PART A: OPEN DATA READINESS ASSESSMENT USERS' GUIDE

This document contains version 3.1 of the "Open Data Readiness Assessment" (ODRA) methodology prepared by the World Bank's Open Government Data Working Group. This version incorporates feedback received and practical experience gained in applying earlier versions up to the end of December 2013, as well as additional User's Guide for the ODRA Methodology. This is Part A of the methodology and includes the Users' Guide.

The purpose of this methodological tool is to assist in planning what actions a government authority could consider in order to establish an Open Data program, at either the national level or in a sub-national government, or individual public agency, based on a rapid diagnostic of eight dimensions considered essential for the success of an Open Data program.

The ODRA tool is part of the "Open Data Toolkit" published at data.worldbank.org/ogd and made freely available for others to adapt and use. Users can access the ODRA tool and its unofficial translations in French and Russian online at the following link http://data.worldbank.org/about/open-government-data-toolkit/readiness-assessment-tool. A recorded training session on the methodology can be accessed at the same link.

The World Bank will continue to define and refine this Open Data Readiness Assessment tool, and it invites comments on this version by email to opengovdata@worldbank.org.

Assessments conducted using this version should explicit state that they are using "Version 3.1".

Contents

Glossary

Archiving	The storing of records, documents, or other materials of historical interest (or a collection of them) in a defined place or repository.
Data Management	The development, execution and supervision of plans, policies, programs and practices that control, protect, deliver and enhance the value of data and information assets.
Infomediary	A person or entity that helps make data/information more easily understandable to a broader audience such as the general public. For example, the media are important infomediaries for sharing information with the public in a more understandable way.
Metadata	Metadata is "data about data" – meaning data that describes basic aspects of a dataset, for example when the dataset was created, which agency is responsible for the dataset, the format of the data, etc.
Open Data	Data in machine-readable format that is publicly available under an “open” license that ensures it can be freely used/reused/redistributed by anyone for any legal purpose.
Open Data Ecosystem	An approach to Open Data that focuses not only on data but on the larger environment for Open Data use—its “ecosystem”—including other key dimensions like leadership, policy/legal framework, institutions, infrastructure and the state of user communities (like developers, universities, private sector).
Open Data Portal	A platform (usually accessed as a website) that at a minimum acts as a catalogue providing a single point of access for the public to search and access Open Data available from a government, agency or organization.
Open Data Program	A set of actions designed to introduce and manage Open Data by a government, agency, organization or company. The Assessment focuses on Open Data Programs developed by governments or individual public sector agencies.
Open Government	A philosophy or principles for government that focus on changing how government works to make it more transparent, accountable, participatory (with greater citizen engagement) and collaborative.
Open Government Partnership	A global partnership of governments dedicated to implementing domestic reforms that make government more open, accountable, and responsive to citizens. Launched in 2011, the OGP now has over 60 member countries.
Open Standards	Technical standards that are publicly available, non-proprietary and can be implemented on a royalty-free basis. Often open standards are also developed in an “open” transparent process that enables a larger group of people to contribute to their development.
Sponsor	Government official requesting the Assessment. Usually leads the Government’s counterpart team.

PART A: USER'S GUIDE FOR THE ODRA METHODOLOGY

Introduction

1. This tool has been developed by the World Bank to help prioritize actions in an Open Data Program. It is one of a number of resources in the World Bank Open Data Toolkit available at data.worldbank.org/ogd and made freely available for others to adapt and use.

2. This is the third version of the Readiness Assessment Framework. The World Bank is grateful for the comments and suggestions made on previous versions and for the feedback from users of the previous versions, most of which have been reflected in this version.

Caveat

This is a diagnostic and planning tool, it is not a measurement tool. This tool is intended to provide diagnostics and recommendations for action based on existing good practice elsewhere, but it is not a prescription for Open Data, nor is it a formal evaluation exercise. The output of any diagnostic, even following the guidance in this tool, needs to be carefully and critically considered in the context of the particular circumstances in which it has been made.

Using the tool will not guarantee a successful and sustainable Open Data program on its own; implementation is crucial to ensure success. The purpose of the tool is to provide a plan for action for an Open Data program, as well as initiating a robust and consultative dialogue among relevant stakeholders. In that sense, use of this tool is the beginning of a process and not the end or result of a process. This tool is a 'living' document and will be subject to continuous updating and revision based on experience from actual practice. In addition, other means of assessing readiness for Open Data are available, and this tool is not necessarily the only, or always the most appropriate, in all particular circumstances.

This caveat should be copied in country reports resulting from the application of the ODRA methodology. It is recommended to put it on the inside of the title page.

Purpose and Approach of this tool

3. The Framework for this tool has been designed in the first instance to assist the World Bank and its clients to identify and prioritize actions in an Open Data Program and to identify where intervention can be most effectively applied. It has been specifically designed to allow a rapid assessment meeting these requirements. It is hoped, however, that it will serve as a useful tool for others to use, or to inspire the development of more targeted assessments or processes that closely link to local needs. Other users may also wish to invest greater time to conduct a fuller assessment, and it is hoped that the tool will be a useful framework on which to build.

4. The Readiness Assessment Framework has been designed to support an economical and action-orientated assessment of the readiness of a national, regional or municipal government - or even an individual agency or an individual sector - to evaluate, design and implement an Open Data Program. For brevity, the language and the guidance is sometimes in terms of national governments and institutional arrangements, but an Assessment Team should be able to adapt it easily to other organizational circumstances as necessary.

