



**Center for
Technology in Government**

**Open Government Portfolio
Public Value Assessment Tool
(PVAT)**

Getting Started Guide

April 2011

The Open Government Portfolio Public value Assessment Tool

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

Three basic ideas are central to the PVAT approach: assessing open government initiatives as parts of a portfolio, basing that assessment on a detailed public value framework (outlined below), and treating the assessment as a group process of deliberation. In the current context, any particular agency or level of government is likely to have multiple open government initiatives in place or under consideration. Treating those initiatives as a portfolio allows both for an overall assessment and for a way to consider tradeoffs of lower value for higher value components. Such an assessment requires a value framework that includes a range of social and political returns beyond the usual financial metrics so that these broad value results can be taken into account. Due to the complex information requirements for such a process and the need to accommodate diverse interests and perspectives, the tool employs a group process for portfolio assessment and decision making.

The PVAT is developed based on CTG's public value framework <http://www.ctg.albany.edu/projects/proi>. This framework treats a public return on investment (ROI) as either the delivery of specific benefit or valued outcome to key stakeholders or the improvement of the value of government as a public asset. The portfolio assessment approach focuses attention beyond individual initiatives to the overall value across an agency's open government programs and projects. The logic is straightforward: By looking at the collection as a whole, agency decision makers can assess where changes can be made and new efforts started to move toward an optimal mix of initiatives. They can move resources among alternative projects to balance value across stakeholders and agency priorities. Portfolio-based methods for assessments of investments and project choices are well-established across many agencies and can be readily adapted to the open government context. These methods promote strategic thinking and attention to the relationship between overall goals, individual investments, and expected outcome.

To read more about the underlying foundation of public value and the conceptual design of the tool, please read the companion piece; *Open Government and Public Value: Conceptualizing a Portfolio Assessment Tool* located at <http://www.ctg.albany.edu/publications/online/pvat/>. Detailed in this report is the project initiation and methodology that shows how the concepts of open government and public value were brought together to create this tool. .

Overview of the PVAT

The PVAT approach yields a way to look at an open government portfolio in terms of the public value expected from each initiative. The tool is used to identify each initiative's relevant stakeholders and their interests, and what value the initiative can produce for those stakeholders. Using a common value framework across the initiatives illuminates opportunities to shift effort and investment among initiatives to increase the overall value of the portfolio. The workbooks that make up the main body of the tool include detailed instructions for how to conduct the assessment. This Guide provides a more detailed description of the basic ideas that underlie the tool and an overview of the assessment process mechanics.

HOW WAS THE TOOL DESIGNED TO BE USED?

Assessment as a Group Process

The tool is designed as a group process by those with responsibility for maximizing the public value created through a portfolio of open government initiatives. The group using the PVAT should include a range of staff responsible for decision making and implementation of the open government projects, including executives responsible for the overall open government plan and portfolio. The methods and criteria presented here are designed with this group process in mind. Taken together, participants in the process should have the necessary skills and experience to carry out the steps and produce the material called for in the tool. This requires a mix of capabilities: experience in strategic planning, program evaluation and policy analysis, group collaboration and decision making, and knowledge of technology use in open government initiatives. The process may be organized in a variety of ways as well. This could also mean that some steps are done individually then discussed collectively with the team creating a combined assessment record. Those responsible for the assessment should determine which steps will be done individually and which steps will be done by the team.

The PVAT is an internal agency tool that can be used for both planning new initiatives and assessing current or past open government initiatives.

Planning New Open Government Initiatives

- As a planning tool for adding or removing initiatives from a portfolio
- Supporting development of a business case for a new initiative or investment
- Creating shared understanding of initiatives or a portfolio among an open government team
- Informing decision making, prioritizing alternative initiatives or investments, and informing post implementation performance measurement and evaluation efforts
- Answering the question: Does it matter? A public value assessment can be used to inform a range of stakeholders
- Prioritizing new initiatives

Assessing Current or Past Open Government Initiatives

- Document the public value of past initiatives
- Create an official record of assessment
- Assess portfolio to determine where most of the value is being accrued

WHAT FACTORS ARE CRITICAL TO SUCCESSFUL USE OF THE PVAT?

Five factors are critical to successful use of the tool. These apply to the individuals using the tool as well as how the assessment process is organized and supported by the organizations involved.

