INFORMATION AND KNOWLEDGE MANAGEMENT FOR CLIMATE CHANGE (IKM4CC)

Guideline 3: Sourcing and Sharing Information

Griffith UNIVERSITY
Queensland, Australia

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SPREP
Secretariat of the Pacific Regional Environment Programme

Information and Knowledge Management for Climate Change (IKM4CC)

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Griffith University

and

Secretariat of the Pacific Regional Environment Programme (SPREP)

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Griffith University. *Managing Climate Change Adaptation Data and Information: A Reference Guide for Element 2, Stream 2 Projects.* Available at: https://www.terranova.org.au/repository/managing-climate-change-adaptation-data-and-information/managing-climate-change-adaptation-data-and-information-a-reference-guide-for-natural-resource-management-nrm-projects

Information and Knowledge Management For Climate Change (IKM4CC) Guideline 3: Sourcing and Sharing Information

Contents

ABOUT THIS GUIDELINE

This guideline is part of the Information and Knowledge Management for Climate Change (IKM4CC) Guidelines. The purpose of the Guidelines is to help government departments, and other agencies and organisations that deal with issues related to climate change in the Pacific region, to implement good practices for managing information. They have been developed in consultation with representatives from government departments, NGOs and regional organisations based in the Pacific.

While the Guidelines focus on the management of digital data and information and the challenges posed by the electronic information environment, many of the concepts can also be applied to paper-based information.

This guideline focuses on different ways in which organisations can source and share climate-change related information. It discusses and provides sample templates for data stocktakes, asset registers and data sharing agreements. It also highlights some of the issues that need to be addressed when making information available to the public.

USAGE

Throughout this document the following usage applies:

- the term *information* is used to include data, information, information assets and knowledge. The terms *data*, *knowledge*, and *information assets* are only used when specific reference is required.
- the term *organisation* is used to include a variety of organisation types including government departments, intergovernmental organisations, non-government organisations, regional bodies and public and private agencies. Individual types of organisations are used only when specific reference is required.
- The term *item* is used to refer to an individual information resource. Items can include resources such as books, reports, articles, films, maps, photographs, transcripts, audio or video recordings, and datasets. Items can come in a variety of formats, such as paper, CD, cassette tape, videotape, DVD, and online databases.

SOURCING EXISTING INFORMATION

Information relevant to climate change and disaster risk management is often fragmented across multiple government departments, non-government organisations, research institutions and online repositories. Information officers and knowledge managers will most likely need to source information from outside of their department or division.

This may involve a variety of approaches, including:

- Doing a **stocktake** to discover what information resources your own organisation or other organisations hold (both print and digital resources).
- **Dealing directly with other government departments or organisations**. Information sharing can take place via formal memoranda of understanding or data sharing agreements, or informally via working groups, mailing lists or personal relationships.

- Using **web-based search engines** like Google. These can be used to find technical reports, project reports, government reports and policies. For more information and tips on advanced Google search techniques, see Appendix I.
- Searching **fee-based subscription databases** like Web of Science, OARE, Proquest and Science Direct. These databases may be available through your local university campus or organisation library.
- Using **scholarly search engines** like Google Scholar (https://scholar.google.com) and Microsoft Academic Search (http://academic.research.microsoft.com/). These are free services that search through scholarly information such as academic journal articles, and sometimes provide free access to the full text of articles.
- Searching **government or organisational websites and repositories**. Some government departments and many regional organisations, NGOs and inter-governmental organisations maintain web-based knowledge banks and data repositories.
- Searching **discipline-based websites and repositories**. There is an increasing number of climate change-related online repositories available. Some focus on the Pacific region while others are more international in scope. A list of key repositories is included in Appendix II.
- Using a **library catalogue**. Your country may have a national library where local information is collected and catalogued. You may find reports, theses, and historical information there.

INFORMATION STOCKTAKES / AUDITS

Some organisations keep a register or catalogue of key data and information they have produced or collected. If there is no up-to-date record of existing information, you may need to do a stocktake or audit to discover what information is available, even in your own organisation. Doing a data stocktake can be daunting, especially in an area like climate change, as it can be hard to know where to start and stop your search. The more thoroughly you plan your stocktake, the more successful you're likely to be.