5. For the World Bank, an Open Data Program is not simply the design and launch of an Open Data Portal. Instead, a Program should aim to drive the development of a dynamic Open Data Ecosystem rich in both the supply and reuse of Open Data that fuels innovations by many types of stakeholders. Experience among leading governments has demonstrated that Open Data Programs are more sustainable and high-impact when Open Data efforts use an "ecosystem" approach – meaning governments invest not only in supplying data but also address the policy/legal framework, institutional readiness, capacity building (for government and infomediaries), citizen engagement, innovation financing and technology infrastructure. Governments need to play a multi-dimensional role in an Open Data Ecosystem and create new types of partnerships with a wide range of stakeholders.

6. Therefore the Assessment is designed to address both the supply and demand side of Open Data. However, it may be advisable for a government to use this tool alongside other tools that focus more deeply on specific areas of interest (*e.g.*, civil society demand for Open Data or technical capacity of the public sector).

7. While the questions listed in this tool could be used in other contexts (for instance, as part of an assessment of relative performance in Open Data or adapted for use in an Open Government assessment) they are focused on the eight most important dimensions which have been found to need consideration and action at the earliest stages of a typical Open Data program: (1) senior leadership, (2) policy/legal framework, (3) institutional structures, responsibilities and capabilities within government, (4) government data management policies and procedures, (5) demand for Open Data, (6) civic engagement and capabilities for Open Data, (7) funding an Open Data program, and (8) national technology and skills infrastructure.

8. The ordering of the different dimensions is not significant; it does not indicate their relative importance. Both the importance and the amount of attention to be given to each dimension will need to be determined according to the objectives of a specific Assessment. In addition, the eight dimensions are not designed to cover all the possible elements for a successful open data program. Other issues could be important in particular local circumstances or at later stages in an Open Data program.

9. It is helpful for users of this tool to understand that Open Data and Open Government are related, but <u>not</u> the same thing. Open Data and its ecosystem can be a key component of a larger Open Government Program. By enabling the public release and free reuse of government data in machine-readable formats, Open Data can help make participation,

collaboration and transparency—which are all key aspects of Open Government—more effective. For this reason, certain questions in this tool ask about the broader area of Open Government. However Open Data and its ecosystem can also have other objectives including economic growth and business innovation.

10. In addition, nothing in this tool should be interpreted to contradict, substitute or take precedence over the need to protect private, personal data. In general, data must be anonymized before it can be released as Open Data. However many governments make exceptions in the public interest (e.g., salaries of individual public officials, criminal convictions). The Government must take appropriate steps—which may include a combination of laws, policies, processes and other safeguards—to ensure that personal data identifying individuals is not released as part of its Open Data Program.

11. Similarly, nothing in this tool takes away from the value of and need for an effective freedom of information regime for citizens to use. On the contrary, Open Data is entirely consistent and contributes to free access to public information, but it does not exhaust it.

Timetable

12. For the World Bank and its clients, the Readiness Assessment is intended to be performed rapidly and economically, normally within three to four weeks of actual work, depending on the country, following the timeline below.

Work-Week	Activity
1	Desk study of documentation and follow-up requests for information
1	Agree schedule of interviews for fieldwork week. Client team member makes appointments and issues briefing/background information to interviewees
2-3	Fieldwork week Day 1, am: team meeting; interview with sponsor; may also include a briefing for interviewees as a group. Last day, pm: initial debrief of emerging findings to sponsor
3-4	Drafting of assessment report

13. The above timetable is net time of actual work-weeks. It does not include time for agreement to initiate the work, find the financial and human resources, and provide information all the information necessary to make the assessment. Nor does it include time employed by the authorities in revising drafts. These time periods are highly variable and depend on country circumstances and commitment. A sample timetable in calendar weeks would be approximately as follows.

Calendar - Week	Milestone	Actions
-4 to -1	Scoping	Discuss with client, with World Bank Country Office and other

Calendar - Week	Milestone	Actions
		stakeholders the objectives of the Readiness Assessment and the means by which it is to be conducted
0	Team mobilization	Identify people and skills required for the Assessment Team including client team
1	Fieldwork Preparation	Team agree on target list of interviewees mapped to each dimension of the Assessment and requests for evidence and information to be issued to each, and client team member issues requests
2-3	Fieldwork Preparation	Bank team: Collation and checking of information received. Desk study and follow-up requests for information. Agree schedule of interviews for fieldwork week. Client team: Makes appointments and issues briefing/background information to interviewees. Client confirms that appointments have been made. Client confirms that client team is appointed and available for the fieldwork phase. Client team member provides logistics pack for consultants.
4-5	Fieldwork	Fieldwork week Day 1, am: team meeting; interview with sponsor; may include a “kickoff” briefing for interviewees as a group Day 5, pm: initial debrief of emerging findings to sponsor
5-6	Follow-up	Client team member makes follow-up requests for information, chases information promised during interview
6-7	Preparation of Report	Drafting of assessment report
8	Review of Report	Review of draft assessment report by WB and client sponsor
8, day 5	Delivery of Assessment	Finalization of Readiness Assessment Report
9	Delivery of Assessment	Presentation of Report and Workshop on Next Steps

14. Clients may adjust the timetable to align with their specific needs and objectives. However, in all cases, it is recommended that the assessment is conducted on a clearly defined schedule: experience shows that this helps focus attention on key strategic issues and to working with key stakeholders. Where additional, prolonged, study of specific issues is required then this may more conveniently be turned into a specific, scoped, follow-up action recommended by the Assessment - this would also allow additional or other expertise to be involved.