- *Trust and Candor.* Willingness to freely share information about one's own projects or responsibilities and interests. Threats to accuracy and honesty, such as low-quality information, unconscious bias, and distortion of the status quo, can lead to invalid or badly skewed assessments.
- *Individual and Organizational Commitment.* Willingness and ability to gather the necessary information, make value judgments, participate in group discussions, resolve differences, reach consensus, and adjust portfolio priorities and investments accordingly.
- *The Right Mix of Participants.* Participation by teams with the necessary knowledge of the program environment, existing systems, and possible future strategies and technologies. Participants must be able to form accurate judgments about stakeholders and the effectiveness of various programs and technologies.
- *Adequate Information and Analytical Tools.* For the assessments to be valid and useful, users of the tool must have access to appropriate data and analytical tools.
- *Willingness to Extend the Assessment as Needed.* Making well-informed decisions about the portfolio may require multiple passes through the assessment and reviews steps of the PVAT; each pass can generate new information and questions for consideration by the PVAT team.

PREPARING TO USE THE PVAT

- *Choose a team to conduct the assessment.* Keep in mind the need for a reasonably diverse set of perspectives on the PVAT team.
- *Determine a group process leader.* This is the PVAT Coordinator, responsible for moving the group through the steps of the PVAT and maintaining the assessment record and results.
- *Provide an orientation.* The PVAT Coordinator orients the team and their managers to the tool and the process, ensuring that all team members are familiar with all parts of the PVAT before starting. It is important for each PVAT team member to understand the full scope of the effort.
- *Decide on approach and process.* Together with the team, decide on the approach and processes the group will use to carry out the assessment. Will the tool be completed by an individual and then shared with the group? Will the group complete the tool in group sessions? Answers to these and other questions are necessary to build group understanding of phases of efforts, assignments, and expectations.
- *Gather and share documentation.* Prior to Step 1 of the PVAT, gather and share, with the selected team in preparation for Step 1 of the PVAT, all relevant documentation about the open government portfolio and the specific initiatives to be reviewed.

Categories of Work in the PVAT

The PVAT is comprised of three sets of activities; preparation, assessment, and portfolio review (See Figure 2). Each of the activities is supported by the workbooks available in the PVAT zip file found on the CTG website.

PREPARATION	ASSESSMENTS	PORTFOLIO REVIEW
<div style="border: 1px solid black; background-color: #ffff00; padding: 5px; margin-bottom: 10px; width: 80%; margin-left: 10px;">Getting Started Guide</div> <div style="border: 1px solid black; background-color: #ffff00; padding: 5px; width: 80%; margin-left: 10px;">Example Workbook</div>	<div style="border: 1px solid black; background-color: #ffff00; padding: 5px; margin-bottom: 5px; width: 80%; margin-left: 10px;">Initiative One Workbook (Steps 1-5)</div> <div style="border: 1px solid black; background-color: #ffff00; padding: 5px; margin-bottom: 5px; width: 80%; margin-left: 10px;">Initiative Two Workbook (Steps 1-5)</div> <div style="border: 1px solid black; background-color: #ffff00; padding: 5px; margin-bottom: 5px; width: 80%; margin-left: 10px;">Initiative Three Workbook (Steps 1-5)</div> <div style="border: 1px solid black; background-color: #ffff00; padding: 5px; margin-bottom: 5px; width: 80%; margin-left: 10px;">Initiative Four Workbook (Steps 1-5)</div> <div style="border: 1px solid black; background-color: #ffff00; padding: 5px; width: 80%; margin-left: 10px;">Initiative Five Workbook (Steps 1-5)</div>	<div style="border: 1px solid black; background-color: #ffff00; padding: 5px; width: 80%; margin-left: 10px; margin-top: 10px;">Portfolio Review Workbook (Step 6)</div>

