



Open Data Readiness Assessment

BRIEF FOR ACTIVITY PREPARATION

September 2014

A. Introduction

Open Data refers to non-confidential data being freely available to everyone to use, redistribute and republish as they wish, without restrictions from copyright, patents, or other mechanisms of control, at either no or marginal cost. In the most basic terms, open data is data that is (a) legally open (meaning others have an explicit right to reuse it, with proper attribution), (b) commercially open (meaning it is free, and others have a right to use it to make a profit), and (c) technically open (meaning it is machine readable for data mining, downloadable, and that application developers can connect to it 'live' to feed the data in their applications). It is the last feature that disqualifies otherwise publicly available data in formats such as PDF or Excel because data in such formats cannot be used to develop applications that require a 'live feed' to the data. From a public policy perspective, non-sensitive information held by governments should be freely available for reuse by the public so that it can be turned into useful applications, support transparency and accountability through public scrutiny, and make sharing data between public sector partners more efficient. Opening data also improves public sector efficiency and service delivery and stimulates economic development through the partnership between government and civil society.

The World Bank has launched a program on Open Data to help developing countries assess their readiness to open public datasets and to delineate action items. The Open Data Readiness Assessment (ODRA) provides a practical, action-oriented assessment of the readiness of a government to evaluate, design and implement an Open Data initiative. The tool is available as part of the 'Open Data Toolkit' published at <http://data.worldbank.org/about/open-government-data-toolkit/readiness-assessment-tool>. It is made freely available for anyone to adapt and use. The ODRA consists of joint work by a team of experts and a government-led counterpart team, which undertake a series of stakeholder interviews across three parties: data-owning agencies in government, data-using civil society members, and interested private sector parties. The interviews provide the basis for producing a report that assesses across eight pillars and uses red, yellow, and green as a scorecard. It also provides a detailed set of recommendations for each of the pillars and an Action Plan with a Timeline. The pillars assessed are:

1. 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
8. National Technology and Skills Infrastructure

(An example of an ODRA for Antigua and Barbuda is available at: http://www.ab.gov.ag/pdf/AB_Open_Data_Readiness_Assessment_20130614.pdf)

The World Bank is currently engaging in Open Data support activities around the world, including in Russia, Moldova, Dominican Republic, Peru, Caribbean, Botswana, Mauritius, Kenya, and Nigeria.

The assessment also offers the opportunity to include within the ODRA framework a rigorous technical scrutiny of the ability of the country's PFM system to generate (and disseminate) reliable fiscal statistics. Building on the experience, guidelines and quality standards of the BOOST initiative, the team focuses on identifying opportunities to promote fiscal openness in a structured and usable format, identifying both "quick wins" in terms of fiscal transparency efforts that the country can implement in the very short term and medium- and longer-term actions needed to have high quality open fiscal data. The BOOST initiative is a World Bank-wide collaborative effort launched in 2010 to facilitate access to budget data and to support improved fiscal decision-making, expenditure analysis, and accountability, and will be considered among the recommendations to the Ministry of Finance as part of the ODRA. More information about the BOOST initiative is available at <http://go.worldbank.org/UX0PVF5YM0>.

The deliverable for this activity will be the ODRA report, covering an assessment across eight pillars (using red, yellow and green as a scorecard), a set of recommendations for each of the pillars, and an Action Plan.

Experience has shown that the following considerations are essential to a successful Open Data Readiness Assessment – one that leads to effective action:

- The Open Data Readiness Assessment is a joint exercise between the World Bank team (World Bank staff, international experts and partners) and the Government's counterpart team (focal persons across Government that are identified by the lead agency). It is essential that the Government provide these human resources and their availability as part of the team; in return they will gain personal, hands-on insight into the issues and best practice that will allow them to implement the final report and recommended actions effectively.
- An Open Data Readiness Assessment is a fast and intensive study. Thorough preparation is essential for the assessment mission to be effective. The assessment team (the joint World Bank and counterpart teams) need to be available to take part in preparatory work for at least four weeks before the scheduled date of the assessment mission, and information needs to be commissioned from line Ministries in good time so that the team can study it before the assessment mission takes place.
- Starting with a briefing call at least 4 weeks before the assessment mission, there should be weekly conference calls to ensure that the preparations for the assessment are on track.

This briefing pack contains model specifications of:

- A. Assessment timetable
- B. Role and responsibility profiles for the counterpart team
- C. List of key meetings/interviews to be conducted

D. Information to be obtained in advance of the assessment mission

These are model specifications, and they will be discussed, modified, and validated at the initial conference call so that they meet any specific objectives of the assessment and confirm to the institutional structure of the Government.