Scoping

15. The Open Data Readiness Assessment tool can be used in a variety of situations. For instance it may be used in the earliest stages of building capability; to help develop a more comprehensive Open Data Program once initial moves have already been made; or

to take stock of development to date against best practices and identify actions for the future. Similarly, it can be used at the level of a national government, a regional or municipal government, a single institution or a single sector - although some of the questions would need to be adapted to the particular circumstances, and the scope for action may be constrained by sector-specific legal and other provisions.

16. More generally, the Open Data Readiness Assessment tool is designed to lead to <u>action</u>. In order for an Assessment to be worthwhile there must be a reasonable prospect of being able to take forward recommended actions.

17. Therefore it is essential that clear and practical objectives for the Assessment are agreed in advance with its government sponsor or sponsors - and that a specific senior sponsor is identified. The objectives should include the specific goals for which the sponsor needs the Assessment. The sponsor should be clear about how the Assessment relates to its interest in a specific, defined, outcome. The assessment project manager, and in due course the assessment team, should be equally clear on the focus of the assessment and should develop a plan for adjusting and applying the Open Data Readiness Assessment tool in the way which is relevant to that particular outcome target.

18. In turn these objectives should help identify potential key issues which could be identified during the Assessment, and to ensure that the necessary skills and experience are represented in the Assessment team.

19. The scoping phase should also identify and clearly state the audience for the Assessment report and its recommendations. It is very important to know before the Assessment is commissioned who the report will go to and for what purpose. The analysis and recommendations can then be directed towards the specific audience with the specific readiness to take specific actions towards the specific objectives.

20. It will also be important in this phase to identify all the major relevant stakeholders and how they should be involved in the Assessment.

21. For World Bank-executed Assessments, the Task Team Leader should brief the relevant Country Director during this period, not only on the intended project but also on relevant wider Open Data issues and the World Bank's Open Data programs.

Engagement Confirmation

22. It is best practice if the expected outputs of the scoping phase - both in terms of objectives and in terms of modalities - are recorded in a formal memorandum agreed between the sponsor and the project manager conducting the ODRA. In the case of World Bank-executed Assessments, it is highly desirable that World Bank Country Manager or Country Director approve this memorandum. This allows the client government and the World Bank or other ODRA project manager to be absolutely clear about how the Assessment will be conducted and its expected outputs before work begins. This is critical in order to set and manage expectations, and keep everyone focused on what the

Assessment seeks to achieve.

23. The memorandum should include:

* Clear identification of the Sponsor and confirmation of their agreement to the Assessment
* Specific objectives and outcomes to which it is intended the Assessment will contribute
* Specific objectives and issues for the Assessment itself
* Audience for the report and subsequent handling (including whether the report will be made publicly accessible)
* Major relevant stakeholders and how they will be engaged
* Assessment team structure, including specific people and skills to be provided by the client in the client team
* Responsibilities
* Timetable for the Assessment and the presentation of results
* Level of detail to be provided in Action Plan
* Financial, logistical and other practical aspects
* Communications and press handling, including the clearance of press releases and statements

24. For World Bank-executed Assessments, the Task Team Leader should use the agreed memorandum as the basis of a communication within the World Bank about the planned Assessment. It should also be attached to the Statement of Mission Objectives.

Expert and Client Counterpart Team

25. The ODRA methodology is best suited to be applied by a joint team including a team of Open Data experts and a counterpart team of the government agency requesting the Assessment. These are usually known as the "client team", although the client team and the external assessors should work as a single, integrated, team. The role of the client team is to facilitate the Assessment, help the team as a whole understand the structure and culture of the government and to contribute local government expertise.

26. Before the readiness assessment starts, the government client should designate a counterpart or client team including the following:

Client team leader. This person should have sufficient seniority and experience to work across the government as a whole, opening doors and dealing with sensitivities. He/she needs to have sufficient influence to facilitate the release of data from several ministries and the passage of Executive-level policies. An authority form a cross cutting Government agency, such as the office of the President or the Prime Minister, or the Ministry of Planning or Finance works best. The client team leader would also deal with local communications issues. For continuity it is highly desirable that the client team leader is available to lead on the early stages of the implementation of the Open Data

Program - because involvement in the Assessment will have given them a good understanding of the origins of the recommended action and of Open Data more widely. The leader would also be responsible for reviewing the final ODRA draft and provide comments.

Locally qualified lawyer. A lot of key issues for the Open Data Assessment involve questions of information law and information policy - not just on Open Data itself but also of relevant enabling legal and regulatory framework, including, *e.g.*, laws and regulations on access to information, privacy, right to and freedom of information, copyright, statistics /data gathering/data anonymization, interoperability frameworks and related legal matters.[1] It is also important for the Assessment to understand what legal instruments or forms would be required for an Open Data Program. It is thus highly desirable that a suitably qualified and experienced local lawyer familiar with these issues be part of the client team. In some instances, this can be a government lawyer. The local lawyer would be expected to provide comments to the draft ODRA report from a local law perspective.