Figure 1 - PVAT Work Categories

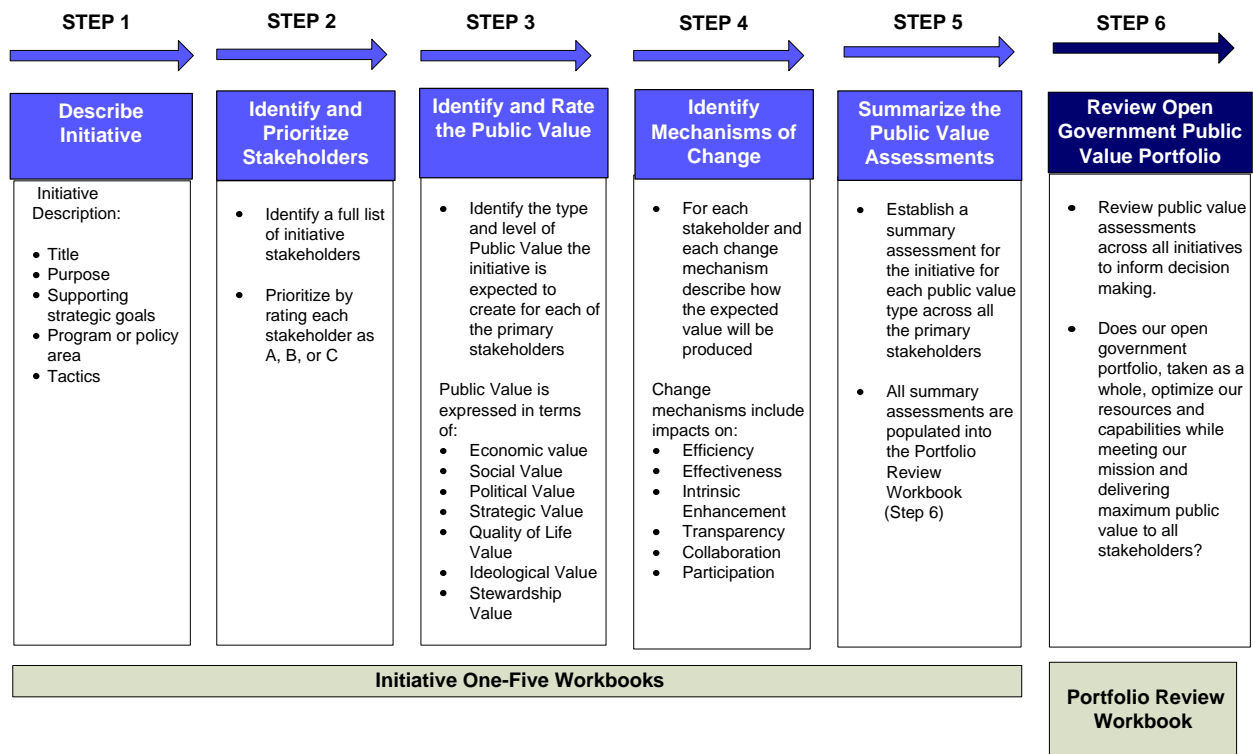
- The preparation activities include forming and preparing the PVAT Team, deciding on approach and processes, assigning roles and responsibilities, gathering relevant documents, setting a meeting schedule and agenda, reading the *Getting Started Guide*, and reviewing the Example Workbook.
- The assessment activities include completing steps 1-5 for up to five initiatives in each of the respective Initiative Workbooks.
- The portfolio review activities include reviewing the portfolio of public value ratings in the Portfolio Review Workbook and using this information to inform decision making in open government priorities.

Conducting the Assessment and Portfolio Review (Steps 1-6)

The six steps of the assessment and portfolio review process are shown in and then described in detail below. An illustrative example of the use of the PVAT is also presented.

In Steps 1-5, assessments are completed for each initiative up to a total of five. Portfolio Review, Step 6, is the final step of the PVAT. In this step users review, as a portfolio, the assessment results of up to five individual initiatives. The Portfolio Review draws on the results of the activities carried out in Steps 1-5 of the PVAT for each of the initiatives in the portfolio.

Figure 2. PVAT Steps 1-6: Assessment and Portfolio Review



Using the PVAT

After all preparation work is complete, a team can start the Assessment and Portfolio Review work. This section describes the steps in more detail including an assessment and portfolio review example. Detailed instructions of each step are included in the Initiative One-Five Workbooks and the Portfolio Review Workbook (provided through the PVAT zip file found on the CTG website).

Step 1: Describe Your Initiative

Complete using the Initiative Workbook [Tab 1]

The first step in creating a portfolio-view of your open government efforts is to describe each initiative considered part of or related to your agency's open government priorities. Five categories of information make up the description; 1) initiative title, 2) initiative purpose and goals, 3) program/policy area of focus, 4) mechanisms used, and 5) initiative stakeholders.

The descriptive statements are entered in Step 1 of the workbook. Table 1 elaborates on each category and the intended use of the text provided. The information requested may already be in planning and other related documents, but some information, such as a full list of initiative stakeholders, might need to be created. Figure 4 provides an example of a description in process.

Table 1. Initiative Description Categories		
Category	Information provided	Intended use
Title	Title of the initiative.	The initiative title you enter here will be used throughout the subsequent steps in the PVAT.
Purpose	A set of statements that describes the intent of the initiative.	This information will be used by the team when making public value judgments.
Link to Strategic Goals	Indicate how the initiative is connected to the agency's strategic goals.	This information shows how each initiative connects to the agency's overall mission.
Program Policy Area	Indicate the program or policy area within the agency that this initiative is a part of. If there are multiple areas then list all.	This information will be used during Step 6, Portfolio Review, to consider the balance of the portfolio across program areas.
Tactics	<p>Tactics represents the tools or means utilized to achieve the objectives of the OG initiative. OG initiatives tend to use one or more of the following tactics or mechanisms:</p> <ul style="list-style-type: none"> • Online tools for discussion and participation • Voting and rating platforms • Online tools for collaboration • Interface and index to data sets • Resources such as documents, video, and websites • Human interventions (moderators, facilitators) • Performance and service tracking tools. 	<p>This information will be used to assist assessment teams in understanding the value being created by different kinds of tactics for different kinds of stakeholders. This information is useful in Step 6 where an agency may gain new insights about tactics by looking across initiatives and stakeholders to look for trends or anomalies in terms of mechanisms and the value they create for various stakeholder groups.</p>