KEYS TO A SUCCESSFUL STOCKTAKE

1. **Define your stocktake**. Try to answer these questions:
    - *Need*. Why am I doing this stocktake? What is the need?
    - *Aims*. What are the aims? e.g. "to provide an overview of the environmental data and reports that are currently available in Vanuatu. This information will be used to undertake an analysis of the gaps and overlaps so that initiatives to address the issues can be prioritised"
    - *Scope*. What is the scope? What types of information and data do I want to collect? How far back in time to I need to go? What topics are of interest? What departments or organisations will be targeted? What formats will be included? Is there anything that will be excluded?
    - *Methodology*. How will I collect the information? Will I send out questionnaires? Conduct telephone interviews? Arrange a personal visits? Make recordings of the interviews? Arrange for a colleague to accompany me to write down the information discussed?
2. **Speak to the right people.**
    - Does your contact have the knowledge and authority to give you the information you need? Do you need to speak to more than one person, e.g. a director and an information officer?

3. **Use a template to record information.** A template will prompt you to ask for all the information you need. A sample template is provided in Appendix III. Key things to record include:
    - identification number or name of information resource
    - current resource location
    - custodian or asset manager
    - access to resource – steps involved, level of access available, any sensitivities
    - any formal or informal sharing arrangements in place
4. **Do some background research and brief your interviewees beforehand.**
    - Do they already have a website where they provide information to the public? Do they provide data or information to any other organisations? e.g. National Statistics Office, international bodies like FAO.
    - Explain the purpose of your stocktake so they can prepare for your visit
5. **Emphasise the benefits or importance of sharing information, not only to your country but also to the organisation you are speaking to e.g.**
    - you might provide them with an opportunity to showcase or publicise their information
    - they might spend less time dealing with ad hoc requests for data and information

INFORMATION ASSET REGISTERS

If you do a stocktake or audit of your own organisation or department, you should document what you've found in a spreadsheet or database. This is known as an information asset register. An information asset register is a list of information assets held by an organisation. It doesn't contain the information assets themselves, only the "metadata" about the assets.

An asset register doesn't have to record every single dataset or document your organisation holds. It can record information at a higher level, e.g. "Climate Change Adaptation Project Documents", "Training Programs", "Disaster Risk Management Awareness Materials", "Meteorological Data".

An information asset register should be reviewed regularly and kept up to date. You should appoint people to own and maintain the register.

An asset register should capture at least the following information, though you may want to include more:

- type and volume of information
- where the information is held (e.g. filing cabinet, library or resource room, network drive, collaboration software, Electronic Document and Records Management System)
- any sensitivities or access restrictions
- any software, systems or technologies it relies on (if digital)
- disposal action (e.g. transfer to National Archives)
- why the information should be kept (e.g. for legal or regulatory reasons)
- contact person (this could be the person who has authority over the information or is in charge of looking after it)

A sample register is provided in Appendix IV.

Case Study: Pacific iCLIM Data & Information Stocktake in Fiji, Tonga and Vanuatu

In 2015, the Pacific iCLIM Project assisted the Fiji, Tonga and Vanuatu Government Climate Change Divisions to plan and conduct stocktakes, with the aim of creating inventories of national data and information relevant to climate change activities. Before starting the stocktakes, the need, aims, scope and methodology were defined.

Need:

During data sharing workshops, it was identified that government officers, consultants, NGO project workers, researchers etc working in the Pacific region often have difficulty finding and accessing the information they need to do their job. Personal contacts change rapidly and informal information sharing arrangements break down easily.

