scenarios have been structured according to the GOFA classification of areas to consider for sustainability, namely Governance, Operations, Financing and Architecture:

- Governance regards decision-making and ensuring how stakeholders can be involved and take on different roles;
- Operations deals with transforming resources or data inputs into desired services that deliver value to customers;
- Financing describes the organization and governing of financial flows;
- IT Architecture is considered from the standpoint of IT systems.

Critical decision points and success factors for the operations have been highlighted for each area:

1. Governance

- Short-term

The main focus is the governance of involved stakeholders. It ensures that the needs of current users (mostly partners in operation and piloting) are met. This also encompasses the needs of the domains involved in e-SENS, i.e. e-Health, e-Procurement, e-Justice, Business Life-Cycle and the potential domain of social security. Domains have their own rules and mechanisms with different

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representatives from Member States. Their counterparts within the European Commission vary (DG SANCO, DG MARKT, DG JUSTICE, DG ENTR and DG EMPL, respectively) and these domains are run under separate political responsibilities. e-SENS currently serves as one of the soft coordination mechanisms among these domains.

- Medium-term

Different BB committees for each BB are created and a clear decision-making process is set up.

Member States are fully involved in these BBs committees. Mechanisms are established to streamline decision-making among the stakeholders within a domain and to streamline decision-making on the generic BBs. The coherence across domains in decision-making on the generic BBs needs to be guaranteed. The CEF regulation states that BBs are given priority over other domain requirements. External stakeholders may have an advisory role in the governance structure.

- Long-term

There is a governance structure at EU level that brings together the knowledge on the BBs and aligns the architecture level with the operative service provisions, as well as the standardisation, and the MS involvement. Any decision in this governance structure should ensure the continuity of the ecosystem of the BBs. Working mechanisms to ensure transparency, such as self-determination and self-governance rules are established.

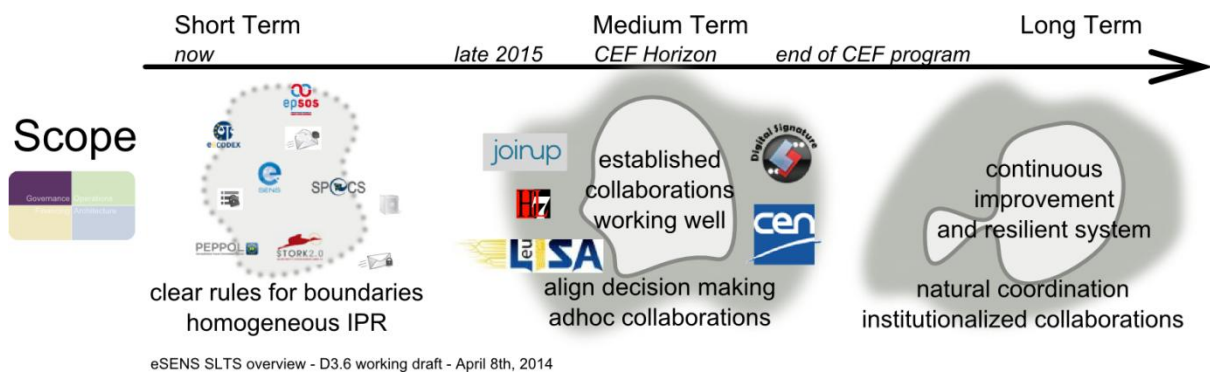


Figure 1: Scope of Governance in Timeline of Scenario for Long-Term Sustainability

2. Financing

- Short-term

Financing concerns mostly development (maturation of BBs, development of missing elements) which is funded largely by domain-centric project funding. The sources are EU, Member States and private funds (as funding within e-SENS is).

Funding schemes of domains typically differ, e.g. e-Justice and e-Health are funded publicly and e-Procurement relies more on private funding.

Mechanisms for valuing and managing non-financial contributions in nature (e.g. expertise, assets or infrastructure) are designed and tested in a prototypical approach with WP5 and WP6.

- Medium-term

Funding of operations is mostly non-financial and reciprocal; balance is enforced between the contributions and benefits of each Member State and possible private contributors. Funds transfer may be used to balance important non-financial contributions in nature (or to balance possible cases

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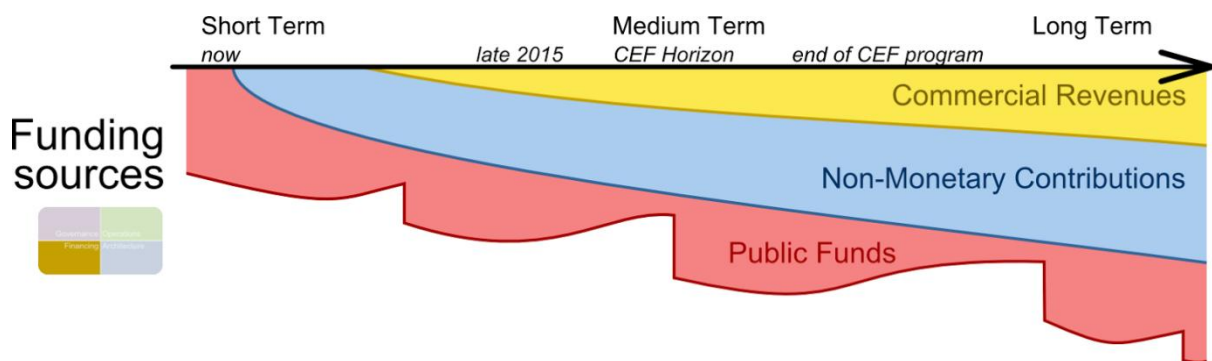
of large benefits combined with a lack of contributing) over a given period. Membership fees cover required expenses, like travel.

