D3.4v5 Preliminary Proposal for a governance body – Implementation Plan for the Governance Model

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Abstract:
e-SENS proposes a self-sustainable European IT governance structure for the long-term (after the expiration of the Connecting Europe Facility in 2020). This deliverable presents ideas for an implementation plan of the governance model and describes governance processes during the next years, so that the governance structure
will most likely be in place after the end of the CEF.
## History

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<tr>
<td>BB</td>
<td>Building Block</td>
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<tr>
<td>BOMOS</td>
<td>Dutch for <em>Beheer- en OntwikkelModel voor Open Standaarden</em> (Management and Development Model for Open Standards)</td>
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<td>CAMSS</td>
<td>Common Assessment Method for Standards and Specifications</td>
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<td>CEF</td>
<td>Connecting Europe Facility</td>
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<tr>
<td>CIP ICT PSP</td>
<td>Information and Communication Technology Policy Support Programme (part of CIP - Competitiveness and Innovation Framework Programme)</td>
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<td>DGs TAXUD, MARKET, DIGIT, CONNECT</td>
<td>Directorate General of the European Commission for “Taxation and Customs”, for “Internal Market and Services”, for “Informatics”, for “Communications Networks, Content and Technology”</td>
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<tr>
<td>DSI</td>
<td>Digital Service Infrastructures</td>
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<td>EC</td>
<td>European Commission</td>
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<tr>
<td>e-CODEX</td>
<td>e-Justice Communication via Online Data Exchange</td>
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<tr>
<td>eIDAS</td>
<td>Regulation “on electronic identification and trusted services for electronic transactions in the internal market”</td>
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<td>e-SENS</td>
<td>Electronic Simple European Networked Services</td>
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<td>epSOS</td>
<td>Smart Open Services for European Patients</td>
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<tr>
<td>LCM</td>
<td>Lify Cycle Management</td>
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<tr>
<td>LSP</td>
<td>Large-Scale Pilot</td>
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<tr>
<td>MS</td>
<td>Member States</td>
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<tr>
<td>PEPPOL</td>
<td>Pan-European Public Procurement Online</td>
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<tr>
<td>OpenPEPPOL</td>
<td>Non-Profit Association – follow-up of the project PEPPOL</td>
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<tr>
<td>SPOCS</td>
<td>Simple Procedures Online for cross-border Services</td>
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<td>STORK</td>
<td>Secure Identity Across Borders linked</td>
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<tr>
<td>TA</td>
<td>Technical Annex</td>
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<td>WP3</td>
<td>e-SENS Work Package 3 “Sustainability and Long-Term Governance”</td>
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*Table 1: Abbreviations*
Executive Summary

e-SENS – Electronic Simple European Networked Services – is a Large Scale Pilot (LSP) aimed at promoting interoperability between public services in Europe based on the results of the previous LSPs: PEPPOL, e-CODEX, STORK, epSOS and SPOCS. The technical Building Blocks (BBs) developed and piloted by those LSPs are consolidated, improved and extended to new domains by e-SENS. The project focuses on the high-level BBs: e-ID, e-Signature, e-Documents and e-Delivery. One objective of e-SENS is the long-term governance and maintenance of the cross-community and cross-border technical solutions, which enable cross-border public services. In this respect e-SENS is also concerned with sustainability.

At the EU/level significant resources have been invested throughout the past years in these activities developing and piloting Building Blocks (BBs) and Digital Service Infrastructures (DSIs). Presently, the governance of these BBs and DSIs is supported through a variety of means differing from BB to BB and from DSI to DSI. The Connecting Europe Facility currently provides the bulk of funding (apart from the funding provided by specific LSPs), and will ensure a certain degree of continuity until 2020. However, it is clear that in the long term, a continuous governance solution is needed in order to ensure the sustainability and maintenance of the technical solutions.

The goal of e-SENS Work Package 3 “Sustainability and long-term governance” (WP3) is to pave the way for sustainability and long-term governance of the building blocks and their usage and interoperability within all European Member States and Associated Countries. WP3 provides guidelines and recommendations for the future maintenance of the Building Block (BBs), the Digital Service Infrastructures (DSIs) and for future policy development concerning the sustainability and governance of the interoperability architecture of the BBs.

A task of WP3 - namely WP3.5 “Governance Implementation” - deals with long-term governance (beyond the CEF, after 2020) and proposed in previous deliverables – inter alia – a governance structure consisting of several boards, which carry out different activities to ensure the long-term consolidation and maintenance of the technical solutions across domains. Based on an analysis a legal-organisational framework - namely an already existing European Agency – is proposed in which the governance model shall be embedded.

Proposing a future long-term European IT governance model is one aspect, another one is the implementation of it. This deliverable presents an implementation plan. The implementation plan provides a step by step approach explaining the successive steps that would need to be taken to complete the change from status quo (project based and CEF/ mid-term governance) to the envisaged new situation after 2020, in order to achieve the e-SENS governance vision. The described roadmap to achieve the implementation of the e-SENS governance proposal is split in two parts:

a) Roadmap for the political process to implement the governance model, including the steps which need to be taken on political level (e.g. European decision-making process)

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1 e-SENS D3.4v3 and e-SENS D3.4v4
D3.4v5 Preliminary Proposal for a governance body – Implementation Plan for the Governance Model
b) Operational or targeted implementation activities based on the BOMOS methodology

The e-SENS team recognises that fundamental decisions must still be taken, and that these will undoubtedly impact the implementation plan as well. The objective of this implementation plan is therefore not to provide a constrictive template that must be followed to the letter, but rather to outline some of the key steps to be undertaken, subject to further political discussion, revision and refinement, thus contributing to the long term governance of the building blocks and BBs/DSIs.