A Government ICT expert. This role will help the team understand the ICT standards, architecture, processes and systems of the government and its individual agencies. The client team leader, if suitably qualified, could perform this role.

Logistics officer. The evidence collection and fieldwork phases are highly intensive, and it is important to have someone available locally to manage the agenda, arrange appointments, make and follow-up requests for additional information and make the logistical arrangements for the team as a whole.

Communications officer (optional, if the Assessment is to be publicly known). This role, which may be part-time by a government press officer, will coordinate publicity and media aspects of the Assessment, including briefing journalists, interviews and public events. They will also prepare the local 'narrative' for the Assessment and obtain suitable lines-to-take on issues likely to be of press interest.

27. The Client Team Leader should have the assessment as her or his prime responsibility for this period and should be available full-time at critical points. The availability of other members of the Client Team should be governed by the requirement for their assistance, but should be substantial and constructive. Client Team members should not assigned merely to represent their agency; the requirement is for people who can contribute substantively as members of a team.

28. Additional roles to be considered on the client team would include a representative of the National Statistics Office, a data management expert, a data archiving/digital preservation expert or a geospatial data expert, or similar local experts who are knowledgeable of the country's statistical products of the National Statistical System (the country's National Statistical Offices and other government agencies producing official statistics or holding data for such purpose).

[1] If this information is not made available then it is likely that the Assessment will need to be qualified and that one of the early actions would be to seek such legal advice.

29. It is imperative that the expert team includes some people who have direct experience with Open Data programs. The team should be able to show that it has practice experience of actually making Open Data available to the public, working with a wider Open Data Ecosystem, addressing policy/political issues and addressing technical issues related to Open Data. The Assessment methodology presupposes that some people in the team have these categories of knowledge: it is not designed to be used effectively without this background knowledge and experience. The usual model for a World Bank-managed Assessment is for the Assessment team to be led by a senior World Bank staff member or external consultant with this experience. He or she may be supported by local or regional staff members or consultants - who will themselves gain knowledge and experience from working on the Assessment; for instance a statistician or a data analyst from the local World Bank Country Office could be a valuable addition to the team.

Appointment letters

Team briefing

30. It is important that all members of the Assessment team have a shared understanding of the objectives and process of the Assessment. They should also broadly understand the wider principles of Open Data. The Assessment team leader should ensure that all members of the team receive background information (including this document and the memorandum of agreement with the sponsor) at an early stage. It has also proved valuable for the whole team to have weekly meetings (if necessary by video or audio conference) during the preparation period. This helps ensure that preparatory actions are on schedule and that the collective knowledge of the team can be used to identify additional issues to be addressed or interviewees to be approached. It also gives an opportunity for the Assessment team leader to give further briefing to the team members and to ensure that commitments on the team members' availability are being met.

31. For World Bank-executed Assessments the Task Team Leader should consider asking relevant global, regional or national experts within the World Bank to supply additional briefing to the Assessment team; this may include people associated with other relevant projects within the World Bank portfolio that generate or consume data. Relevant examples from past Assessments include projects in Public Financial Management, Disaster Management, Geospatial Data, Company Registration, Health and Education. The Task Team Leader and the World Bank Country Office should also check whether there are any other relevant studies or projects underway by third parties, such as other international organisations, and liaise with them as needed.

Fieldwork Preparation

32. The World Bank team will provide the client with an initial list of information requests. This enables the client to provide the Assessment team with as much information as possible in advance of the fieldwork itself. Receiving such information in advance is very important. It enables the fieldwork to be better focused and the interviews to be used to discuss what needs to be done and how it could be best achieved rather than merely

collecting basic information. Since the preparation period is only 4 weeks it is important for the client to manage the information collection process closely, and escalate apparent obstacles to the sponsor quickly if necessary. An example list of information requests is in "Annex A: Example Preliminary Information Request."

33. Information should also be sought on the factual questions on each of the identified key datasets.

Interviewees

34. An early priority in preparing for the Fieldwork is to identify who the team will need to interview and from whom the team will need to seek written information. An example list of interviewees is in "Annex B: Example list of meetings/interviews to be conducted." Experience shows however that identifying the correct person at the correct level of authority for interview may require some investigation by the client team and discussion with the external members of the team: some of the roles may be located within different agencies; sometimes the role is largely a dormant one until some of the issues around Open Data need to be addressed; and on occasions the relevant agency have nominated a person concerned with day-to-day data entry rather than a manager with the necessary knowledge and authority to discuss how the data could be used.

35. For World Bank-executed Assessments, the Task Team Leader should also consult with the Country Office to identify agencies to be contacted for interview; often the Country Office have existing relationships with key agencies which can be used to identify the right interviewees there.

36. The Assessment team should be selective in deciding whom to interview. The duration of the fieldwork is always limited. It is important to ensure that the team meets all the key agencies that determine relevant policies for the whole of government. The team should also try to see many of the agencies that hold the most important datasets. However, it is not necessary to see all the agencies individually, and it would be time-consuming to try and do so. For some Assessments the sponsor and the Assessment team agreed to hold an introductory briefing on Open Data and the objectives of the Assessment open to all relevant agencies, and to invite agencies who were not due to be interviewed to approach the team directly if they considered that they had useful points to add.