Figure 3 – Workbook Example Step 1: Initiative Description

Step 1. DESCRIBE INITIATIVE	
Step 1 Overview Step 1 captures a description of your Open Government Initiative. The initiative title you enter here will be used throughout the subsequent steps in the Open Government Portfolio Analysis.	
Step 1 Instructions Enter a short initiative title in the first blue shaded area. Each of the sections in the description worksheet allows you to document respectively the overall purpose of this initiative, how this initiative supports your Agency's strategic goals, the program or policy area this initiative falls under, and the tactics to be used in this initiative. Tactics are ways to achieve the goals of the initiative, for example through a data clearinghouse, voting platform, or online idea solicitation.	
Initiative Title	Sustainable Business Clearinghouse
Initiative Purpose	<ul style="list-style-type: none">• Central portal for information on programs and resources that can assist businesses in enhancing their competitiveness and profitability in environmentally sustainable ways.••••
Supporting strategic goals	<ul style="list-style-type: none">• Promote US trade and Investment• Strengthening Industry Competitiveness•

Step 2. Identify and Prioritize Stakeholders

Complete using the Initiative Workbook [Tab 2]

The stakeholder perspective is the cornerstone of the PVAT. Step 2 starts the process of describing an open government initiative in terms of the value, if any, that accrues to each stakeholder as a result of that initiative. A complete list of initiative stakeholders is central to determining the overall public value of each initiative.

While the term *stakeholder* is commonly used by government professionals, it is often used to generate an overly generic result, for example, identifying “the public” or “businesses” as stakeholders. Thinking of the public, for example, as a stakeholder creates too large of a bucket to make meaningful distinctions about how value might be created for various segments of the public, such as, the elderly, truck drivers, parents, or business owners. Identify specific stakeholders, not vague groups. Include those both negatively and positively affected, as well as internal and external stakeholders.

A comprehensive list will increase the opportunity you have to make useful assessments about relative impact potential of each initiative. In some cases, you may have a stakeholder list already, if so, the list development step should focus on whether the stakeholders on the list are identified at a specific enough level to allow for public value assessments to be meaningful. A complete list of initiative stakeholders for each initiative may be lengthy. In those cases, stakeholders should be ranked according to criteria agreed upon by the team; with a short list of five primary stakeholders being the focus of the assessment.

The following list provides a starting point for identifying stakeholders. See Figure 5 for an example of Step 2.

- Program participants
- Contract service providers
- Vendors
- Program staff
- Program managers
- Field office managers
- Agency executives
- Local governments
- Interagency councils
- Federal or state agency partners
- Program advocates in government
- Good government groups
- Program advocates in civil society
- Media
- OMB Examiner
- Educational Institutions
- Elected Officials
- Staffers
- Appropriations
- Authorizers

Figure 4 - Workbook Example Step 2: Stakeholder List

Step 2. IDENTIFY AND PRIORITIZE STAKEHOLDERS

Step 2 Overview
 Step 2 is used to create a prioritized list of the stakeholders of the initiative. The stakeholders identified as A, or primary level stakeholders, are the focus of the remainder of the Portfolio Analysis.

Step 2 Instructions
 Enter a name for each stakeholder or stakeholder group on a separate row. The stakeholder name can be a single word or phrase. After entering a list of stakeholders, go to the column labeled "Priority" and label each stakeholder group by entering "A", "B", or "C". After all stakeholders have been given a priority, sort the list by clicking "Sort Stakeholders". Review the sorted list to make sure those involved in the portfolio analysis are satisfied with the priorities. To change a priority for any stakeholder, simply enter a letter (A, B, or C) and sort again. Unlabeled stakeholders will appear at the bottom of the list. After all stakeholders are sorted, please note that the stakeholders listed in the top 5 rows will be automatically populated in in steps 3-5.