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2 The BOMOS methodology (Dutch Beheer- en OntwikkelModel voor Open Standaarden) was used to structure the implementation plan. BOMOS is an approach for choosing and maintaining Open eGovernment Standards, used in The Netherlands. The methodology supplies a set of best practices with activities needed for sustainable governance. This approach gives great guidance for defining the tasks required to implement and manage the governance structure. BOMOS consist of five process blocks; Strategy, Policy tactics, Operational, Implementation Support and Communication. All five process blocks contain a number of activities, which need to be fulfilled to implement a sustainable governance structure.
1. Introduction

1.1. Scope and Objective of Deliverable

e-SENS WP3 “Sustainability and long-term governance” has developed a proposal for a long-term European IT governance model which shall ensure the governance and sustainability of the technical solutions used in the EU to facilitate the delivery of public electronic services. This governance model shall be embedded in a legal-organisational framework for which WP3 also makes a proposal.

The Position Paper “Proposal for a legal-organisational framework of an European IT governance model” which contains these proposals was supported by the e-SENS consortium, meaning that all national experts (22 out of 22) of the participating countries in e-SENS approved the position paper. A unanimous approval of a future governance structure provides a solid ground for bringing the ideas to the attention of the EC and, subsequently, the national decision-makers.

e-SENS Work Package 3 on sustainability and long-term governance does not only deal with the design of the governance model, but also with its implementation. This deliverable presents ideas for a plan to ensure the implementation of the needed governance processes during the next years. A roadmap is presented which describes actions and steps which shall be taken that the governance structure is be in place or nearly in place by the end of the Connecting Europe Facility Programme in 2020.

1.2. WP3 General Objectives and Vision

The e-SENS Work Package 3 (WP3) ‘Sustainability and Long-Term Governance’ 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 Building Blocks (BB) and their support in creating interoperable public services across all European Member States and Associated Countries. The findings of e-SENS WP3 may be considered for the sustainability of the CEF Building Block DSIs and its future IT governance structure.

WP3.5 deals with long-term governance (beyond the CEF) and proposes – inter alia – a governance structure consisting of several boards, which carry out different activities to ensure the long-term consolidation and maintenance of the technical solutions across domains. Furthermore it proposes a legal-organisational framework, namely an already existing European Agency, in which the governance model shall be embedded.

1.3. Methodology of Work

This deliverable focuses on the implementation of the e-SENS proposal for a long-term European IT Governance Model.

The implementation of the e-SENS governance proposal was firstly discussed during a WP3 meeting in Luxemburg in October 2016. It was agreed that the plan shall consist of a detailed listing of

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3 Two of the approving countries made the reservation that the results of the position paper, if implemented, have to be confirmed by an impact assessment and that any adjustment of a mandate of an agency can only be decided by the competent authorities.

4 e-SENS D3.5v3
activities, shall mention the possible difficulties and risks and a roadmap or schedule to achieve the e-SENS governance vision.

The implementation plan or the roadmap for the implementation is divided in two parts:

a) One part deals with the process on the political level, including the European decision-making process. Here the eIDAS regulation has been used as reference.

b) The other part is based on the BOMOS methodology and contains operational steps which need to be taken to implement the European IT Governance Model. The BOMOS methodology was used to structure the implementation plan. BOMOS is a Dutch approach for choosing and maintaining Open e-Government Standards. The methodology supplies a set of best practices with activities needed for sustainable governance. Although BOMOS deals with Open e-Government Standards, it can be transferred to e-SENS and the maintenance of its BBs. Therefore this approach gives great guidance for defining the tasks required to implement and manage the governance structure in the long-term. BOMOS consist of five process blocks: Strategy, Policy tactics, Operational, Implementation Support and Communication. All five process blocks contain a number of activities, which need to be fulfilled to implement a sustainable governance structure. This process blocks are defined and described in more detail in Annex I of this deliverable.

1.4. Relations to Internal e-SENS Environment

WP3 continuously investigates and elaborates on sustainability matters depending on the developments within and outside the project. Different WP3 deliverables were published over the course of the project and are considered in this document. D3.4v5 is the last deliverable which completes the picture of the long-term governance of e-SENS BBs and DSIs and can be used as input for the European decision-making process on the future governance of technical solutions.

1.5. Relations to External e-SENS Environment

It is important for e-SENS and WP3 to consider the current discussions and initiatives at European level in order to come up with realistic and implementable intentions and ideas for long-term sustainability.

1.6. Quality Management

This section provides the concepts used to ensure the quality of the deliverable.

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5 e-SENS D3.4v2, page 13
6 e.g. e-SENS D3.4 “Preliminary proposal for a governance body” (M6 and M18), D3.5 “Preliminary proposal for long-term sustainability within the CEF” (M6), e-SENS D3.6 “Scenarios for governance models on short, medium and long-term” (M9)
7 e.g. the discussions on the Council Conclusions on the European e-Government Action Plan 2016-2020; the European Study on the sustainability of the CEF DSIs carried out by Deloitte etc.
1.7. **Risk Management**

This section describes the risk management. It summarises the risks identified for creating this deliverable D3.4v5. This includes identifying the risks, risk analysis, risk assessment and defining responses and risk owner.

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1.8. Legal Issues
No legal issues as such have arisen during the writing process of this deliverable. Nevertheless, it is important to cooperate continuously with WP4 to be able to address any legal issues concerning the implementation of a future governance structure.