37. Once the list of interviewees is complete each interviewee should be sent a personal letter explaining the objectives of the Assessment, the purpose in seeking an interview with them, and the format and status of the interview. It is usually helpful to include some background information about Open Data, an indication of the areas of interest and the questions to be asked and a set of common Questions and Answers. It may be useful to share a copy of this Assessment document or to extract questions relevant to the interviewee from it. It is important to stress that the Assessment is <u>not</u> about the performance of individuals and that the Assessment report will not attribute privately-expressed views to individuals without their express permission. The letter may be sent by or on behalf of the sponsor, or with the sponsor's agreement by or on behalf the

Assessment team leader. A sample letter is in “Annex C: Example Introductory Letter to Interviewees.”

38. The sponsor and the Assessment team should also consider adapting the letter and sending it to any other relevant stakeholders, with an invitation for them to send comments or suggestions to the team.

Fieldwork Confirmation

39. It is essential that the necessary preparatory work is done before the Fieldwork starts. Experience shows that identifying client members of the Assessment team, collecting the preliminary information, identifying interviewees and arranging a program of appointments are challenging tasks. This work needs to be tightly managed if it is to be ready within 4 weeks. Before a commitment is made to the fieldwork phase the following minimum requirements should be in place:

- Assessment team has received most of the requested documents and other preliminary information.
- Client members of the team have been identified, their availability has been confirmed and they have taken part in at least some of the preparatory meetings.
- List of people to be interviewed has been agreed and appointments have been made with most of them.
- Agenda for the Fieldwork phase has been agreed, including kick-off meetings, interviews, wash-up meetings and other events.
- Logistical arrangements have been made, including a place for the team to work and local transport arrangements.
- At least one preparatory and briefing meeting for the whole team (by audio or video as necessary) has been conducted.

40. If it has been agreed that the Assessment activity should be made public then once it has been decided to proceed with the fieldwork a press release should be issued as agreed in the memorandum.

Using the Assessment Framework

<u>Questions</u>

41. The Assessment Framework is arranged as eight dimensions, and within them a small number of “primary questions”. It is those dimensions and primary questions which form the basis of the assessment and which will help frame the recommendations. For each primary question a number of subsidiary questions are suggested to probe specific aspects of the question, to gather additional detail or to draw attention to a topic of interest to the Assessment which has not yet been raised by the interviewee. It is not necessary to ask all the subsidiary questions of all interviewees.

Evidence

42. The Assessment framework suggests some hard evidence - existing documents or facts - which are relevant to the dimension, though these are intended to be illustrative and not exhaustive. Users of this tool should seek to collect and study these documents or facts, if they exist, in advance of the field interviews.

43. Individual items of evidence are marked "+" for evidence of a higher level of readiness and "-" for evidence of a lower level of readiness. The absence of particular evidence is not necessarily evidence the other way, but reasons for its absence is certainly something to test in relevant interviews. Also, the evidence referenced in each section is not exhaustive. Conducting the assessment may reveal other evidence which has bearing on the level of readiness for a particular dimension.

Assessment

44. The Team should make a qualitative assessment of the degree of readiness for each dimension on the following scale:

RED: Evidence/responses to questions suggest significant obstacles currently exist to the successful and sustainable implementation of an Open Data Program meeting the objectives set.

YELLOW: Evidence/responses to questions do not show significant obstacles, but the evidence of favorable conditions is mixed.

GREEN: Evidence/responses to questions show favorable conditions already exist for the successful and sustainable implementation of an Open Data Program meeting the objectives set.

45. The significant obstacles and favorable conditions which would be relevant are described for each dimension. For each, there is a suggested rubric—or a set of criteria—that can be referenced to help guide the Team's professional assessment of the rating for the overall dimension. For certain dimensions (e.g., Leadership), the rubric identifies a specific criterion that is essential in order to merit a GREEN rating. The rubrics offer common criteria that can serve as a baseline to guide assessment teams in their analysis and provide some consistency in their approach to weighing evidence of readiness. Nevertheless determination of the rating in a particular Assessment will depend upon a professional judgment of the overall balance of evidence for the dimension, taking account of all the relevant factual evidence as well as the responses to the primary and subsidiary questions and other information gathered in interviews. Simply counting the number of "+" evidence bullets verses "-" evidence bullets is not appropriate. The judgment and experience of the Team will be needed since not all issues will carry equal weight or relevance in the readiness or success of a particular Open Data Program.

Fieldwork

46. Most of the time during the Fieldwork phase should be devoted to individual interviews planned as described above. If resources allow, the Team may split into sub-teams to allow more interviews to be conducted, although experience suggests that at least two members of the team should normally be present at each interview.

47. Additionally the Fieldwork phase would normally include:

- A "kick-off" meeting on the first morning with the sponsor to understand his or her objectives, to brief him or her on the program for the fieldwork and to receive any final steers on the Assessment.
- For World Bank-executed Assessments, a meeting with the Country Manager or Country Director.
- A "wash-up" meeting on the final afternoon with the sponsor to report initial findings, to receive his or her early feedback on emerging conclusions and recommended actions, to confirm arrangements for the completion and delivery of the Assessment, and to discuss with and advise him or her on what action they may need to take on receipt of the Assessment.