Aims:

- discover what data and information assets related to climate change planning and decision making were being created and held within departments or organisations
- explore how those data and information assets were currently stored and shared
- identify the custodian or contact point for these information assets
- identify any risks e.g. sensitivities, confidentiality, misuse around these assets
- learn about departmental attitudes towards data and information sharing
- identify any opportunities for increased exposure or sharing of information
- compile an inventory of this information and share as appropriate
- improve accessibility to this information where possible (through the national climate change portals)
- build and strengthen positive relationships between climate change departments and other government departments and agencies on which they depend for information
- increase awareness and promote the concepts of information sharing and open data.

Scope:

Given that a wide range of information and data is potentially relevant to climate change planning and decision making, the stocktake was interested in any information, statistics, maps or data, in any format, covering the areas of:

- agriculture, forestry and fisheries
- disaster risk management
- economic development
- education, employment and training
- energy
- governance and policy
- health and social development
- human settlements, e.g. land tenure and use
- industry, e.g. tourism, transport, waste management
- infrastructure
- materials and waste
- meteorology and weather
- natural resources and the environment (land and water)
- water treatment, storage and supply

Methodology:

One-on-one visits were arranged by email or phone. Visits were made by 3 information officers, one from the national Climate Change Department, one from SPREP and one from Griffith University. A template was used to record the data and information resources discussed during the interviews. Information was compiled into an inventory created in Microsoft Excel. All interviewees were given the chance to review their information before the inventory was finalised and published.

The Stocktake Report can be downloaded via the Pacific Climate Change Portal: http://www.pacificclimatechange.net/document/pacific-iclim-climate-change-data-and-information-stocktake-fiji-tonga-and-vanuatu-june.

WHAT IS DATA AND INFORMATION SHARING?

Data and information sharing is the transfer of data or information between two or more parties. It has been taking place for many years across governments, research bodies, business and other agencies.

WHY SHARE PUBLIC SECTOR INFORMATION?

By sharing public sector information across government, different departments can work together to best respond to complex policy challenges and improve service delivery. The sharing of information can help to:

- build a comprehensive picture of a country's economy, society and environment and identify any information gaps
- support informed, evidence-based decision-making and policy-making by governments
- save time and money by avoiding the need to continually re-create knowledge
- realise the full potential and maximize the value of information
- improve disaster preparedness and response

Although there are often short-term or ongoing costs involved in sharing public sector information, the long-term benefits and savings to a country are generally greater than the costs[1].

Information sharing: changing mindsets and organisational cultures

Managing information so it can be shared and reused may require changing mindsets and organisational cultures.

Staff may need to move from:

- being secretive to being open sharers of information
- regarding information as their personal property to thinking of it as corporate (or citizens') property.

Successful change involves:

- convincing staff that managing and sharing information will benefit the organisation and the community
- executives clearly communicating, modelling and enforcing expectations.

(adapted from PARBICA Recordkeeping for Good Governance Toolkit Guideline 19: Implementing a Digital Recordkeeping Strategy)

FORMALISING SHARING BETWEEN ORGANISATIONS: DATA & INFORMATION SHARING AGREEMENTS

In many Pacific countries, data and information sharing arrangements are informal, ad hoc and rely on personal contacts across organisations, which tend to change rapidly and therefore break down easily[2]. A formal agreement can be used to:

- strengthen an existing informal sharing arrangement
- support the establishment of a new arrangement
- establish a clear purpose for sharing information
- outline agreed standards and procedures for managing and sharing information.

[1] Houghton, J, 2011. Costs and benefits of data provision: report to the Australian National Data Service. Melbourne, Centre for Strategic Economic Studies, Victoria University.

[2] Brown, RA et al 2015, Barriers to effective adaptation and resilience planning in the Pacific: an information management perspective, Griffith University, Queensland and SPREP, Samoa.

WHAT DOES AN AGREEMENT LOOK LIKE?

A data and information sharing agreement can take many forms, depending on the type of information to be shared and the purpose and intent for sharing it.[3] Some types of data/information sharing arrangements include:

- for a one-off exchange: letter of exchange, one-off data/information sharing agreement
- for an on-going exchange: memorandum of understanding or head of agency agreement, often supported by one or more data/information sharing agreements
- when an exchange of money is involved: legal contract

KEY COMPONENTS OF DATA AND INFORMATION SHARING AGREEMENTS[4]

Data and information sharing agreements should clearly state the terms and conditions for use of the data and information to be shared. The table below outlines the key components that will typically be included in an agreement. A sample Data Sharing Agreement is provided in Appendix V.