1.9. Structure of the document
The document is structured into two chapters.
Chapter 1 describes the rationale for drafting the deliverable, defines how the work was planned and completed, and the methodology it followed. It describes where the work fits, in relation to other deliverables in WP3 and the relation to the external environment of e-SENS.
Chapter 2 focuses on the implementation plan for the European IT governance model. It contains a description why such a model is needed and describes the key principles it needs to follow. Furthermore the e-SENS proposal for a future European IT Governance Model is explained and then a roadmap which shall be followed to implement the e-SENS vision on governance. Chapter 2 provides a paragraph which mentions possible risks.
Conclusions and recommendations are found in the “Conclusion”-section.
Some concise information on the methodological background for the targeted implementation activities and a list of references are added in the annex of this document.
2. Implementation plan for a European IT Governance Model to sustain BBs/DSIs

The collection of generic BBs/DSIs, as derived initially from the Large Scale Pilots and as developed through other initiatives, cannot survive in the long term without proper governance. Presently, governance is largely set up on an ad hoc basis, with diverging rules depending on the BB/DSI, some of which provide no assurance of long-term sustainability.

A robust and sustainable long-term governance, in the opinion of e-SENS, should consist of a set of activities and supporting structures that enable the BB/DSI’s to adapt to technical or political changes in a consistent manner. It should also ensure the continued availability and functionality of the BB/DSIs, at least for the duration in which they are considered to be necessary from a policy perspective.

This implies the ability to address new circumstances (including technical or political changes), which sometimes will only affect one BB/DSI, and sometimes may impact a broader set of BB/DSI’s, or even require condensing or expanding the set of BBs/DSIs. For instance, it is not yet decided whether a generic translation engine should fall within a common governance structure with existing BBs/DSIs. New circumstances might also occur if a domain specific DG asks for customisation of an existing BB/DSI (e.g.: TAXUD requiring additional attribute information in relation to identified persons or companies). The political arena can also change, e.g. by imposing harmonisation requirements that affect the role of the Member States, the decision-making process in certain areas etc. Governing this through clearly regulated processes is a challenge in need of a consistent and durable solution.

The governance model proposed by e-SENS is flexible in its design, integrating elements which are currently scattered across multiple initiatives, depending on the BB/DSI. Some BB/DSIs have a specific non-governmental governance structure (e.g. OpenPEPPOL). Others are managed de facto through project structures (e.g. e-Documents in e-SENS), or via various groupings within the European Commission (e.g. the e-ID Cooperation Network). The e-SENS project refers to this broad community as its ecosystem.

Every project and every programme however has an ending. The governance structure that e-SENS is proposing is self-sustainable, with proper life cycle management. e-SENS Work Package 3 on sustainability and long-term governance deals with the design and implementation of the governance model. This implementation plan is to ensure the implementation of the needed governance processes during the next years, so that the self-sustainable governance structure will be in place or nearly in place by the end of the CEF programme in 2020.

2.1. Why do we need a European IT Governance Structure for BBs/DSIs?

The IT governance at European level should provide government bodies in Europe (national and regional) with the basic digital platform, building blocks that will help them in organising their primary processes. A common use of the building blocks that are recognised at EU level, will contribute to the coherence in the government’s services in Europe and henceforth to a more coordinated way of building IT services throughout Europe.

The digital service provisioning of the government as a whole (local governments, national government, executive organisations) to citizens and businesses must comply to the requirements
dealing with the continuity, reliability, security, privacy and administrative burden, thereby supporting economic development.

The purpose of the e-SENS governance model is to ensure that technical communities, domain communities, EU Member States and Associated Countries cooperate in relation to the BBs/DSIs, allowing them to operate in practice, thus supporting the achievement and effectiveness of the Digital Single Market, as well as providing practical support for other policy objectives (such as the implementation and execution of specific legislation).

As long as there is no guarantee that these BBs/DSIs can be maintained, Member States will be restrained to adopt them, as will other stakeholders including industry, Non-Profit Organisations and even individual citizens. A Member State, Associated Country or software supplier will not invest in a BB/DSI or develop products or services around it, without the assurance that there will be continuous availability, improvement and adaption of the BB/DSI.

On a strategic level, the assurance is needed that the BBs/DSIs form a coherent and functional set. Therefore - and taking into account that the core objective of the BBs/DSIs is to enable a range of products and services to function at EU level and across borders - an European IT governance structure is needed. Moreover, the EU e-Government Action Plan 2016-2020 has referred to the importance of the interoperability of BBs as enablers for electronic cross-border services. Furthermore, it is stated under Action 3: “The Commission will ensure the long-term sustainability of cross-border digital service infrastructures”.

Based on this policy position, and feedback from European experts⁸, it can be seen that there is a consensus on the need for a future European IT governance structure.

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⁸ e-SENS D3.6v2
2.2. Key Principles for a European IT Governance Model

The previous chapter explained why there is a need for a European IT self-sustaining governance structure, including a coordinating and a decision making component, as well as the ability to perform operational tasks. In order to make decisions that are credible and supported by the entire ecosystem of each BB/DSI, the structure itself should be free of bias, neutral and independent. In other words, it should take into account both the public and private interest of the cross-border BB/DSIs, which can differ strongly, depending on the relevant BB/DSI. This will involve a decisive role of the Member States and EU competent authorities in most BB/DSIs and, where appropriate, appropriate participation of other relevant stakeholders, including industries, competence centres, private sector stakeholders, and standardisation bodies.