Assessment Report and Action Plan

48. Although it may be tempting to skip an assessment report and only produce an Action Plan, this is not advisable. An assessment report serves at least three important functions: (i) It provides a record of findings and evidence generated from engagement with stakeholders that is visible to anyone - and can be updated or expanded later; (ii) It shows the basis for many/most of the recommended actions in the Action Plan; and (iii) It indicates important issues, obstacles and opportunities associated with implementation of specific actions suggested in an Action Plan.

49. For World Bank-executed assessments the final format of an Open Data Readiness Assessment report and Action Plan will be agreed among the World Bank, the client government, World Bank Country Office and possibly other stakeholders. However an Assessment Report would typically be a 50-80 page report comprising:

- Introduction
- Executive Summary (2-3 pages)
- Objectives of the Assessment (reflecting the agreement reached with the sponsor during the Scoping phase)
- Analysis, assessment and recommendations on each of the 8 dimensions (3-6 pages on each)
- Analysis, assessment and recommendations on the Key Datasets (up to 8 pages, normally presented as a table)
- General Conclusions, Priorities and Recommendations (up to 6 pages)

- Action Plan (to be executed by the Recipient)

50. Where possible, it will be helpful to visualize the findings of the Assessment, particularly in the Executive Summary and as a summary of each dimension. However the visualizations should not imply a quantitative assessment since that is not an output of the tool.

51. For each dimension the analysis should first describe and review the current situation from the evidence and the results of the relevant interview. It will usually be helpful to follow the structure of the primary questions, but the approach should be analytical and not just descriptive. It will not usually be necessary to cover each of the subsidiary questions individually, but to draw on these questions in the analysis of the primary question. The analysis should then give and explain the rating given to that dimension by reference to the guidance in this tool. Finally, the report should give specific, actionable recommendations on key actions which should be taken on each dimension to ensure a successful and sustainable implementation of an Open Data program meeting the defined objectives.

52. The General Conclusions and Recommendations should analyze and make recommendations on wider or cross-cutting issues. This section should also indicate and explain the relative priority of recommendations - for instance it will usually to be appropriate to give priority to recommendations on Leadership and Institutional responsibilities because these set the context for more detailed and more technical recommendations.

53. An Assessment is unable to consider all the possible policy/legal issues that may be relevant to Open Data in a given jurisdiction. Important issues beyond those briefly considered in an Assessment may require attention. In the absence of an existing or comprehensive study of the legal issues by client government lawyers or on their behalf, an Assessment will normally recommend that the client government conduct a follow-up study of legal issues by competent counsel. In addition, a World Bank-executed Assessment will contain a Disclaimer in the following terms (which should not be varied without consultation with World Bank Legal Advisers):

    Disclaimer

    The preliminary analysis and recommendations in this section are based on information and opinions collected from interviews undertaken and materials provided by the government and other local stakeholders during this study. This section is not based on detailed, legal due diligence and does not constitute legal advice. Accordingly, no inference should be drawn as to the completeness, adequacy, accuracy or suitability of the underlying assessment, or recommendations, or any actions that might be undertaken resulting therefrom, regarding the enabling policy, legal or regulatory framework for Open Data in the country. It is therefore recommended that, prior to undertaking any legal action to address any <u>legal</u> assessment issue raised herein, a formal legal due diligence be performed by competent, locally qualified legal counsel,

preferably assisted by international legal experts with relevant experience and knowledge of these areas.

This disclaimer should be placed in country ODRA reports as the last introductory paragraph before the answers to the questions in the legal section, or as a footnote at the bottom of the first page of the legal section.

54. The level of detail required for the Action Plan section should be agreed as part of the Scoping phase. Most Assessments provide an Action Plan of key early actions recommended to initiate an Open Data Program which will meet the agreed objectives in a successful and sustainable way. The identified actions will be:

    Key: The Action Plan includes the actions which are most important to the success and sustainability of the Government's Open Data Program. The Assessment does not normally produce a complete set of detailed actions, which would be seen in a full project plan, but the strategically most important ones.
    Time-bound: The Action Plan should identify which actions need to be taken in the first or next phase of the Open Data Program, and which actions may be implemented later or continue for a longer time. The Assessment does not normally aim to produce a plan through to the final conclusion of an Open Data Program; indeed it is strongly suggested that any Open Data Program is periodically reviewed during its implementation and any further necessary actions identified and prioritized at that time.

55. Each action in the Action Plan should:

    - link to specific analysis in the Assessment so that its context and justification can be understood in the future
    - be linked to the objectives agreed for the Assessment
    - be specific in terms of the action required
    - clearly identify the responsibility for carrying it out (although sometimes one of the early actions is for the sponsor to appoint an Open Data Program manager who would then carry out further actions)
    - be measurable or observable
    - have a specific, realistic, timescale (experience shows that in practice initial consultations and decision making, and allocation of initial resources, can take a significant time even with seemingly strong political support)
    - identify any dependencies, both with other actions in the Action Plan and with external plans and events
    - be realistic, taking account of the resources and capabilities available

56. It is usually helpful to summarize the Action Plan in a Gantt chart and to explain how and why actions should be phased.

Report Delivery and Follow-up

57. If financing allows, and subject to agreement with the sponsor, it is good practice to follow the delivery of the formal Assessment report fairly quickly with a workshop where the recommendations of the Assessment are presented to key stakeholders inside and, if agreed, outside, the government.