Aims and purpose	It is important to have a clear and common understanding of what information is to be shared and why.
Data/information definition	It is critical that all parties to the agreement have a common understanding of the information being shared, including metadata.
Legal restrictions	Sharing agreements must comply with legislation and other consent-based restrictions. The relevant legislative and consent-based restrictions should be documented in a sharing agreement.
Governance	A sharing agreement should include details about how decisions are made and by whom, including termination conditions.
Access issues	Include details of who will share information and how it is to be shared; this is important to ensure compliance with legal and legislative issues and maintain community trust.
Data quality	Clearly outline the quality of data to be provided so that data is used appropriately and transparently.
Data/information management	Describe relevant data/information management systems and processes including data transfer, metadata, data security and access registers.
Costs	In some cases, costs may be associated with a sharing agreement. Include details of any costs, including a payment schedule.

Table 1. Key components of a data/information sharing agreement

[3] Queensland Government. n.d. Principles for Data and Information Sharing Tip Sheet 5: Establishing a Data Sharing Agreement. Brisbane, Queensland Government.

[4] Modified from Australian Bureau of Statistics National Statistical Service 2009, A Good Practice Guide To Sharing Your Data With Others, Version 1, November 2009, Australian Bureau of Statistics National Statistical Service, Australia.

SHARING INFORMATION WITH THE PUBLIC: "OPEN DATA"

Most governments already share some data and information with their citizens, for example through their Statistics Bureaus and various annual reporting activities. Around the world, more governments are moving towards making data and information open by default[5]. "Open data" is data and information that is widely available to the public (usually via the internet), in formats that people can easily locate, understand, use and reuse.

Before sharing data and information with the public, organisations need to think about the following issues:

Access. Who will be able to view the information? Does some information need to be kept private for security or ethical reasons? Do licences or other terms of use need to be applied to information to tell people exactly what they can do with it?

Privacy. Does the information reveal things about citizens that need to be kept private? How can the information be released in ways that protect citizen privacy?

Metadata. How will users find the information they need? Metadata provides a common language to describe the data – what metadata will be used?

Standards. What is the national standard for certain information types? Do ministries use formats that are compatible with each other? If there are problems with standards and data translation, what is the standard that the country will follow?

Stewardship. Who will be a steward or custodian of the information and ensure its quality and relevance? Information custodians or managers will be needed to manage, describe and refresh information collections.

Cost: who will pay for the implementation? Will there be a loss of revenue from making information free when before it was provided at a cost?

Case Study: Sharing Project Information via the Vanuatu NAB Portal

The National Advisory Board on Climate Change and Disaster Risk Reduction (NAB CC/DRR) is the overarching policymaking and advisory body for all CC and DRR programs & projects in Vanuatu.

The NAB Portal is a centralised online website and repository for storing and sharing information about current and past CC/DRR programs, projects and activities. Making this information accessible enables Vanuatu to:

- centralise and streamline CC/DRR project management and endorsement
- avoid duplication of effort by Government and partners
- ensure donor funds are directed and spent wisely
- undertake gap analysis and future planning
- maximise the availability and use of project reports, case studies and lessons learned in planning and decision-making.
- inform people about the latest CC/DRR news and upcoming events

The NAB Portal can be found at www.nab.vu

Some of these issues are discussed in more detail in the **IKM4CC Guideline 4: Metadata** (metadata and standards) and the **IKM4CC Guideline 5: Copyright, Legal and Ethical Issues** (access and privacy).

[5] See the OPG Declaration at http://www.opengovpartnership.org/about/open-government-declaration

APPENDIX I: ONLINE SEARCHING TIPS & TRICKS (HOW TO FIND RESOURCES ON THE INTERNET)

Searching for information on the internet or via online databases can be difficult and overwhelming. These advanced search techniques will help you to find what you are looking for. They will work in many different search engines and databases.

