



Review of Open Access/Open Data Policy and Support

Inception Plan

June 2017



Independent
Evaluation
Arrangement

CGIAR



Evaluation Team

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1 Introduction

1.1 Scope and approach

The CGIAR Policy on Open Access and Data Management (hereinafter OA/DM Policy) was approved in October 2013¹. It builds on, and complements another System-wide policy, the CGIAR Principles on the Management of Intellectual Assets (IA Principles)². Given the complementarity between these two policies, the reviews overlap for achieving synergy from the process and findings and to avoid duplication of efforts.

The OA/DM Policy aims to provide a common position and expectations for open access and data management across CGIAR. The Policy reaffirms CGIAR's commitment to generate international public goods (IPG) for achieving large-scale impact on CRPs' objectives and CGIAR's high level goals. It is based on CGIAR's Intellectual Assets Principles, which confirm CGIAR's commitment to generating IPG's, but recognize that restrictions to global accessibility may be necessary in some cases for targeting and accelerating impacts when more nuanced approaches are needed for managing intellectual assets, including through intellectual property rights and licensing arrangements.

The purpose of the review will be to assess the appropriateness of the OA/DM Policy in terms of achieving its intended purpose of maximizing global accessibility of CGIAR research. The focus will therefore be in assessing the intent, relevance, clarity and coverage of the Policy and effectiveness of support provided. The review will provide lessons from the two years of support provided for the implementation of the Policy, and include recommendations for enhancing full compliance and the efficiency and effectiveness of the Policy.

The review will cover the OA/DM Policy in a comprehensive manner regarding 1) coverage, adequacy and appropriateness of the Policy and its likely effectiveness in supporting the CGIAR vision; 2) the extent to which support, including tools and guidance, has helped Centers in the short-term in laying the foundation for and promoting open access and global accessibility of information products, and the (3) effectiveness of proposed processes for the implementation, reporting and governance of the Policy. Given that the Policy is still being rolled out and full compliance is not expected until end of 2018, it is too early to assess its contribution to impact from CGIAR research.

It will review current progress in implementation and whether achievement of full compliance across CGIAR is likely in the schedule set. The review will assess the adequacy of System level guidance and support activities to the Data Management/Knowledge Managers across CGIAR, including the Implementation Guidelines³ and development of the Open Access Support Pack⁴, for their focus, clarity and detail. The review will provide lessons on CRP/Centers efforts for implementation of the OA/DM Policy, and review current

¹ Open Access and Data Management Policy of CGIAR:

<http://library.cgiar.org/bitstream/handle/10947/2875/CGIAR%20OA%20Policy%20-%20October%20202013%20-%20Approved%20by%20Consortium%20Board.pdf?sequence=4>

² CGIAR Intellectual Assets Principles: <https://library.cgiar.org/bitstream/handle/10947/3755/CGIAR%20IA%20Principles.pdf>

³ CGIAR Open Access and Data Management Implementation Guideline, July 2014, available online: <https://docs.google.com/file/d/0B9CkhNNcAYs2T0tpemhIYjVkwTA/edit?pli=1>

⁴ Available online: <https://sites.google.com/a/cgxchange.org/oad-support-pack/home>

management practices at Centers, CRP and System levels for successful implementation of the Policy.

The review will limit its query to the Policy and support provided until the end of 2016 and progress in the run up to the development of the Big Data Platform, to inform future implementation and compliance. It will review activities proposed as part of the Platform in order to inform next steps. It will not, however, assess the Platform, which is starting its activities in 2017.

Specifically, the review will assess whether:

- the scope of the Policy is appropriate, clear and concise;
- the Policy reflects latest developments in open data and knowledge management;
- the Policy and support activities have promoted good practices in CGIAR;
- the support activities have been relevant and sufficient to move towards full implementation in 2018;
- CGIAR System has adequate resources to appropriately implement the Policy.

2 Background

2.1 Review Criteria and Questions

The Review will focus on the following criteria.