58. In addition for World Bank-executed Assessments the Task Team Leader should:

- Debrief the Country Manager or Country Director on the outcome of the Assessment, how it was received by the leader of the counterpart agency or the authorities in the sponsoring agency and the plans for taking forward the recommended actions, and
- Consider hosting a Brown Bag Lunch within the Bank to share the findings with colleagues

59. For World Bank-executed Assessments it has been agreed that, when the Assessment report and action plan are used as an input into another World Bank operation, the concept review and decision review meeting of that subsequent operation are the appropriate forum to discuss follow-up World Bank support activities.

ANNEXES

Annex A: Example Preliminary Information Request

Legal and leadership framework

1. Any law, regulation or policy on freedom of information, a right to information, or access to information. If there is not, a brief description of any process right now that enables people to request information from public agencies / government.
2. Policy position or official statement on Open Data, publication of government data or related topics (such as Open Government or freedom of information)
3. Any law, regulation or policy about proactive release or reuse of public sector information
4. Any law or policy about privacy protection
5. Any law, regulation or policy guaranteeing the anonymization of personal and personally identifiable data
6. Text of any existing licenses or conditions of use for government data
7. Details of any exclusive arrangements to supply specific government data to only one company
8. Any copyright law or legal provision that makes clear who "owns" government data
9. Statistics Law or similar legal instrument that describes what statistics should be published and how is the statistical system regulated
10. Any laws that limit use of government information for national security or similar reasons.

Institutional framework

11. Documents that describe the overall governance of ICT architecture, polices and delivery (does the Government have any Chief Information Officers, Chief Technology Officers or permanent staff who to play an equivalent role among key agencies? If so, please describe.)
12. Documents that describe regular process for performance management, either on whole-of-government basis or by individual agencies, to measure quality of service delivery or agency performance.
13. Description of formal training programs or informal network mechanisms for civil servants in the management and use of data, citizen engagement, social media and other skills relevant to Open Data.
14. List of examples of ministries/principal public agencies' Web sites, e-Services and mobile-enabled services related to data.

Data within Government

15. Comprehensive inventory or list of the government's data holdings (if it exists).
16. Official policies or regulations on information management, data security, data quality, data archiving and digital preservation, and standards that apply across government.
17. Regulation or policy on procurement that addresses whether the government retains ownership of information generated or held by contractors, public-private partnerships or outsourced suppliers.
18. Identification of data sets available for an Open Data portal. Because the identification of data sets available for an open data portal and recompilation of information about them is time-consuming and cannot possibly be accomplished during a 7-10 day mission, this task is best done by the counterpart team before the expert mission arrives. The counterpart team should try to identify datasets available in the country. Each dataset should be assessed individually, focusing on both the feasibility of release and the benefit of doing so. To facilitate this task, table 1 in Part B: Open Data Readiness Assessment Methodology presents a list of data usually found in open data portals.
19. Below is a list of questions that the counterpart team may want to ask to the holders of each dataset. The counterpart team is not expected to have detailed answers to each of these questions for each and every dataset in government agencies. But the more information that can be collected about this before the ODRA mission starts, the more likely it is that the open data portal will be rich and widely used. It is unlikely that there will be sufficient time during the fieldwork phase of the ODRA to interview the owners of all the key datasets, and the Assessment team should prioritize their interviews based on the responses to the request for information and the Team's judgment of the potential importance of the data to the objectives of the Assessment.

- Which agency "owns" the dataset?
- Which agency manages the dataset?
- Does the data actually exist?
- Is the data in digital and reusable form?
- How is the data collected and maintained?
- What is the schema for the data?
- What file format(s) is the data in?
- What is the "granularity" of the data? How aggregated or de-aggregated is it?
- Is the raw disaggregated data from which the dataset is compiled also available?
- How often is the data updated?
- What is the quality of the data, including provenance, accuracy, timeliness and completeness?
- What data archiving and digital preservation measures are applied to the data?

- How many years of historical data are available?
- Is the data available as a complete set (eg raw data download) or only as the result of individual queries?
- What specific policies, laws or regulations govern the collection, maintenance and dissemination of the data?
- How is the production and maintenance of the data funded?
- How is the distribution or dissemination of the data funded?
- To what extent is the data publicly accessible? Through what means (e.g. website)?
- To whom is the data available? For each, in what form(s) is it available, on what terms and at what cost (if any)?
- What restrictions are placed on the use of the data? Why?
- What data management and IT skills, capacity and experience do the agency or agencies involved have?

Demand for Open Data

20. Any examples of government data already being used by the private sector, civil society or individual citizens
21. Data on the quantity and subjects of Freedom of Information Act or equivalent requests for the latest convenient period.

Citizen Engagement

22. Government policy on social media and/or citizen engagement
23. List of examples of civil society organizations using technology to empower citizens or civil society champions for Open Data.
24. List of agencies that regularly engage citizens, businesses and other stakeholders to get feedback and input on their services, decisions or activities, or have a track record for engaging with developers in the creation of applications and e-Services, if possible.
25. List of principal technical schools and universities with computer science programs that produce a notable number of graduates per year with technical degrees.
26. List of main media outlets–if the media is comprised mainly of large media organizations, or if not, list of main freelance/independent journalists. Are there any journalism associations?