The aim of the governance structure is to coordinate efforts to make the delivery and continued availability of high quality BBs/DSIs to any policy domain that requires cross-border services possible. This overarching (cross-BB and cross-DSI) governance structure needs to be backed by predictable and thus stable financing plans.

The key principles of a governance structure, as described in the e-SENS Position Paper on the “Proposal for a European IT governance model and a legal-organisational framework” (contained in e-SENS D3.5v3) can be summarily described as follows:

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9 e-SENS D3.6v1; The major sources of inspiration for the principles identified in this document are the EU Declaration on Guiding Principles for Sustainable Development (http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=CELEX:52005DC0218:EN:NOT), COBIT IT Governance principles (http://www.techrepublic.com/blog/it-security/cobit-5-for-information-security-the-underlying-principles/), Australian Charity Governance standard.
1. The governance structure must fulfill the needs and requirements of the stakeholders (e.g. EC, MS, private sector etc.), recognising that these differ from one BB/DSI to the next. In other words, it should not assume that the stakeholders only comprise regulators at the EU or national level.

2. The governance structure must rely on the principle of subsidiarity, that is: decentralise decision making as close to the communities in directly involved fields as possible, linking back to policy-specific DGs (at the EU level) and relevant Member State expert groups (at the MS level).

3. The governance structure must recognise the principle of transparency and equity in decision making; stakeholders must be able to recognise the origin, reasoning and legitimacy of decisions.

4. The governance structure must recognise the principle of openness, by welcoming new interested parties as a broader community, and allocating them a place as stakeholders where relevant.

5. The governance structure must recognise the principle of universality: BBs/DSIs are built for a broad range of application areas and must be governed to ensure their relevance to any domain of interest.

6. The governance structure must recognise the principle of reciprocity¹⁰, ensuring the balance between the contribution and the obtained added value.

7. Finally, it is clear that the legal-organizational framework of this governance model needs to satisfy European legal requirements, comprising subsidiarity, proportionality, lawfulness, and alignment with pre-existing legislation and policy in relation to BB/DSIs that have already been the subject of regulation.

2.3. The e-SENS proposal for future governance of BBs and DSIs

Based on these key principles, e-SENS has developed a governance proposal for the long-term which is described in more detail in the aforementioned position paper and the corresponding deliverable. Based on the e-SENS experience, the experience of other Large Scale Pilot projects before it, and the feedback of different national and European experts, a selection of key coordination topics has been made that need to form the pillars of the governance proposal:

- Identifying and defining new technical or domain communities dealing with BBs/DSIs to be integrated, prioritising these integrations and helping to find funding for the needed

¹⁰ Ensuring the balance between the contribution and the obtained value.
integration and maturation efforts. In short: coordinating the efforts to expand the governance structure

- Managing choices on architectural interoperability of BBs/DSIs and their coherent evolution. In short: coordinating the architecture
- Creating synergies in delivering the needed e-Services and support to (public) users. In short: governing the electronic services
- Mutually supporting the marketing efforts of each community, creating synergies to share an existing user base and expand market and take up of available BBs/DSIs. In short: coordinating the business development efforts

In the proposed long-term governance model, these four topics are coordinated by four strategic boards: Expansion Board, Architecture Board, Solution Servicing Board and Business Development Board.

Furthermore, another strategic board, namely the Reciprocity Board, is proposed to coordinate efforts to design, implement and improve reasonable balance mechanisms between the actors within the governance model to ensure a natural balance between contribution and obtained value. Instruments and regulations can be designed to encourage major contributors and help less active observers become active contributors across both BB and domain communities:

![Figure 2: Strategic Coordination Boards](image)

In the event of divergent views between the different strategic boards, a Political Coordination Board is expected to serve as a conflict solving and escalation mechanism. The Political Coordination Board can also provide a high level political link between the European Commission and to the formal representations of the Member States and Associated Countries. This is mainly relevant to facilitate
the flow of information between the strategic boards and political decision-makers. The Political Coordination Board should support the cooperation between the five boards.

e-SENS analysed three possible legal-organisational scenarios in which these boards could be organised, namely a DG programme, a European Agency and a Non-Profit-Organisation. Based on feedback from several stakeholders and e-SENS’ own assessment, considering also legal, organisational, financial, architectural and domain-related criteria, e-SENS generally favours the option to entrust an already existing decentralised agency with the task of encapsulating and integrating existing governance and decision making processes into a single and coherent structure.

To reach such a situation, no ‘big-bang’ approach is foreseen in which a single body would suddenly and immediately take over the governance of all building blocks and e-Services, since such a solution would be likely to create significant legal challenges and policy tensions. Rather, a gradual and stepwise evolution is envisaged, in which the tasks of the agency would initially focus more on coordination as a transitory phase, by incorporating existing structures and decision making processes that have already been established through prior policies and legislative intervention. Gradually, the agency would receive additional governance tasks and responsibilities. It could also support legal decision making in the framework of existing legislation and the European Institutional Framework. This would allow the e-SENS governance model to be put into practice, while avoiding a potentially disruptive break in prior policy initiatives.

2.4. A Roadmap for the implementation of the e-SENS Governance Proposal

Achieving the proposal as set out above is not a trivial matter. It requires extensive consensus building, comprising both a political process and a series of targeted implementation activities. In this section, a roadmap is provided containing both the steps in the political process and the relevant actions to be undertaken. These have been developed with the objective of having a governance solution in mind by Q1 2020. Political realities may of course impact the feasibility and actual execution.