B. Timetable

For the World Bank and its client Governments, the ODRA is intended to be performed rapidly and economically. It is essential therefore that the assessment be conducted on a clearly defined schedule. The model timetable is as follows:

| <i>Week (indicative)</i> | <i>Phase</i> | <i>Actions</i> | <i>Responsibility</i> |
|--------------------------|---------------------------------|--|-----------------------|
| -4 to -1 | Scoping | World Bank and Government discuss the objectives of the ODRA and the means by which it is to be conducted and financed. | Joint |
| 0 | ODRA Confirmation | Government and World Bank agree on the objectives and conduct of the ODRA. | Joint |
| 1 | Team mobilization | World Bank identifies and confirms expert members of its team. | World Bank |
| 1 | Team mobilization | Government identifies and confirms officials and skills required for its counterpart team of the ODRA (For composition, please see Annex B). | Government |
| 1 | Team mobilization | Conference call to introduce members of team to each other, clarify roles and tasks, brief on work plan, and commission further action. Conference call should agree on list of interviewees mapped to each dimension of the ODRA and requests for documentation and information to be issued to each. | Joint |
| 1 | Assessment Mission Preparation | Government counterpart team prepares and issues requests for interviews and documentation to stakeholders across Government, including briefing/background information for interviewees, and begins drafting the assessment mission schedule. | Government |
| 2-4 | Assessment Mission Preparation | Collation and checking of information received. Follow up by government team with stakeholders across Government to obtain interview confirmations and documentation. Available documentation is transmitted to the World Bank team. | Government |
| 2-4 | Assessment Mission Preparation | Desk study and follow-up requests for information and documentation. | World Bank |
| 3 | Assessment Mission Preparation | Conference call/emails to discuss progress on scheduling of interviews for the assessment mission week. | Joint |
| 4 | Assessment Mission Confirmation | Government confirms that schedule has been finalized. Government confirms that Government team is appointed and available for the assessment mission. Government team member provides logistics pack for international members of team. | Government |
| 4 | Assessment Mission | Conference call to agree that all preparations are in place for a successful | Joint |

| <i>Week (indicative)</i> | <i>Phase</i> | <i>Actions</i> | <i>Responsibility</i> |
|------------------------------|------------------------|---|-----------------------|
| | Confirmation | assessment mission. | |
| 5 | Assessment Mission | Assessment Mission Day 1, am: Team meeting; interview with lead agency; “kickoff” meeting with senior leadership; may include a briefing for stakeholder interviewees as a group. Day 1: An early meeting with the Minister of Finance during the Assessment Mission is useful to ensure the participation and engagement of the Ministry of Finance as part of the ODRA. Day 5, pm: Wrap-up meeting to debrief on emerging findings with senior leadership and lead agency. | Joint |
| 6 | Follow-up | Government team member undertakes follow-up requests for information, obtains information promised during interviews. | Government |
| 6-7* | Preparation of Report | Drafting of assessment report | World Bank |
| 8-9* | Preparation of Report | Review of draft assessment report by WB and Government lead agency | Joint |
| 9* | Delivery of Assessment | Finalization of Readiness Assessment Report with a detailed annex on Ministry of Finance data. | World Bank |
| 10* | Delivery of Assessment | Delivery Workshop to present the report to the stakeholders across government and civil society who were interviewed for the assessment. The Government may decide to also open the workshop to the media. A meeting also to be held with senior leadership in Government to discuss the recommendations and hear about their decisions on next steps. | Joint |

* Timing of preparation and delivery is indicative and will be based on the agreed timeline at the wrap-up meeting.

C. Government Team Roles and Responsibilities

The roles of the Government team members are to facilitate the ODRA, help the World Bank team obtain the right meetings with the right persons, assist as a whole to understand the structure and culture of the Government, participate in interview meetings in team members' areas of expertise, and contribute local Government expertise. It is understood that the Government team is working in an informal capacity and does not necessarily need to endorse the conclusions and recommendations of the ODRA.

A Government team would normally include:

- **Government Team Leader.** This person should have sufficient seniority, legitimacy, and experience to work across the Government as a whole, opening doors, facilitating hard-to-obtain meetings, and dealing with sensitivities. For continuity, it is highly desirable that the team leader be available to lead in the early stages of the implementation of the Open Data Program, as involvement in the ODRA will have given them a good understanding of the origins of the recommended action and of Open Data more widely.
- **Government Information Lawyer** from the Attorney General's Chambers or an information policy specialist. Key issues for the ODRA involve questions of information law and information policy, including such issues as privacy, right to information, copyright and charging for information. It is important to understand what legal instruments or forms would be required for an Open Data Program. A suitably qualified and experienced local government information lawyer (or, in some jurisdictions, an information policy specialist) should advise the ODRA process directly. This is not a full-time role; the person selected should be able to spend around 2 days in advance of the assessment mission collecting relevant legislation and other documents, write short additional briefs for the team as necessary, spend around 2 days of the assessment mission week with the team (including kick-off and wrap up meetings), and spend around 2 days on advice and review during the writing of the report.
- **Government ICT / eGovernment Official.** This role will help the team understand the ICT standards, architecture, processes, and systems of the Government and its individual agencies.
- **Government IT Official.** This role will help the team understand the structure of national government databases, exchange of data, data storage, and future possibilities given current IT infrastructure and its constraints.
- **Public Sector Modernization Official.** In countries where a separate entity in charge of public sector modernization exists, their involvement through a focal person ensures cohesive Open Data ownership across government.
- **National Statistics Official.** The involvement of a representative of the National Statistics Office is important to inform and advise the process, as well as to assist successful operationalization of an Open Data initiative in any post-assessment phase.
- **Ministry of Finance Official.** The Government team will seek to ensure that the Ministry of Finance is on board and has made a focal person available to participate and provide inputs on the ODRA. The focal person will play an important role in ensuring that the team engages appropriately with the Ministry of Finance and should

have a clear sense of the structure and responsibilities of the various departments and divisions within the Ministry.

- **Logistics Officer.** The evidence collection and assessment mission phases are intensive, and it is important to assign a local person to manage the meeting schedule, arrange interviews, make and follow up on requests for additional interviews or information, and make the logistical arrangements for the team as a whole.
- **Communications Officer.** This role, which may be part-time by a government press officer, will coordinate publicity and press aspects of the ODRA, including briefing journalists, interviews, and public events. They will also prepare the local 'narrative' for the ODRA and obtain suitable quotes on issues likely to be of press interest.

Additional roles to be considered on the client team would include a data management expert, a data archiving/digital preservation expert, or a geospatial data expert.

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

D. List of Key Meetings/Interviews to be Conducted

This is a generic 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. This list will need to be adjusted to suit the specific objectives of each Assessment and the structure of the Government.

Whole-of-Government Responsibilities

- Government agency leading the ODRA
- Ministry of Finance (policy on charging for information)
- Agency responsible for Government ICT e-Government strategy and policies
- Agency responsible for Government ICT infrastructure
- Agency responsible for Freedom of Information Law
- Agency responsible for Copyright
- Agency responsible for government information
- National Statistical Office (policy)
- National Archives (policy on data archiving and digital preservation)
- Agency responsible for public sector modernization

Ministries/Departments/Agencies Holding Key Datasets

It will normally not be possible to see all the data-holding agencies individually within the timescale of the assessment mission. The interview schedule should be prioritized to cover

the datasets identified as key to the specific objectives of each Assessment. The schedule also needs to be adjusted to reflect the structure of responsibilities in the Government.

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

| Ministry | Key Datasets |
|--|---|
| Ministry of Finance | Budget and spending data at Ministry level; individual items of spending at a detailed transactional level; revenue data; data on debt stocks. Specific departments/divisions within the Ministry of Finance include the Accountant General's Department, Customs Agency, Tax Administration, Economic Management Division (in particular, Debt Management Unit and International Financial Institutions Unit), Finance and Accounts Division, Public Enterprise Division, and Public Expenditure Division. |
| National Statistics Office | Key statistics such as demographic and economic indicators (such GDP, CPI, unemployment, population, wealth); Census. |
| Ministry of Health | Location and contact details for hospitals and clinics; medical prescriptions; pricing of drugs and appliances; purchases of drugs and appliances; public health data; health provider performance data. |
| Ministry of Agriculture | Soil data, crop yield data, animal numbers, feeds and production, food imports and exports. |
| Ministry of Education | Educational resources (schools, budgets, teachers) and educational attainment down to school level. Secondary and Tertiary qualifications. University research funding. |
| Agency in charge of Company Registry | Company Register; databases of licenses and permits issued. |
| Agency in charge of national maps and geospatial data | Core geospatial reference data such as maps, addresses, gazetteers, topography, and points of interest. Also policy issues on National Spatial Data Infrastructure. |
| Ministry of Transportation and Roads (or its equivalent agency) | Information on roads - location, type of road (width, sealed/unsealed), quality, weight, width and other restrictions; planned road works and construction; congestion information; parking information; vehicle purchases and licensing; bus and coach routes and timetables, fares and real-time running. Passenger and freight train services - routes, timetables, fares and real-time running. Civil aviation data. |
| Ministry of Water (or its equivalent agency) | Water points, sanitation facilities; water quality; river or borehole abstraction licenses. |
| Ministry of Environment | Data about pollution levels, emission of pollutants. |
| Agency(s) responsible for tax collection | Data on taxes collected; business data gained during tax collection |
| Meteorological Agency | Weather forecasts; observations including wind, rainfall, humidity, sunlight; air quality data (might be elsewhere); other climatological data. |
| Agency responsible for Public Procurement | Tenders issued and contract awards (including details of contract) |