Sustainable Business Clearinghouse

Stakeholders	Rank
Existing sustainable businesses	A
Pro-sustainability advocacy groups	A
Suppliers	A
Appropriation committee	B
Company owners and investors	B
State economic development agencies	B
Businesses interested in sustainability	B
Neighbors of businesses	B
Federal elected officials	B
Staffers	B
Authorizers	C

Step 3: Identify and Rate the Public Value

Complete using the Initiative Workbook [Tab 3]

Increasing openness in government is expected to create new public value for citizens directly, and for society more generally. Public value can be created through open government initiatives to the extent that those initiatives link government actions and business processes to stakeholder interests. Since the interests of stakeholders can vary greatly, assessing a portfolio of initiatives in terms of public value requires mapping stakeholder interests to the possible outcomes of each initiative and then looking across the portfolio with a specific set of questions in mind. Step 3, involves making judgments about the nature and extent of public value created for each stakeholder for each value type. Assessments are first captured and discussed as descriptive statements for each stakeholder for each public value type. This discussion can then inform a decision about an overall value assessment for each stakeholder for each public value type.

Seven value types are used to frame the assessment:

- **Economic.** Impacts on current or future income, asset values, liabilities, entitlements, and other aspects of wealth or risks to any of the above.
- **Social.** Impacts on family or community relationships, stability, social mobility, status, and identity.
- **Political.** Impacts on personal, group, or organizational influence on government actions or policy, role in political affairs, or influence in political parties or prospects for current or future public office.
- **Strategic.** Impacts on economic or political advantage or opportunities, goals, and resources for innovation or planning.
- **Quality of Life.** Impacts on individual and household health, security, satisfaction, and general well-being.
- **Ideological.** Impacts on beliefs, moral, or ethical commitments, alignment of government actions or policies or social outcomes with beliefs, moral, or ethical positions.
- **Stewardship.** Impacts on the public's view of government officials as faithful stewards or guardians of the value of the government itself in terms of public trust, integrity, and legitimacy.

Figure 5 - Workbook Example Step 3: Identify and Rate Public Value

Step 3. IDENTIFY AND RATE PUBLIC VALUE FOR EACH STAKEHOLDER							
Step 3 Overview							
Step 3 is the first in the iterative process of making judgments about 1) the type and level of Public Value (PV) this initiative is expected to create for each of the primary stakeholders, and 2) how this initiative compares with the others in the portfolio of open government initiatives. Please note: The five top priority stakeholders are preloaded in the Stakeholder column. All assessment results carry forward automatically to Step 5, Summarize Public Value Rating Across Stakeholders.							
Step 3 Instructions							
Enter a description of the value expected to be created for each stakeholder for each public value type, as appropriate. To see an explanation of each public value type, place your cursor over the public value (PV) category column labels. Once the statements are entered, add your assessment of the expected value to each stakeholder for that category. Your assessment is entered by selecting a value from strongly positive, through neutral (zero), to strongly negative on the "Value Assessment" scale at the bottom of each stakeholder block. Once you have completed these steps for all primary stakeholders, move to Step 4.							
Sustainable Business Clearinghouse							
Stakeholder	Economic Value	Social Value	Political Value	Strategic Value	Quality of Life Value	Ideological Value	Stewardship Value
<i>Existing sustainable businesses</i>	Reduced cost of implementing sustainability and of access to best practices information; increased market share due to	Enhanced reputation and social status due to reputation for sustainable operations	Contact with similar businesses provides opportunity to mobilize political action.	Better positioned for long-term profitability with more sustainable methods & products	Improved life style through more sustainable and profitable business	Satisfaction with support for government commitment to a sustainable economy	Enhanced opinion of government stewardship of the environment by supporting sustainability
Value Assessment	- 0 + ○ ○ ○ ● ○	- 0 + ○ ○ ○ ● ○	- 0 + ○ ○ ○ ● ○	- 0 + ○ ○ ○ ● ○	- 0 + ○ ○ ○ ● ○	- 0 + ○ ○ ○ ● ○	- 0 + ○ ○ ○ ● ○
<i>Pro-sustainability advocacy groups</i>	Reduced cost for identifying pro-sustainability business & practices; increased revenue from access to larger	Expanded relationships with like-minded businesses; improved status for sustainability advocacy	Access to greater pool of potential allies for mobilizing political action and advocacy campaigns	Possible access to new knowledge about sustainability technologies and emerging issues		Satisfaction with support for government commitment to a sustainable economy	Enhanced opinion of government stewardship of the environment by supporting sustainability
Value Assessment	- 0 + ○ ○ ○ ● ○	- 0 + ○ ○ ○ ● ○	- 0 + ○ ○ ○ ● ○	- 0 + ○ ○ ○ ● ○	- 0 + ○ ○ ○ ● ○	- 0 + ○ ○ ○ ● ○	- 0 + ○ ○ ○ ● ○
<i>Suppliers</i>	Increased volume and profit. Increased ROI	Enhanced reputation and social status due to reputation for sustainable operations	Access to greater pool of potential allies for mobilizing political action and advocacy campaigns	Increased knowledge of market and opportunities for innovation		Satisfaction with participation in a sustainable economy	Enhanced opinion of government stewardship of the environment by supporting sustainability
Value Assessment	- 0 + ○ ○ ○ ● ○	- 0 + ○ ○ ○ ● ○	- 0 + ○ ○ ○ ● ○	- 0 + ○ ○ ○ ● ○	- 0 + ○ ○ ○ ● ○	- 0 + ○ ○ ○ ● ○	- 0 + ○ ○ ○ ● ○