2.4.1. The political process of creating sustainable IT governance

This section provides a model for the political decision making process that would be required to establish an IT governance structure for BB/DSIs at European level, in accordance with the e-SENS vision. In order to clearly ground this effort in reality, a parallel is provided with the decision-making process of the European eIDAS Regulation No 910/2014. This choice for a parallel was made because the eIDAS Regulation provided a governance framework for a specific BB/DSIs, and is therefore likely a better approximation of the expected political process in order to achieve a governance framework for all BB/DSIs than most other legal instruments.

The starting inputs for the model (i.e. the anchor points for the political process) are:

1. the e-SENS project,
2. the newly adopted eGovernment Action Plan 2016-2020 that contains a priority to ‘Ensure the long-term sustainability of cross-border digital services infrastructure’, to be achieved by 2018.

3. The Council Conclusions of September 2016 that reconfirmed the need to “… propose a specific plan for governance, including Member States' involvement, and long-term sustainability of the Digital Service Infrastructures, in particular of the core service platforms and the EU-funded Large-Scale Pilots.”

As indicated above, the eIDAS Regulation is used as a reference, by comparing both timelines for the decision-making. Although any event in the past does not give guarantees for what will happen in the future, eIDAS can serve as a useful proxy for the possibilities and timing of achieving a governance structure.

It should be underlined that it is difficult to attempt to predict a decision making process for IT governance. Nonetheless, through this methodology a prediction can be made about possible timelines and which steps need to be taken:

<table>
<thead>
<tr>
<th>eIDAS process</th>
<th>IT governance process</th>
</tr>
</thead>
<tbody>
<tr>
<td>Date</td>
<td>Initiative</td>
</tr>
<tr>
<td>1st June 2008</td>
<td>STORK project funded by CIP ICT PSP aiming at establishing a European eID Interoperability Platform 12</td>
</tr>
<tr>
<td>26th August 2010</td>
<td>Commission communication entitled ‘A Digital Agenda for Europe’ identified the fragmentation of the digital market, the lack of interoperability and the rise in cybercrime as major obstacles to the virtuous cycle of the digital economy 14 “ACTIONS The Commission will: Key Action 16: Propose</td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

13 https://www.esens.eu/content/long-term-it-governance-structure
<table>
<thead>
<tr>
<th>Date</th>
<th>Event Description</th>
<th>Reference</th>
</tr>
</thead>
<tbody>
<tr>
<td>27th May 2011</td>
<td>In its conclusions of the Council invited the Commission to contribute to the digital single market by creating appropriate conditions for the mutual recognition of key enablers across borders, such as electronic identification, electronic documents, electronic signatures and electronic delivery services, and for interoperable e-government services across the European Union.</td>
<td>16 <a href="http://register.consilium.europa.eu/doc/srv?l=EN&amp;f=ST%2010308%202011%20INIT">http://register.consilium.europa.eu/doc/srv?l=EN&amp;f=ST%2010308%202011%20INIT</a></td>
</tr>
<tr>
<td>16th October 2017</td>
<td>Proposal for a legislative initiative creating a mandate for a specific Agency (by changing the mandate of an existing decentralised agency if the e-SENS preference is followed)</td>
<td></td>
</tr>
</tbody>
</table>

18 http://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX%3A52012PC0238

D3.4v5 Preliminary Proposal for a governance body – Implementation Plan for the Governance Model
As the table above shows, based on the analogy of the eIDAS Regulation, it is in principle possible that by 2020 a formal decision on the legal framework for the long-term sustainability and its further details can be made.

2.4.2. Targeted implementation activities

Beyond the political process described above, it is also necessary to consider which implementation activities would need to be undertaken to make the proposal a reality. Several support measures are necessary in order to reach the goals of this roadmap and address political ambitions, key principles and design criteria.

The following support measures are currently envisaged as priorities, along with the corresponding timing:

<table>
<thead>
<tr>
<th>Strategical measures/decisions</th>
<th>Due</th>
</tr>
</thead>
<tbody>
<tr>
<td>Completing a full assessment of available governance options and preferred scenarios, based on the Deloitte Study on the sustainability of the CEF DSIs</td>
<td>Q1 2017</td>
</tr>
<tr>
<td>Assessment of the governance and maturity of BB/DSIs and their respective communities in order to find out if they are suitable (mature enough) to join the governance model</td>
<td>Q3 2017</td>
</tr>
<tr>
<td>Deciding upon the preferred scenario and its scoping (i.e. which BBs/DSIs would be integrated into it, taking into account the maturity assessment, and in what manner)</td>
<td>Q3 2017</td>
</tr>
</tbody>
</table>

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22 These support measures are derived from the BOMOS methodology which is explained in more detail in the Annex of this document.
Assuming that the e-SENS proposal is followed: choosing an existing Agency whose mandate would be revised and extended to cover the BBs/DSIs governance tasks | Q3 2017
---|---

Determine appropriate IPR rules, ensuring free (or free for non-commercial purposes) use of the required components, and deciding on policies and principles to determine any costs for commercial use | Q4 2017

Proposing an amendment of the legal mandate of the Agency, including the allocation of appropriate budgets; adoption will follow the political process set out above (chapter 2.4.1). | Q4 2017

Define reciprocity measures (balance mechanisms), which can be contributed hours, money, etc. | Q4 2018

Introduce community funding measures, take reciprocity in consideration, e.g. if no hours invested then a financial contribution per year is appropriate. For the overarching governance this may also be on a community to agency exchange. | Q4 2018