New developments, such as those that are required for integration of new domains and BBs, are funded on a project-basis by CEF, combined with non-financial resource exchange. Contributions of paying beneficiaries can be both financial and non-financial in nature (e.g. expertise exchange, infrastructure and capabilities provisioning, etc.).

To ensure openness and reciprocity, all integrated assets are available under the terms of a dual (copy-left + copy-right) licensing scheme, be it software, documentation or derived training material. That way the possibility to reuse and modify outcomes is ensured with relevant regulating conditions, as well as availability for commercial use. Future evolutions of this scenario will consider various practical situations to foster openness and feasibility.

- Long-term

The governing framework is self-financing: the parties benefiting are the ones who actually pay. A combination of funding by stakeholders (e.g. membership fee), and usage (licensing) and service fees supports the operations in addition to the non-financial contributions by the stakeholders. Major developments, such as the integration of new domains or temporary market stimulation, require additional public funds from the EU, MS or sectors organisations. New domains will not have a major impact on the overall funding scheme for BBs.



eSENS SLTS overview - D3.6 working draft - April 8th, 2014

Figure 2: Funding sources in timeline of Scenario for Long-Term Sustainability

3. Operation

- Short-term

On the operational level, standards in use are mapped and a cross-domain gap analysis is performed, resulting in a design of a roadmap for integration in a common framework. Overall, all BBs are made more mature and ready for market, along with their supporting documentation and services, when applicable. The maturity is confirmed by the Multi-Stakeholder Platform on ICT Standardisation². BBs that are not part of the e-SENS framework are calibrated in such a way that they can be easily integrated.

- Medium-term

²<http://ec.europa.eu/digital-agenda/en/european-multi-stakeholder-platform-ict-standardisation>
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IPR assets will be integrated in a common framework (and transferred) when needed, to ensure proper continued availability and a clear overview of the available elements.

Some Life Cycle Management is enforced in all integrated domains.

Services are co-designed by potential providers and a pool of users for provisioning in a mutualised scheme, with fees discussed to cover directly relating expenses (see Financing).

The scope of standards is managed in a homogenised way.

The main focus in the tactical and operational level is the enrolment of more mature BBs and domains.

- Long-term

A set of identified services are provided that contain SLAs and are ready to be operationally deployed by commercial services.

Life Cycle Management is implemented in all integrated domains with a comparable level of maturity, ensuring transparency and openness to external parties.

The IPR and its infringements are properly managed.

Mechanisms are in place ensuring that any changes of a BB will have immediate effect on domains without hampering their continuity.

4. IT Architecture

The architectural dimension of governance will be covered in the next version of this document D3.6 in month 24 (March 2015).

Requirements for Defining an SLTS

The overall requirements for defining an SLTS have been defined in D3.6. These requirements and criteria provide the input necessary to design the SLTS and to assess whether it actually meets the requirements and criteria identified. Final results are to be presented in month 24 (March 2015). The requirements and criteria can be grouped and presented as follows:

- **Stakeholder needs and requirements**

Stakeholders have been categorized according to the roles they are expected to have:

The European level - the EC - should have a coordinating role, and be decisive as the supranational organisation it is. However, the principle of subsidiarity always applies and in some cases does not permit this, for instance in the area of health.

Member States (and public administrations) should play a central role in the future governance structure, being decisive in the decision-making process.

The regional level, or the sub-national level, has the role of primary user. It is important that they participate at national level, and be consulted where necessary. However, they should not play a decisive role. Regional and sub-national levels must be accounted for within the national level (MS).

Other stakeholders, e.g. standardisation organisations, regional and private sector should play an advisory/consultative role in a future governance structure.

In an operational context, the SLTS should remain sufficiently flexible to take into account any changing needs and conflicting interests. Financially, an eventual governance structure can allow for any financial model, both publicly (MS and EU) and privately financed, while making use of existing knowledge and instruments, such as CEF, Horizon 2020 and the ISA successor, but also e.g. OpenPEPPOL.



- **Criteria for openness and transparency**

Openness and transparency are identified by the ten criteria of Krechmer that should form the basis of an SLTS. These criteria should also apply to the financial aspects of an SLTS.

- **Criteria to fulfil universality**

Universality is necessary to create an inclusive process. Consensus-building, flexibility, compliance and compatibility are key elements in achieving a universal SLTS. Furthermore, this criterion is important in financial management, calling for economies of scope (integration of assets) and scale (number of users and transactions).

- **Legal criteria**

The governance structure should take into account a number of legal aspects, derived from the European legal framework for data protection, electronic identities and trust services (eIDAS). The remaining challenges that exist in the eIDAS Regulation, such as provisions on e-ID and e-Signature, should be closely monitored. Moreover, an appropriate intellectual property protection mechanism should be put in place.

Most importantly, however, a long-term legal structure must address the sustainability needs of the different domains and in general try to follow existing frameworks of associating MS and EU.

Summary

The D3.6 provides the first ideas regarding the scenario for short, medium and long-term towards a holistic governance and sustainability of the e-SENS assets. It illustrates a suggested SLTS including a specific design for a governance structure, funding schemes and operational considerations that meet the criteria and requirements that have been gathered. The proposal presented in the document intends to initiate a discussion on the future SLTS.

The requirements and criteria will need to be investigated further for the long-term stage. This will be further elaborated in the next version of this document due in month 24 of e-SENS (March 2015).