Step 4: Identify Mechanisms of Change

Complete using the Initiative Workbook [Tab 4]

Preparing an agency open government portfolio for review involves identifying the expected impact of the initiative on the interests of the selected stakeholder groups. Statements, expressing the expected impact of the initiative on the six stakeholder interests, form the basis for identifying public value statements for each stakeholder.

Stakeholder interests can be classified as follows:

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

Each of these categories represents an inherent interest of those with a stake in the actions of government. The tool is based on the assumption that a positive impact on a government's or an individual's efficiency in a particular task is in the interest of all affected parties. For example, the Department of Commerce designed a website aimed at providing easy access to information about sustainable businesses. For example, by providing easier access to previously hard-to-access information, the initiative had a positive impact in terms of greater efficiency for businesses as they look for information on sustainability best practices. It is important, however, to remember that the impact from government initiatives can also be negative for some stakeholders. See Figure 6 for examples of the kinds of statements that can be used to describe public value impact mechanisms.

Figure 6 - Workbook Example Step 4: Identify Mechanisms of Change

Step 4. IDENTIFY MECHANISMS OF CHANGE						
<p>Step 4 Overview Step 4 captures specific descriptions of how this open government initiative will generate value for stakeholders through impacts on efficiency and effectiveness, creating intrinsic enhancement, and enhancing transparency, participation, and collaboration. Please note: Completing Steps 3 and 4 can be carried out through an iterative process of making and refining assessments and specifying the nature of the value being created in terms of stakeholder interests.</p> <p>Step 4 Instructions For each stakeholder and each change mechanism describe how the expected public value will be produced. The statements should characterize the nature of the changes expected as a result of this open government initiative. To see a description of each of the six change mechanisms place your cursor over the column label.</p>						
Sustainable Business Clearinghouse						
Stakeholder	Change in Efficiency	Change in Effectiveness	Change in Intrinsic Enhancement	Change in Transparency	Change in Participation	Change in Collaboration
<i>Existing sustainable businesses</i>	Increased and easier access to information and resources about sustainability	Ability to improve sustainability of its operations			New opportunity to provide input into national clearinghouse	
<i>Pro-sustainability advocacy groups</i>	Increased and easier access to information and resources about sustainability	Increased ability to publicize information on sustainable business	Increased confidence in stewardship of government	Increased access to information about possible supporters of advocacy	New opportunity to provide input into national clearinghouse	Access to potential partners in advocacy activities
<i>Suppliers</i>	Easier access to potential customers & needs	Increased business due to better knowledge of market & demand	Increased confidence in stewardship of government		New opportunity to provide input into national clearinghouse	

Step 5: Summarize Public Value Ratings Across Stakeholders

Complete using the Initiative Workbook [Tab 5]

Step 5 captures summary PV assessments across all primary stakeholders. As the summary assessments are entered for each PV category for this initiative, they also appear in the Public Value Portfolio Review Workbook.

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

If additional initiatives are to be assessed and added to this Portfolio View Workbook, then repeat Steps 1 thru 5 for each of these initiatives, up to a total of five, before proceeding to Step 6, Portfolio View of Public Value Ratings.

Figure 7 - Workbook Example Step 5: Public Value Summary

Step 5. SUMMARIZE PUBLIC VALUE RATINGS ACROSS STAKEHOLDERS

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

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

Sustainable Business Clearinghouse

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

Figure 8 - Example Portfolio View of Public Value Summary Table

Step 6: Portfolio Review of Public Value Ratings																					
Step 6 - Overview																					
Step 6 combines the summary public value assessments you entered in Step 5 for each initiative into a portfolio view. Those assessments were automatically copied to this sheet so you can review and discuss the public value results for the portfolio as a whole. The same public value assessments are shown in chart form in the tab labeled "PV Portfolio -Graphical View." The instructions below describe how to revise any of the summary assessments before completing the overall portfolio review.																					
Step 6 - Instructions																					
Use the results shown in this view and in the "PV Portfolio - Graphical View" (next tab) to discuss and, where needed, make decisions about individual initiatives and the portfolio as a whole. The summary public value assessments for each initiative shown in this view can be changed if needed. To enter a new summary assessment click on the name of the initiative you want to change. That will take you to the Step 5 in the appropriate Initiative Workbook. Enter new summary public value assessments for each initiative requiring changes. The new summary assessments from Step 5 will automatically be transferred to the Portfolio Review Workbook, which contains both the ratings and chart. Continue to review and, where necessary, revise the assessments as appropriate.																					
SUMMARY PUBLIC VALUES																					
INITIATIVES	Economic Value			Social Value			Political Value			Strategic Value			Quality of Life Value			Ideological Value			Stewardship Value		
	-	0	+	-	0	+	-	0	+	-	0	+	-	0	+	-	0	+	-	0	+
Sustainable Business Clearinghouse		+			+			+			+			+			+			+	
Virtual Commerce Connect		+			+			+			+			+			+			+	