1. **Appropriateness.** The review will assess the scope, adequacy, clarity and coverage of the Policy in relation to the CGIAR vision.
2. **Efficiency and Transparency.** The review will assess the current, and potential future, intended and unintended effects of the Policy implementation in Center operations and communications, and relations with partners, CGIAR System-level decisions and reputation at all levels.
3. **Effectiveness.** As the Policy is not yet fully implemented, the review will not assess the effectiveness of the OA/DM processes in relation with the research activities of the Centers. It will focus on the support of and progress in implementation of the Policy and assess whether full implementation is possible in the foreseen timespan.
4. **Governance and Management.** The governance and management of the Policy will be assessed with a focus on whether this would help implementation according to the objectives of the OA/DM policy.

These criteria will guide the review process by providing the main axis around which the review questions will be defined. A Review Matrix in Annex 1 presents the review questions under these criteria. It presents the sources of evidence in terms of documentation and stakeholder groups for interviews.

2.2 Methodology

The review team will collect the necessary evidence following two main courses of action, collecting factual data through document review and soliciting feedback through questionnaires and interviews with key stakeholders, including Center focal points.

The team will combine all the collected evidence for addressing the evaluation questions and use its own expertise for the interpretation of the findings and deriving at conclusions and recommendations to complete the report. The review schedule is presented in the Table below.

The remainder of this section provides more details on the foreseen activities to collect the evidence needed for the report.

2.3 Document review and factual data

- CGIAR Open Access and Data Management Policy⁵. Providing a high level description and scope of the Policy, as well as background documents relevant to or preceding the Policy

⁵CGIAR Open Access and Data Management Policy

<http://library.cgiar.org/bitstream/handle/10947/2875/CGIAR%20OA%20Policy%20-%20October%20202013%20-%20Approved%20by%20Consortium%20Board.pdf?sequence=4>

- CGIAR Open Access and Data Management Implementation guidelines⁶ (broad guidelines addressed to the CGIAR centers to support them into making their own implementation plans)
- Implementation support proposal and progress report⁷
- Open Access Support Pack⁸ (created to share information and materials to assist in various aspects of OA-OD implementation)
- Annual meeting records of both the Data Managers Taskforce and Open Access Working Group (2015-2017)
- Minutes of CGIAR governing bodies' meetings concerning the Policy and implementation support
- Other CGIAR policy documents that have relevance to the review, IA Principles in particular
- Background documents relevant to or preceding the policy
- CG Core Metadata Schema and Application Profile. Document designed to present and offer guidance for using CG Core, the set of metadata elements used by CGIAR Research Center and CRP repositories, in order to facilitate cross-repository searching and enhance discovery of CGIAR information products through Open Access.
- Open Access/Open Data Implementation Plan template and status of existing implementation plans of the different Centers submitted to the System Management Office
- Inventory of CGIAR Consortium Members' Open Access & Data Management Practices - June 2014. A survey report on the 2014 OA/DM practices in each CGIAR Center.
- 2014 Survey results.

2.4 Stakeholder engagement plan

The review team will collect input and feedback from groups of stakeholders, focusing on a line of questions that directly relate to each group's main area of knowledge and expertise. The review team will approach the relevant stakeholders to record both factual data relevant to OA/OD through questionnaires or focused interviews to collect opinions and ideas on the issue. The team will collect data through interviews with selected stakeholders mainly from three categories:

- Decision Makers;
- Researchers;
- Data/Information managers.

The interview questions will be derived from the main review questions presented in Annex 1. They will be further elaborated towards more specific queries to the stakeholders to accommodate a structured interview approach. If it is made evident that some of the questions are not relevant to the particular interviewee they can be omitted and others can be added dynamically if the interviewee has additional feedback in a particular

⁶ CGIAR Open Access and Data Management Implementation guidelines
<http://library.cgiar.org/bitstream/handle/10947/4489/Open%20Access%20Data%20Management%20Implementation%20Guidelines.pdf>

⁷ CGIAR Open Access and Open Data Phase I (2015) Progress Report: <http://cgiarweb.s3.amazonaws.com/wp-content/uploads/2016/03/CGIAR-Open-Access-and-Open-Data-Phase-I-2015-Progress-Report.pdf>

⁸ Open Access & Open Data Support Pack: <https://sites.google.com/a/cgxchange.org/oad-support-pack/home>

direction relevant to the review objectives.