### Policy and tactical measures/decisions

<table>
<thead>
<tr>
<th>Due Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Stakeholder analysis and consensus building on the initial composition of the ecosystem, building upon existing legislation at the EU level and considering national sensitivities in the Member States. Periodic re-evaluation needs to be performed to make sure representation in the structures is still valid.</td>
</tr>
<tr>
<td>Reassess the present level of governance of every DSI and BB that is part of the ecosystem and determine the need to mature governance</td>
</tr>
<tr>
<td>Start a list of what is in scope of the governance model and introduce LCM. Adopt Architectural WIKI and define architectural rules within the EIF framework</td>
</tr>
<tr>
<td>Define operational mechanisms: support activities, on boarding of Member States and other community participants, communication, escalation and complaint procedures, help desk, service management and training etc.</td>
</tr>
<tr>
<td>Map and support coherence/integration of and between DSI communities as started by CEF (e.g. eDAS, e-Delivery) with existing BB/domain communities such as OpenPeppol etc.</td>
</tr>
</tbody>
</table>

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23 This term encompasses BB communities (like e-ID, e-Signature, e-Delivery) as well as domain communities (like e-Health, e-Justice, e-Procurement). These are communities consisting of the EC, MS, private stakeholders, standardisation organisation etc., which are involved in the development, maintenance, implementation and operation of technical solutions necessary to fulfil public electronic services. Communities are independent.
| Establishing annual work programme with internal rules for the aforementioned boards | Q4 2020 |
| Write communication plan, with business cases | Q4 2020 |
| Operational provisioning: ensuring appropriate staffing and technical resources | Q4 2020 |
| Introduce/ reuse validation and certification rules and tools | Q4 2020 |
| Introduce/ reuse (CAMSS) uptake rules to the ecosystem both from a domain and a BB/DSI perspective. | Q4 2020 |

**Operational measures**

<table>
<thead>
<tr>
<th>Operational measures</th>
<th>Due Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>First board meetings involving private and public partners</td>
<td>Q4 2020</td>
</tr>
<tr>
<td>Execution of transparency / communication measures: on the technical, tactical and strategical level (rules of play), any relevant information on policies, procedures and decisions (such as adopted standards, operational procedures, revision rules etc.) should be published on a regular basis, also via the internet.</td>
<td>Q4 2020</td>
</tr>
<tr>
<td>Execute all policies mentioned above, either distributed through the ecosystem or within the agency, depending on the status of the existing governance of the BBs and DSIs</td>
<td>Q4 2020</td>
</tr>
</tbody>
</table>

**Measures for Communication**

<table>
<thead>
<tr>
<th>Measures for Communication</th>
<th>Due Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Publish all policies mentioned above for the ecosystem</td>
<td>Q4 2020</td>
</tr>
<tr>
<td>Publish architectural WIKI/administration and update</td>
<td>Q4 2020</td>
</tr>
<tr>
<td>Execute Communication plan</td>
<td>Q4 2020</td>
</tr>
</tbody>
</table>

**Measures to support implementation**

<table>
<thead>
<tr>
<th>Measures to support implementation</th>
<th>Due Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Arrange help on implementation of BB/DSI’s either from the agency or start up a policy to monitor this aspect within the ecosystem</td>
<td>Q4 2019</td>
</tr>
</tbody>
</table>

**Evaluation measures**

<table>
<thead>
<tr>
<th>Evaluation measures</th>
<th>Due Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Evaluate the growth and the expiration of BB/DSI’s every year</td>
<td>From Q4 2020</td>
</tr>
<tr>
<td>Evaluate the attendance of stakeholders and board processes every year</td>
<td>From Q4 2020</td>
</tr>
<tr>
<td>Introduce a client satisfaction survey every year</td>
<td>From Q4 2020</td>
</tr>
</tbody>
</table>

entities, with their own way of working, funding etc. There might be overlaps between a BB community and a domain community (e.g. in the field of e-Delivery since most of the domains use e-Delivery).
It is clear that the execution of this implementation plan is subject to several risks and uncertainties. Firstly, it should be recognised that the e-SENS proposal is not based on a systematic assessment of all governance options for the BBs/DSIs. A comprehensive policy option assessment must be done, but that exceeds the mandate of e-SENS. If the outcome of this assessment differs significantly from the e-SENS proposal (e.g. because it would favour another option than an Agency), then the implementation plan must of course be revised accordingly. Similarly, execution of the proposal assumes that the Member States - and in some cases also the BB/DSI owners and their respective communities - will also arrive to a consensus that an Agency is the best option.

Secondly, it is clear that the e-SENS consortium is convinced of the necessity of a sustainable long-term governance option across BBs/DSIs. If this conviction is not shared by the Member States or by current BB/DSI owners, this can jeopardise the vision of the e-SENS consortium as well, and will at a minimum affect the scoping of the governance plans. By way of simple example: Member States might opt to exclude some BBs/DSIs from the Agency’s remit, leaving them with an ad hoc solution.

Furthermore, it must be ensured that each BB/DSI has a clear owner before it can be integrated into the governance proposal. This requires a consensus on its precise scoping and on the stakeholder that must be implicated in its governance.

On the strategical level, it should also be recognised that the e-SENS proposal emphasizes the value of collaboration, and the need to provide sustainable resources - in terms of funding and efforts - to support this collaboration. If Member States decide that, for all or some of the BBs or DSIs, the resources would be disproportionate or the collaboration would impact their sovereignty in an undesirable manner, it may be difficult to arrive to an acceptable set of governance rules for the proposed Agency.