© 2011, The Research Foundation of State University of New York
 Made available by license

Step 6: Review Open Government Portfolio

Complete using the *Portfolio Review Workbook*.

Step 6 combines the summary public value assessments entered in Step 5 for each initiative into a portfolio view. An example of the assessment values are shown in table form in **Figure 8** and again in graphical form in Figure 10.

It is in this step that the information generated from Steps 1-5 can be reviewed in terms of the central question:

“Does our open government portfolio, taken as a whole, optimize our resources and capabilities while meeting our mission and delivering maximum public value to all stakeholders?”

The Portfolio Review Workbook supports decisions about the mix of initiatives in a portfolio and how to adjust the mix of open government initiatives to enhance public value. There are several ways to look at the information in this review process. Using the questions listed below to form summary judgments about the portfolio from that point of view, the team can start to understand the overall public value of their open government initiatives and use this to inform their decision making.

Portfolio Review Questions:

By stakeholder group.

- Who is impacted by these initiatives?
- Are some stakeholders getting more value than others?
- Are there stakeholders not getting any value?
- Are we serving all the stakeholders we intended to serve?
- Are we serving our most important constituencies?
- Are we serving the right combination or mix of stakeholders?

By stakeholder Interests.

- Does our portfolio address all types of impacts?
- Is there one stakeholder interest represented more than the others?

By public value type.

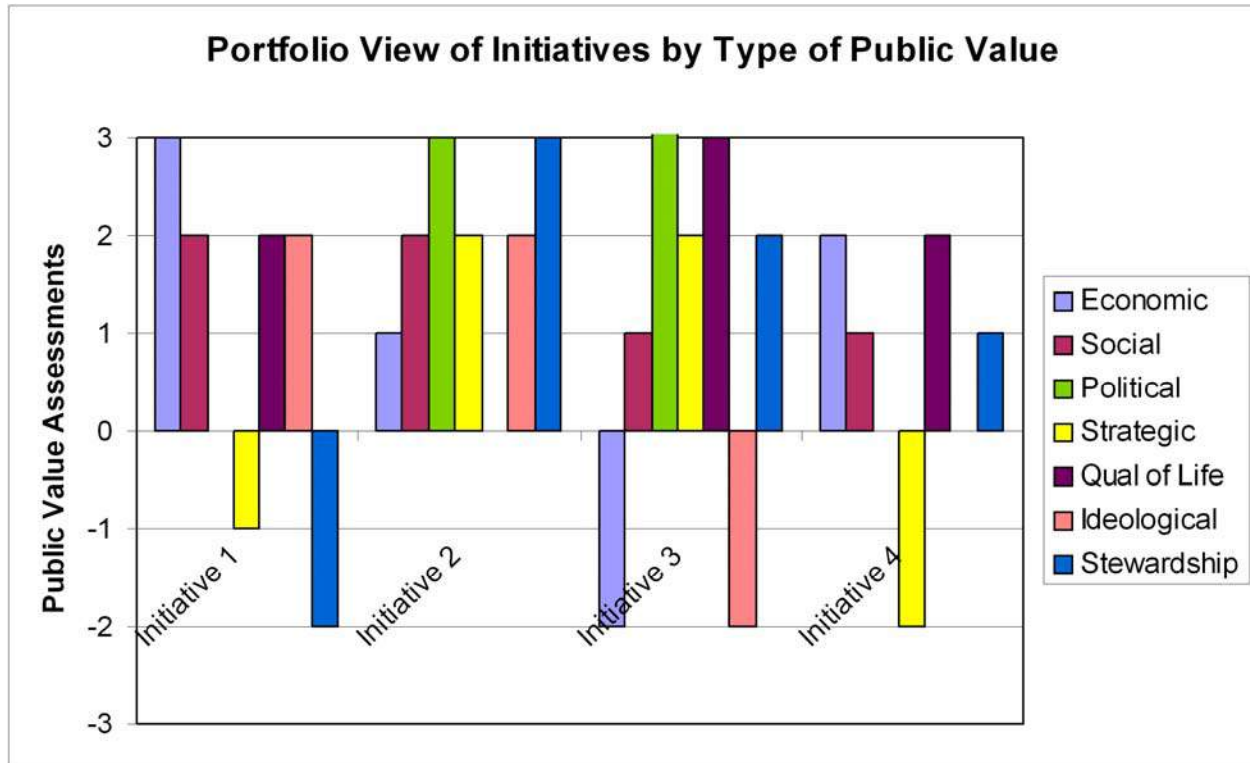
- Does our portfolio address all of the public value types desired?
- Are we satisfied with the level of value being provided?
- Are we satisfied with the balance of value in the portfolio?
- Are all public value types represented?