| Ministry | Key Datasets |
|--|---|
| Agency responsible for regulating utilities (e.g., Electricity, Water, Housing, Sanitation) | Consumption, prices, expenditure. |
| Ministry of Labor (or its equivalent agency) | Labor market data including employment, vacancies, and skills. |
| Ministry of Land and Mining (or its equivalent agencies) | Government land holdings; mining and other natural resource extraction zoning and licenses; nature and wildlife reserves; water sources. |
| Agency responsible for cadastral/land/property registry | Cadastral maps; ownership of property; transactions in property and prices paid. |
| Ministry of Disaster Management (or its equivalent agency) | Data about shelters and other public facilities in times of emergency; geospatial data required for policymaking for disaster resilience and disaster response. |
| Ministry of Trade & Industry | Trade and industrial licenses; trade and industrial production, imports and exports. |
| Ministry of Culture/Tourism | Data on tourist numbers, behavior, and expenditure; data on touristic facilities including hotels, restaurants, and activities and their service providers; information about museums; cultural asset data. |
| Ministry/Ministries responsible for policing, crime and justice | Data about reported crimes; data about arrests, prosecutions, and convictions; public safety data. |
| Attorney General | National laws, statutes, and regulations. |
| Ministry(s) responsible for Elections | Election results by constituency/district for all major electoral contents. |

The team should also consider having a presentation and group discussion with representatives of less important data-holding agencies, and possibly saving a few interview slots for repeat meetings with priority agencies who specifically want to contribute additional evidence to the ODRA.

In conducting the meetings with data-holding agencies, it is important to gain an understanding of:

- The individual priorities as an agency and its key tasks 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 under which 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, and what data they get and do not obtain.

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 check whether selected issues covered in other dimensions are useful to address with these audiences. The assessment mission will seek to interview:

- A selection of data-using private sector firms.
- A selection of private sector firms in the ICT industry.
- Industry associations or the Chamber of Commerce.
- Association of Foreign Inward Investors.
- Innovation centers, incubators, technology hubs, or iHubs.
- A selection of Media organizations and data/investigative journalists.
- A selection of Civil Society Organizations.
- A selection of local Open Data/Open Government/Right to Information activists.
- A selection of technical universities (or faculties).

E. Information Obtained Before Assessment Mission

The following is an indicative list of the documents and information that is requested to be collected before the assessment mission.

Legal and Leadership Framework

- Any existing law or policy on freedom of information, a right to information, or access to information. If there is none, a brief description of any process right now that enables people to request information from public agencies / government.
- Text or transcript of any political promise or policy position on Open Data, publication of government data, or related topics (such as Open Government or freedom of information).
- Any existing law or policy about proactive release or reuse of public sector information.
- Text of any existing licenses or conditions of use for government data.
- Details of any arrangements to supply specific government data to only one company in exclusion of others, or where a particular company has a monopoly of a certain government dataset.
- Any copyright law or legal provision that makes clear who “owns” government data.
- Statistics Law or similar legal instrument that describes what statistics should be published and how the statistical system is regulated.
- Any official law or policy about privacy protection.
- Any laws that limit use of government information by the public and civil society (for example, laws on secrecy, press and media, Internet regulations, laws about third party rights such as trade secrets)

Institutional Framework

- Documents that describe the overall governance of ICT architecture, policies, 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.)

- Documents that describe regular processes for performance management, either on whole-of-government basis or by individual agencies, to measure quality of service delivery or agency performance.
- 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.
- List of examples of ministries/principal public agencies' Web sites, e-Services, and mobile-enabled services.

Data within Government

- Comprehensive inventory or list of the Government's data holdings (if it exists).
- Official policies or regulations on information management, data security, data quality, data archiving and digital preservation, and standards that apply across government.
- 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.

Demand for Open Data

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

Citizen Engagement

- Government policy on social media and/or citizen engagement.
- List of examples of civil society organizations using technology to empower citizens or civil society champions for Open Data.
- 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.
- List of principal technical schools and universities with computer science programs that produce a notable number of graduates per year with technical degrees.
- 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

- Information on funding processes.
- 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?
- Details of any existing innovation funding mechanisms?

Infrastructure

- Internet and broadband penetration, if possible by region.
- Cost of Internet and broadband, and list of ICT providers.