



**112<sup>th</sup> SESSION OF THE COMMITTEE FOR SCIENTIFIC AND  
TECHNOLOGICAL POLICY**

**Case Study Template**

**“Enhanced Access to Public Data for Science, Technology and  
Innovation”**

**Room Document N°1**

This Room Document is presented under Item 4 of the Draft Agenda.

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DIRECTORATE FOR SCIENCE, TECHNOLOGY AND INNOVATION

## Science and Technology Policy Division

**1. Introduction**

At its 109th session in October 2016, the OECD Committee for Science and Technology Policy (CSTP) discussed and approved a proposed joint development of a possible new overarching recommendation on enhanced access to data, together with the Committee for Digital Economy Policy (CDEP) and the Public Governance Committee (PGC) [[COM/DSTI/CDEP/STP/GOV/PGC\(2016\)1](#)]. CSTP's central instrument in this domain is the Recommendation of the Council concerning Access to Research Data from Public Funding [[C\(2006\)184](#)] (referred to as "the Recommendation" in the text below).

As described in the Work Plan for the Project on Enhanced Access to Data and Terms of Reference (ToR) [[COM/DSTI/CDEP/STP/GOV/PGC\(2017\)1](#)], the work has the objective to identify gaps in current data governance frameworks, which will enable identifying the common elements that could be further developed as general principles on enhanced access to data, possibly resulting in an OECD umbrella legal instrument adopted by Council to serve as reference for any revision of existing OECD legal instruments concerning open data or for the development of new ones.

A survey was conducted in mid-2017 to assess the current use of the Recommendation, the results of which are summarised in 'Open Access To Data In Science, Technology And Innovation – Initial Survey Findings' [[DSTI/STP\(2017\)25](#)], discussed by the CSTP at its 111th Meeting in October 2017. The key issues identified in the survey as requiring policy attention were:

- Data governance for trust - addressing privacy, confidentiality, quality and ethical issues
- Discoverability/findability, machine readability and data standards
- Recognition and reward system for data authors
- Definition of responsibility and ownership
- Business models for open data provision
- Building human capital and institutional capabilities at public agencies, to manage, create, curate and reuse data.

The CSTP, together with the Global Science Forum has organised a workshop '[Towards New Principles For Enhanced Access To Public Data For Science, Technology And Innovation](#)' on March 13 2018, with the objective to deepen the gap analysis already initiated through the recent survey report [[DSTI/STP\(2017\)25](#)].

The next step of the work aims to analyse specific case studies of policies implemented in OECD member and partner countries, and extract transferable learnings from these case studies, which would prepare the ground for drafting future new principles and guidelines to enhance access to public data for science, technology and innovation.

## 2. General Guideline

(1) Participating countries are requested to nominate 1 to 2 **flagship “strategic” policy initiatives for open access to public data in Science, Technology and Innovation** based on proposed criteria in section 3.

(2) Participating countries can choose a strategic policy initiative for Open Access to data for STI at the national level, or the international level.

(3) Participating countries are invited to submit a 1-page overview of the proposed case study as described in section 4.1. by 1 April 2018.

(4) Participating countries are invited to address the 8 key themes their case studies (Section 4) and to provide charts and statistics where available. Please provide links to websites of relevant sources of information.

- Volume: approximately **15-20 pages** per case study.
- **Submission deadline: July 1<sup>st</sup> 2018**
- Contact point: [alan.paic@oecd.org](mailto:alan.paic@oecd.org), +33 (0)1 45 24 99 77

## 3. Proposed Criteria for the case study

- **Type of policy initiative**

The initiative can be a national strategy, policy, bill of law, regulatory initiative, or a combination thereof which is directed at improving overall access to public data for STI.

- **Key issues coverage**

If possible, the selected initiative should be addressing at least two of the key issues previously identified:

- Data governance for trust - addressing privacy, confidentiality, quality and ethical issues
- Discoverability/findability, machine readability and data standards
- Recognition and reward system for data authors
- Definition of responsibility and ownership
- Business models for open data provision
- Building human capital and institutional capabilities at public agencies, to manage, create, curate and reuse data.

- **Long-term focus**

The initiative should have a strategic goal which would create a strong overall projected impact on data accessibility. There should be a vision for the transformation of the access to public data on a long term basis, rather than a ‘one shot’ adoption of a new standard, for example.

- **Scope:**

- In terms of **target stakeholders**, the initiative should cover the broad scientific community, but also contain linkages to other stakeholders within the broader STI system, such as innovative businesses and civil society actors (especially for aspects of innovation linked to resolving societal challenges).

- In terms of **type of data concerned**, the initiative may cover data resulting from research, but also broader public sector information<sup>1</sup> and even private sector data. However, for broader initiatives there should be a strong intended impact on the STI system, including researchers and innovative entrepreneurs. Initiatives targeted solely on the general public should be avoided.

- **Scale and impact**

A “strategic” policy initiative for open access to public data in Science, Technology and Innovation should have sufficient scale, in terms of target audience (multiple institutions and stakeholders) and the impact sought by the initiative, which should be significant. The initiative should promote systemic change, rather than the reform of a single stakeholder or institution.