By agency mission, goals, and capabilities.

- Does the review by stakeholder or value show the portfolio as meeting our agency's strategic interests and mission?
- Are we over reliant on one or a small number of mechanisms?
- Are we maximizing our current capabilities in terms of the range of mechanisms being employed in our portfolio?
- Is the value created aligned with our agency's mission?
- Does this set of initiatives achieve the balance of attention to different stakeholders and interests we care about?
- Is there a balance in types and number of initiatives within programs across the agency?

- Do the types of open government projects in our portfolio provide the balance of the *Open Government Directive* categories (transparency, participation, collaboration) we envisioned or planned for?

Figure 9 - Example Portfolio View of Public Value, Chart Form



Additional Methods of Review:

As designed, the assessment and portfolio review yields information in text, scaled ratings, and graphical forms, however, there are additional ways this information can be analyzed as part of the review process. Three approaches, in particular, can provide alternative views of the data in support of the portfolio review process; 1) Inspection, 2) Scales and Numerical Analysis, and 3) Multi-attribute Scaling and Analysis.

These presentation perspectives are all based on an assumption that the review of the portfolio is a group process involving a range of staff responsible for decision making and implementation of the open government projects as well as executives responsible for the overall open government plan and portfolio. The methods are described below.

1. *Inspection.* Visual inspection and interpretation of complex information can often be the most efficient way to form judgments and conclusions. This can be particularly true for group processes in which all participants can see the same displays and engage in discussion that advances understanding and builds consensus. The methods and results of the assessment employed in this tool are designed to produce displays that facilitate interpretation by inspection. The page-size displays of the PVAT and other assessment results can be copied and distributed to participants for inspection and mark up. The displays can be enlarged and posted for facilitated discussion or projected in original or marked up form for further discussion.

2. *Scales and Quantitative Analysis.* The dimensions on which the PVAT and earlier analyses are based can, if desired, be treated as number scales. For example, the none position on the scale can be considered as zero and a value assigned to the high and low ends of the dimension, such as +5 and -5 to create a 10 point scale. If the participants in the review believe it justified, such scales can be used to summarize results by aggregating ratings into averages or other summary calculations, plotting graphs, or related quantitative methods. These methods can be helpful, but can also be misleading. Their validity depends in large part on the assumptions about the nature of the scale, co-measurability across scales, and the underlying distribution of values. Judgments about these issues will depend on the particular programs and variables in each assessment, so no general recommendation is possible about quantitative summaries.
3. *Multi-attribute Scaling and Analysis.* Since the PVAT involves many interests and value types representing various attributes of the initiatives, some form of multi-attribute scaling and analysis may be appropriate. This section describes the multi-attribute utility (MAU) model as one example that is relatively easy to use. Multi-attribute utility (MAU) models are mathematical tools for evaluating and comparing alternatives to assist in choosing among them. They are designed to answer the question, "Given the factors we care about, what's the best choice?" MAU models are based on the assumption that the desirability of a particular alternative depends on how well its attributes measure up against key evaluation factors. For example, if you are shopping for a new car, you will prefer one over another based on how well each one scores on the factors you think are important, such as price, reliability, safety ratings, fuel economy, and style. These models can be applied in all kinds of decision situations and are often used in the technical and programmatic parts of procurement evaluations.

APPENDIX A: PVAT DEVELOPMENT TEAM

Center for Technology in Government, University at Albany:

- Theresa Pardo
- Meghan Cook
- Anthony Cresswell
- Natalie Helbig
- Teresa Harrison
- Brian Burke
- Jana Hrdinova
- Sharon Dawes
- Derek Werthmuller
- James Costello

United States General Services Administration:

- Lisa Nelson
- Sheila Campbell

United States Department of Transportation:

- H. Giovanni Carnaroli
- Jennifer Gustectic
- Dan Morgan

For all inquiries about the PVAT contact:

Meghan E. Cook

Program Manager

Center for Technology in Government

University at Albany, State University of New York

187 Wolf Road, Suite 301

Albany NY 12205

518-442-3892

mcook@ctg.albany.edu