Funding for Open Data

27. Information on funding processes
28. Any potential sources of funding for an Open Data Program, including development and maintenance of an Open Data portal for the first few years, or to develop selected, high priority apps and e-Services that will leverage Open Data?

29. Details of any existing innovation funding mechanisms?

Infrastructure

30. List of internet and mobile service providers.

Annex B: Example list of meetings/interviews to be conducted

This is a list of suggested interviews designed to ensure that the assessment team has the opportunity to meet with stakeholders relevant to each of the Assessment Dimensions. In general as preparation for each interview, it is important for the team to consider which dimensions and issues a particular person or meeting is best positioned to address.

Whole of Government responsibilities

- Sponsor of the Assessment (official requesting the Assessment and leading the country team)
- Ministry of Finance (policy on charging for information)
- Ministry of ICT
- Agency responsible for Freedom of Information Law
- Agency responsible for Copyright
- Agency responsible for government information
- National Statistical Office
- National Archives

Holders of key datasets

It will not normally be possible to see all the data-holding agencies individually in the timescale of the Fieldwork. The interview schedule should be prioritized to cover the datasets identified as key to the specific Assessment (see section “**Error! Reference source not found.**”). The team should consider also having a presentation and group discussion with representatives of less important data-holding agencies, and possibly saving a few interview slots for any of those agencies who specifically want to contribute evidence to the Assessment.

For key data-holding agencies, it is important to meet both an official at a decision-making level as well as more operational officials more knowledgeable about the agency’s data assets.

In terms of how to approach meetings with data-holding agencies, it is important to gain understanding about:

- Individual priorities as an agency and key things to accomplish in next 12 months.
- The agency's policies/practices on charging and licensing.
- What data the agency already provides to the public and on what conditions.
- How the agency handles privacy and what processes or safeguards they have (or not) to protect private information.
- Whether any agency rules or regulations exist that prevent the release of certain information.
- The agency’s experience seeking data from other government agencies – what they ask for, difficulties, what data they get and do not get, etc.

Possible Data-Holding Agencies

- Ministry of Health
- Ministry of Finance (budget and spending data)
- Ministry of Agriculture
- Ministry of Education
- Agency in charge of Company Registry
- Agency in charge of national maps and geospatial data
- Ministry of Transportation and Roads (or its equivalent agency)
- Ministry of Water (or its equivalent agency)
- Agency responsible for tax collection
- Meteorological Agency
- Agency responsible for Public Procurement
- Ministry of Infrastructure
- Agency responsible for regulating utilities (e.g, Electricity, Water, Housing, Sanitation)
- Ministry of Gender and Family Planning (or its equivalent agency)
- Ministry of Labor (or its equivalent agency)
- Ministry of Land, Environment and Mining (or its equivalent agencies)
- Agency responsible for cadastral/land/property registry
- Ministry of Disaster Management (or its equivalent agency)
- Ministry of Trade & Industry
- Ministry of Tourism
- Ministry/Ministries responsible for policing, crime and justice.

Data users and civil society

Meetings with stakeholders from user communities (civil society, private sector, media, researchers, developers) will focus on the issues covered in the Assessment dimensions on Demand for Data and Citizen Engagement and Capabilities. However, it is important to review other dimensions to check whether selected issues they cover are useful to address in these meetings.

- Selection of private sector firms or industry associations
- Innovation centers, incubators or iHubs
- Selection of Media organizations
- Selection of CSOs
- Selection of technical universities (or faculties)

Annex C: Example Introductory Letter to Interviewees

Ref: OPEN DATA READINESS ASSESSMENT

The World Bank have been asked by [the Government of …..] to conduct a study of the potential for an Open Data Program, and to recommend key actions for the Government to take. For the [Government of …] the review is sponsored by [… , government agency]. This study is also supported by […., optional sentence].

You have been suggested for interview as an important stakeholder in this, and we hope that you will be able to help us.

Open Data is the idea that the Government should make available to others as much as possible the non-sensitive data which it collects in the course of its operations, in “raw”, machine-readable form for reuse for commercial or non-commercial purposes. The idea is relatively new, but where other Governments have already started to do this, there have been benefits in terms of economic growth, innovation and jobs; closer citizen engagement in improving public services; transparency and accountability; and in improving the efficiency and operations of public services themselves.

The study consists of a series of interviews with key stakeholders, including government officials and people outside government, covering the main themes of leadership, law, government institutions, management of data, demand for data, capabilities of business and civil society, finance and national IT infrastructure. It follows a standard methodology developed by the World Bank. Based on these interviews and desk review of laws and other documents we will produce a report with recommendations to [……]. [This report will be published in due course.]

The study team is led by [name] [position]. Other members of the team are [….]

Our interview with you will typically last around 45 minutes. While we will ask mainly about the aspects of the study framework which seem most relevant to your role we would welcome any other comments - and any suggestions of who else we should see during our review. The interview is confidential: we will take notes, but it is not intended that your views will be quoted directly or attributed to you by name in our report. So we hope that you will be open and frank in your views so that our report reflects an accurate picture of the opportunities and challenges for your agency.

I should also emphasize more generally that the study is designed to lead to recommendations on key actions which [the Government of ….] could take to move forward. It is not intended to review the current performance either of organizations or of individuals.

Thank you in advance for your help, and I look forward to meeting you next week.