#### 4. Proposed structure for the case study

<b>4.1. Overview of the initiative</b>	<b>4.2. Rationale, motives and key drivers</b>
<b>4.3. Governance of the initiative</b>	<b>4.4. Process and timeline</b>
<b>4.5. Adoption and implementation</b>	<b>4.6. International Aspects</b>
<b>4.7. Monitoring and Evaluation</b>	<b>4.8. Lessons and Challenges</b>

##### 4.1. Overview of the initiative (1- 2 pages)

Name of initiative	
Objective	
Type (strategy, policy, bill of law,...)	
Responsible policy making bodies	-Leading Ministry / Agency : -Relevant Ministries/ Agencies:
Responsible implementing bodies	
International reference framework (if relevant)	
Target audience	

<sup>1</sup> “Public sector information” is broadly defined by the [OECD Recommendation of the council for enhanced access and more effective use of public sector information](#) as “information, including information products and services, generated, created, collected, processed, preserved, maintained, disseminated, or funded by or for the Government or public institution”, taking into account the legal requirements and restrictions, including intellectual property rights and trade secrets, effective and secure management of personal information, confidentiality and national security concerns, and fundamental principles including democracy, human rights and freedom of information.

Total duration of initiative (years)	
Total budget of initiative (in national currency)	
Sectoral focus (if relevant)	
Type of data concerned (data from research, public sector information, private sector information)	
Target audience (scientific community, business, civil society, general public)	
Expected results	

#### 4.2. Rationale, motives and key drivers (1-2 pages)

##### *Possible issues to explore*

- Policy context prior to the initiative
  - legacy legislation and regulation with its observed strengths and weaknesses
  - main challenges and policy gaps which needed to be addressed.
- Objectives as defined, and expected results
- Body(-ies) who initiated the strategic initiative (i.e. governmental bodies/agencies, practitioner institutions or associations, other non-governmental stakeholders, international networks, or others)
- International references and good practices as drivers (e.g. OECD recommendations, or examples set by other countries or supranational regions).
- The underlying motives for initiating the strategic initiative from a policy perspective (e.g. lifting specific barriers of technical or behavioural nature, creating trust among stakeholders, creating incentives for data sharing, building innovative infrastructure, or other)
- Please describe how the following issues were covered (or not covered) within the initiative:
  - Data governance for trust - addressing privacy, confidentiality, quality and ethical issues
  - Discoverability/findability, machine readability and data standards
  - Recognition and reward system for data authors
  - Definition of responsibility and ownership
  - Business models for open data provision
  - Building human capital and institutional capabilities at public agencies, to manage, create, curate and reuse data.

#### 4.3. Governance (2-3 pages)

##### *Possible issues to explore*

- Governance structure of the strategic initiative: lead ministry or institution, working group or consortium,
- Stakeholder consultation: who were the main stakeholders identified and how were they consulted (potentially in two or more circles, according to the degree of involvement).

- Decision making: who was the main decision maker and how was consensus created? Was there a specific conflict resolution mechanism among participants?
- The role and interaction of different levels of actors at local, regional, national and supra-national level and political leadership.
- How the governance models chosen ensures that the initiative continuously focuses on its strategic goal, while responsive to the changing context.
- The measures to improve transparency in the management of the initiative.

#### 4.4. Process (2-3 pages)

##### *Possible issues to explore*

- Please describe the major milestones of the initiative, including preparatory work, such as needs assessment studies and analyses commissioned externally or produced internally, main meetings with various stakeholders, adoption of intermediary and final documents, adoption of relevant legislation and regulations.
- Please describe the evidence base used in the process (studies, surveys)
- Was regulatory impact analysis applied in the process, and if so, to what degree? If yes, what was the outcome of it? If not, is ex-post assessment foreseen?
- Idea generation and priority setting: how were the main ideas generated? How were priorities set among the ideas?
- Please describe potential delays or setbacks in the process, as well as the underlying reasons for these setbacks (e.g. opposition of key advocacy groups or political forces, lack of communication among stakeholders, etc.)
- Stakeholder consultation process: at what points in time were key stakeholder groups consulted, and how was their feedback incorporated into the design of the initiative?

#### 4.5. Adoption and implementation of the initiative (1-2 pages)

##### *Possible issues to explore*

- What was contained in the final design of the initiative: main policies, regulations?
- Scope of the initiative: does it concern purely data resulting from research, or does it concern broader public sector information<sup>2</sup> or private sector data?
- Beyond data, how are the following aspects taken into account:
  - Metadata
  - Software and algorithms for data interpretation?
- What were the expected results of the initiative?
- What were the key performance indicators foreseen in the initiative, and who was responsible for reaching the targets set?
- Who was (were) the main implementing body(-ies) for the initiative?
- Problems or challenges to managing the implementation of the initiative (e.g. delays, missed targets, or results that did not meet expectations). What corrective actions were implemented to put the initiative back on track?

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#### **4.6. International aspects (2-3 pages)**

##### *Possible issues to explore*

- The international dimension of the initiative, i.e., reference to international recommendations and standards (such as OECD recommendations), engaging foreign partners, addressing international data flows.
- Degree to which the international dimension influences the design and implementation of the initiative.
- Potential arbitrage between national interests and international guidelines, if relevant.
- International comparability of data and cross-country data.

#### **4.7. Monitoring and evaluation (2-3 pages)**

##### *Possible issues to explore*

- The monitoring and evaluation framework for the initiative, including responsible organisation, methodology, transparency and fund allocation
- The criteria and key indicators for evaluating the initiative (including key performance indicators and targets).
- The role of the evaluation in improving the design of the initiative, i.e. how can the result of evaluation lead to revisions in the policy design?
- Impact assessment on end users (if available): how does the initiative improve the access to data and re-use thereof?
- The limitations of and challenges for monitoring and evaluation, due to its complex, dynamic and long-term nature.
- Please quote any monitoring or impact assessment documents available, and the main outcomes achieved.

#### **4.8. Lessons and Challenges ahead (3-5 pages)**

##### *Possible issues to explore*

- The degree of attainment of the objectives
- Main achievements of the initiative in terms of process and end results
- The pitfalls that have been avoided
- Lessons learnt from setbacks in the process
- Challenges for the future
- Transferability: how relevant is this case study for implementation in other OECD member and partner countries?