The data managers' questionnaire will aim to collect factual data from each Center as to indirectly assess the Policy implementation approach through their overall progress. This part will be based on the results of the 2014 survey which collected data for the "Inventory of CGIAR Consortium Members' Open Access & Data Management Practices" report, and provides useful insight as to the comparative progress towards the OA/OD vision of CGIAR since the announcement of the Policy. It is the intention to capture the essence of these questions in the interviews with stakeholders so as to record possible changes in the stakeholder's perspective since the announcement of the Policy as well as possible challenges to its full implementation.

The stakeholder groups are listed in the table below and for each the main approach for collecting inputs is shown.

Stakeholder group	Method of Inquiry
Senior Center and CRP Managers	Selected Interviews (4 individuals)
Researchers	Selected Interviews (6 individuals - 1 from sample of Centers)
Knowledge and Data Managers/Focal Points	Questionnaire with review questions to taskforce and working group members Selected Interviews (12-15 individuals)
Other (Partners, Donors)	Interviews with selected individuals (5-10)

The review team will triangulate evidence for addressing the evaluation questions and use its own expertise for interpretation of evidence findings and deriving at conclusions and recommendations.

3 Review Team and Governance

The evaluation will be conducted by a team of three independent external experts. The biodata of the evaluation team is provided in Annex 2. The Team Leader has final responsibility for the evaluation report and all findings and recommendations, subject to adherence to CGIAR Evaluation Standards.

The IEA is responsible for managing the evaluation, which includes planning and contribution to the design of the evaluation. The IEA is also responsible for quality assurance of the evaluation process and outputs, and for the dissemination of the results. During the preparatory phase of the Review the IEA collects background data and information. An Evaluation Manager (Sirkka Immonen), supported by an Evaluation Analyst (Jenin Assaf) will provide support to the team throughout the evaluation.

3.1 Review Schedule

Phase	Period	Main outputs	Responsibility
Preparatory Phase	March-April 2017	Terms of Reference Review team recruited Consultation with Centers/SMO	IEA
Inception Phase	April-May	Inception Report	Team and IEA
Inquiry phase	June-July	Document review, interviews and questionnaires with relevant identified stakeholders. Presentation of preliminary findings may take place at the end of this phase	Review team
Reporting phase	August-September	Draft review report circulated for comment Final Review Report	Review team

Annex 1: Review Matrix

The following table presents the approach to be used to evaluate each of the review questions, in terms of priority documents to be reviewed for each question and stakeholders to be interviewed or asked to complete a questionnaire.

EVALUATION QUESTION		INFORMATION SOURCES	
A. APPROPRIATENESS			
1.	Does the OA/DM Policy represent a concise and clear policy for OA/DM management across Centers and CGIAR System Organization?	Primary documents/data	Open Access/Data Management Policy Open Access/Data Management implementation guidelines Open Access Support Pack
		Interview/ Questionnaires	System Office Center Senior Managers and OA/DM Staff ISPC SC members IP Managers
2.	Is the scope of the OA/DM Policy appropriate given the CGIAR mandate and range of its information products and reflecting the complexity of different types of data and their respective open access issues?	Primary documents/data	Open Access/Data Management Policy Meeting records Questionnaire
		Interview / Questionnaires	System Office Center Senior Managers and OA/DM Staff Partners/ end users ISPC SC members SCIP members
3.	Do the Implementation Guidelines and associated templates for Centers and CRPs provide adequate clarity to support Centers and CRPs in moving towards full implementation of the policy?	Primary documents/data	Open Access/Data Management implementation guidelines, templates, and support information Meeting records Implementation reports (if available)
		Interview/	Center Senior Managers and OA/DM Staff