Finally, it is clear that, both operationally and tactically, the governance solution envisaged by e-SENS requires interaction with a broad group of constituents, comprising both public and private sector participants. e-SENS is convinced of the benefits of this approach, provided that appropriate mechanisms can be implemented to avoid capture by large companies or organisations. Fairness and transparency will be critical, and will need to be supported by Member States’ willingness to include external communities in their governance activities. It is not self-evident that this will be the case for all Member States or for all BBs/DSIs.
Conclusion

At the EU level, significant resources have been invested throughout the past years in the development and piloting of building blocks (BBs) and Digital Service Infrastructures (DSIs). This has been done through various initiatives, including several Large Scale Pilot projects (LSPs) like e-SENS. Presently, the governance of these BBs and DSIs is supported through a variety of means, which differ from building block to building block and from DSI to DSI. The Connecting Europe Facility Programme currently provides the bulk of the funding (apart from the funding provided to specific LSPs) and will ensure a certain degree of continuity until 2020.

However, it is clear that, in the long-term, a continuous governance solution is needed in order to ensure the sustainability and maintenance of the technical solutions. It is required that the initiative is not limited to the duration of a single programme, and that it allows synergies and coordination to be realised between the BBs and DSIs. e-SENS has developed its own long-term governance proposal addressing sustainability needs beyond 2020, after the expiration of the CEF, via the work in Work Package 3 “Sustainability and long-term governance”. Of course, this proposal and several alternatives will need to be examined and refined through other initiatives followed by the political decision making process involving the Member States and the European Institutions.

The proposal of a future European IT Governance Model is one aspect of the sustainability and maintenance of the European BBs and DSIs, another one its implementation. This deliverable presents an implementation plan for the e-SENS governance vision. It describes the necessity of the model and a roadmap which contains steps on political and operational level to implement the proposed model by the end of the CEF, meaning 2020.

While certain risks exist and an extensive series of sometimes complex and interdependent follow-up actions need to be undertaken, the sections above have shown how the e-SENS governance proposal could be implemented in practice. This is only a provisional proposal that will require additional inputs from various stakeholders and validation from political entities. Nonetheless, it is the strong conviction of the e-SENS consortium that this implementation path - described above both in terms of the political process and its implementation activities - should be followed in order to ensure that future generations can benefit from the investments that have been made in the BBs/DSIs in the past, thus supporting the realisation of the Digital Single Market and more broadly furthering the transition to a fully digital-enabled society in Europe after 2020.
I. References

1. e-SENS D3.4v2 (September 2014) “Preliminary proposal for a governance body – Implementation plan of a governance model”: This deliverable, D3.4, presents ideas and suggestions for the implementation of a future governance structure to ensure the sustainability of the e-SENS building blocks. The timeframes (short term - e-SENS project, medium term - CEF funding and long term - after 2020) are presented in chronological order the actions required to achieve the long term vision. The implementation plan proposes that concrete tasks and stakeholders are defined when developing ideas about the governance structure, its policy, operations, funding, communications and implementation support. → https://www.esens.eu/sites/default/files/e-SENS_D3.4_%282%29.pdf

2. e-SENS D3.5v3 (December 2016): “Preliminary proposal for long-term sustainability within the CEF – Position Paper on Governance”: This deliverable consists of two parts:
   a) a position paper which contains a summary of the main results of the work carried out by WP3 since the start of e-SENS. Based on these results WP3 developed a proposal for a European IT governance model for the long-term and a proposal for a legal-organisational framework, namely an already existing European Agency, which shall maintain and sustain the e-SENS building blocks and also other European IT solutions.
   b) an evaluation of the feedback of the national experts involved in e-SENS on the position paper. 21 out of 22 national experts support the position paper and the ideas which are contained in it, but they also pointed out room for improvement and challenges. → not public yet

3. e-SENS D3.6v1 (Mai 2014): „Scenarios for governance models on short, medium and long-term”: This 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. → https://www.esens.eu/sites/default/files/e-SENS_D3.6_0.pdf

4. e-SENS D3.6v2 (March 2015) „Scenarios for governance models on short, medium and long-term – MS preferences on long-term sustainability“: This deliverable presents opinions of representatives in the CEF expert group on the necessity and preference for a European IT governance structure in the long-term (beyond 2020; after the expiration of the CEF) for building block DSIs like e-ID, e-Signatures, e-Delivery and e-Documents. Based on the results of the survey recommendations for the organisation of a future IT governance structure in Europe are presented. → https://www.esens.eu/sites/default/files/e-SENS_D3.6_%282%29.pdf

5. STORK “eID – easier access to public services across the EU”: http://ec.europa.eu/information_society/activities/ict_psp/projects/portfolio/h2_documents/stork.pdf, last access: 01.02.2017

6. Information about the e-SENS long-term IT Governance Structure: https://www.esens.eu/content/long-term-it-governance-structure; last access: 01.02.2017

16. Permaculture principles: https://permacultureprinciples.com/principles/; Last access: 23.03.2017
II. Appendix I – Methodological Background for targeted implementation activities

Introduction
The BOMOS methodology (Dutch for Beheer- en OntwikkelModel voor Open Standaarden) was used to structure the implementation plan. BOMOS is an approach for choosing and maintaining Open e-Government Standards. The methodology supplies a set of best practices with activities needed for sustainable governance; therefore this approach gives useful guidance for defining the tasks required to implement and manage the governance structure in the short, medium and long-term. Although BOMOS deals with Open e-Government Standards, it can be transferred to services and thus to e-SENS.