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		Questionnaires	System Office
4.	Are the Implementation Guidelines and the templates appropriate in terms of coverage and detail for clarifying the intent of the Policy?	Primary documents/data	Open Access/Open Data Implementation Plan template Status of existing implementation plans of the different centers
		Interview/ Questionnaires	Center Senior Managers and OA/DM Staff System Office
5.	Does the OA/DM Policy and implementation support reflect latest developments in open data and knowledge management to provide reasonable, cost-effective approaches for open access?	Primary documents/data	
		Interview/ Questionnaires	Center Senior Managers and OA/DM Staff System Office
B. EFFECTIVENESS			
6.	Have the OA/DM efforts (Policy, Implementation Guidelines, and support provided enhanced good practice and built a common understanding, harmonization and structure for Open Access in CGIAR?	Primary documents/data	
		Interview/ Questionnaires	Center Senior Managers and OA/DM Staff Research and Center/CRP staff System Office
7.	To what extent have the OA/DM efforts already led to more active dissemination and improved accessibility of CGIAR information products?	Primary documents/data	
		Interview/ Questionnaires	
8.	To what extent have implementation support activities and resources provided been sufficient for helping Centers and CRPs move towards full implementation of the policy in 2018?	Primary documents/data	Data managers annual meeting minutes
		Interview/ Questionnaires	Center Senior Managers and OA/DM Staff Research and Center/CRP staff System Office
9.	Have implementation and support activities for open access received adequate resourcing and necessary capacity?		
10.	Has the implementation support and guidance assisted Centers in prioritization for compliance with Open Access?		
C. Efficiency and transparency			

11.	Are the planned processes for implementing and reporting efficient and transparent?	Primary documents/data	Data managers annual meeting minutes
		Interview/Questionnaires	Center Senior Managers and OA/DM Staff IP staff Research and Center/CRP staff System Office
12.	To what extent have challenges and specific requirements been identified in preparation for compliance to the Policy and are they being addressed (these relate to, for example, resources and transactions costs, issues of capacity and existing practices among CGIAR staff and partners)?	Primary documents/data	Data Managers annual meeting records
		Interview/Questionnaires	
13.	Is there sufficient and appropriate linkages with CGIAR communities of Intellectual Assets and Knowledge Managers?	Primary documents/data	
		Interview/Questionnaires	

Annex 2 Team Profiles

Team Leader: Johannes Keizer

Johannes Keizer has more than 20 years of experience in working with science data. After his PhD in Biology he founded in 1994 "Knowledge Brokers" and contributed to some important Italian Science data projects ("Registro Nazionale Gaucher", "Archivio Stanislao Cannizzaro", "Banca Dati sui pesticidi in Italia"). While serving at FAO, he created the Pesticide registry for the Rotterdam convention, and was responsible for AGRIS ("International Information System on Agriculture Science and Technology") and AGROVOC and brought these traditional documentation tools into the Semantic Web World. He currently works with the GODAN ("Global Open Data in Agriculture and Nutrition") Secretariat and is responsible for strategic partnerships. He has published more than 100 papers in scientific journals.



Team Member: Devika Madalli

Devika Madalli is a Professor of the Documentation Research and Training Centre, Indian Statistical Institute, India and Adjunct faculty, DISI, University of Trento, Italy. She is a founding member of and served as the co-chair of the Agriculture Data Interest Group [IGAD], Research Data Alliance. Her interest lies in the area of Open Data Repositories and Data Management, Knowledge Organization, Information Systems and Infrastructures, Digital Libraries, Ontologies, Content Management System, multilingual information services and e-learning. She served as a member of a high level evaluation committee of UNFAO's statistical database and information services, FAOSTAT. She is a member of the Karnataka Evaluation Authority. She contributed to UNESCO's Global Open Access Portal (GOAP). She is also the Chair of the OpenAccessIndia forum. She is on the advisory board of Universal Decimal Classification. She served as a member of the G8+06 Data infrastructures working group hosted by European Commission. Currently Dr. Madalli is a technical advisory board member of the Research Data Alliance.