BOMOS consist of five “process blocks” (Strategy, (Policy) Tactics, Operational, Implementation Support and Communication), which are officially called BBs. In order to avoid confusion with the e-SENS BBs, the term “process blocks” will be used hereunder. All five process blocks contain a number of activities, which need to be fulfilled to implement a sustainable governance structure:

**Strategy (Governance and Vision)**

The strategy process block encompasses directing activities related to the strategic governance structure. The activity vision describes the spot on the horizon one wants to achieve in the long term. It describes what one wants to do with the BBs in the future. The development of a business case to demonstrate the long term and indirect benefits of BBs also falls under vision. The governance
structure activity defines the structure of the governance organisation itself, that is the rights and responsibilities of all stakeholders, and details the adopted decision-making principles mechanisms and in which time frame decisions are made. Finally, the funding activity can be split up into operations funding, integration funding and reciprocity. Operations funding describes the activities relating to the governance and all operations of readily integrated domains and all their BBs. Integration funding describes the activities needed to join/connect new domains to the existing structure. The activity to ensure reciprocity makes sure that whoever contributes is entitled to get something back and that whoever benefits from assets from the structure is obliged to contribute back.

Policy tactics

The policy and tactics process block describes all steering activities on a tactical level. Six activities are defined in this process block. The community activity is essential as it ensures that the right stakeholders take part in the community. A strategy is needed to build a community with the right stakeholders and to determine who should be involved in the advisory board and working groups and who the intended users are. The rights policy activity focuses on the implementation of policies determining intellectual property and copyrights of BBs. Therefore, terms and conditions for IPR need to be defined, as well as roles, rights and obligations for a defined community.

The architecture activity ensures coherent integration of BBs in integrated domains. One of the first architecture activities is to determine what needs to be sustained. In the case of e-SENS this requires the definition of where the community wants to head to with which BBs. It also includes a roadmapping process to determine how it is decided which BBs are in and which are out of scope, and under which terms. The take-up activity describes all tasks needed to expand the use of BBs across EU countries. This can be done by setting up and managing a take-up strategy to ensure that the market adopts the BBs. Finally, business development detects and contacts new domains with good integration potential and manages the coherent integration of new domains. Ensuring Life Cycle Management (LCM) describes all activities associated with setting up a process for (pilot) LCM, including defining LCM for e-SENS.25

With respect to Tactics, three of the original five activities stayed unchanged, namely: community, rights policy and architecture. The quality policy activity was removed as a separate tactics activity and integrated in all activities of BOMOS. As a result, the e-SENS community suggested defining the role of an accountability and quality management group to ensure coherent quality among all BBs and members. Life cycle management has been added as a new activity. Adoption and recognition was replaced by two activities (take-up and business development).

Operational

The operational process block describes six activities related to the actual development, execution and implementation of pilots and services (BBs). Initiating the development of BBs is the process of identifying new ideas and all activities associated with setting them up successfully (e.g. analysis of interests, business case, agenda) while ensuring reciprocity. Maintaining and evolving BBs describes all activities associated with maintaining and evolving BBs successfully while ensuring reciprocity. Mature candidate BBs describes all activities related to making selected BBs more mature. Life cycle

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25 “Ensure LCM” is a process block defined for tactics, whereas “LCM” is a process block defined for operations. The difference is that one relates to our strategic goals, the second relates to how this works in practice.
management is the actual execution of the LCM plan set up in tactics. It includes all activities related to the management of services and monitoring of how they develop. Service provisioning encompasses all tasks related to the execution of IT services to satisfy business requirements. It is important that services are well-defined and documented, and are regularly reviewed and redesigned as necessary to meet business needs. Enforcing IPR finally includes the enforcement of IPR as defined in the tactics section (Rights policy) and the management of IPR.

With respect to the activities falling under the Operational process block, many changes have been made for e-SENS. All original BOMOS activities were replaced by new activities specific for the operationalisation of services. Three activities were defined focusing on initiating the development of, maintaining and maturing BBs. These three are based on the original BOMOS activities initiation, development and execution but focus now specifically on BBs and services and not the operationalisation of standards. Life cycle management itself and service provisioning and the enforcement of IPR were added as three new activities.

**Implementation Support**

Implementation support is one of the supporting process blocks. It consists of four support activities. Training describes all activities related to offering training opportunities to the various stakeholders/user groups. This can vary from an information meeting to an extensive course. The help desk offers support to the various user groups via different channels (e.g. email, telephone) in acceptable quality (e.g. reasonable delay). Help desk activities could be to develop and update a list with frequently asked questions or the provision of accessible information for integration candidates, such as a roadmap, FAQ and contact points. The encourage module development activity encourages the development of widely distributed software that makes use of the BBs. Validation and certification includes activities such as providing opportunities to test the accuracy of the BB implementations or to offer a validation service. It could also include the development of self-certification instruments.

With respect to Implementation support only few changes have been made for e-SENS. The activity pilots were deleted as it is already now a central activity in the e-SENS project, which, according to the e-SENS experts does not require special attention in the governance framework. The activity ‘module development’ (process block) was specified to encourage open source software development by partners, so that they can comply more easily to existing software used by users.

**Communication**

Communication is the second supporting process consisting of four different support activities. The building of a community includes tasks related to stakeholder engagement as well as the monitoring of a good composition of that community. Promotion includes activities to grow the community and the development of a marketing and communication plan using classical marketing methods. Publication ensures that BBs are findable on the Internet. The complaints procedure guarantee that complaints are taken seriously by handling them according to a transparent procedure. It is based on the fact that complaints are used as suggestions for improvement.

With respect to communication three original BOMOS activities have been kept (promotion, publication and complaints procedure) and one extra activity was added to animate the community.