1. **Use AND/OR in your searches – also known as Boolean searching (use CAPITAL LETTERS to make sure that the search engine understands your commands)**

   Fiji AND Climate - will look for documents which contain BOTH words

   Fiji OR Climate – will look for documents which contain EITHER word (but not necessarily both)

2. **Look for an exact phrase using "" quotation marks**

   "climate change adaptation" – will look for the EXACT phrase as you have typed it

   climate change adaptation – will look for the words in ANY ORDER and not necessarily next to each other

3. **Use () Brackets to search for keywords in a specific order**

   (Fiji OR Vanuatu OR Tonga) AND resilience – will first look for all documents that mention EITHER Fiji, Vanuatu or Tonga, and will then narrow the results by looking for the word resilience in any of those documents

   (Fiji OR Vanuatu OR Tonga) AND (resilience OR adaptation) - will look for all documents that mention EITHER Fiji, Vanuatu or Tonga, and will then narrow the results by looking for EITHER the word resilience or adaptation in any of those documents.

4. **Combine advanced search techniques**

   You can combine these basic techniques to construct a complex search:

   (Fiji OR Vanuatu OR Tonga) AND ("climate change" OR "disaster risk") AND ("case study" OR "lessons learned")

   Vanuatu AND "climate change" AND adaptation

   Pacific AND "climate change" AND (adaptation OR mitigation OR risk OR vulnerability)

   (Pacific OR Fiji) AND "climate change" AND "educational resource"

   (N.B. when searching Google, you don't actually have to put in the word AND, but you do need to use the word OR in capital letters)

   i.e. *Fiji "climate change"* is the same as typing *Fiji AND "climate change"*

5. Search for particular sites or domains

It's possible to tell Google exactly what domains or websites to search by adding the command "site:" followed by the domain, to the end of your search.

Fiji AND "Climate change" site:.fj – will only search websites that end in .fj

Vanuatu AND "climate change" site:.unep.org – will only search websites that end in .unep.org

Tonga AND "climate change" site:.org – will only search websites that end in .org

6. Search for particular types of material

It's possible to tell Google exactly what document formats you want to find by adding the command "type:" followed by the file extension, to the end of your search.

Fiji AND "climate change" type:.pdf – will only return PDF documents in the results

7. Combine Domain and Format in a single search

You can combine domain and format searching to return a particular sort of document from a particular type of site.

Fiji AND "climate change" site:.unep.org type:.pdf – will return PDF documents from any .unep.org websites

APPENDIX II: KEY CLIMATE CHANGE RELATED WEBSITES AND REPOSITORIES

Pacific Region

PACGEO http://www.pacgeo.org/ An open access geospatial data repository for the Pacific Region providing premier geophysical, geodetic, and marine spatial data sets. From SPC.

PCCP (Pacific Climate Change Portal) http://www.pacificclimatechange.net/ The largest and most comprehensive information resource for Climate Change for Pacific Island Countries. Maintained by SPREP.

PDN (Pacific Disaster Net) http://www.pacificdisaster.net/pdn2008/ The largest and most comprehensive information resource for Disaster Risk Management for Pacific Island Countries. From SPC.

PRDRSE4ALL (Pacific Regional Data Repository for Sustainable Energy for All) http://prdrse4all.spc.int/production/ Access to up-to-date, reliable energy data, project information and reports. From SPC.

SPC Digital Library http://www.spc.int/en/digital-library.html Access to downloadable documents produced by SPC as well as climate change related documents from other publishers.

Other regions/worldwide

CAKE http://www.cakex.org/ A shared knowledge base for managing natural and built systems in the face of rapid climate change. Case Studies, Reports, Tools. North American and North Pacific focus.

Caribbean Community Climate Change Centre http://www.caribbeanclimate.bz/ A repository and clearing house for regional climate change information and data aimed at the Caribbean Community Member States.

CDKN (Climate & Development Knowledge Network) http://cdkn.org/ Policy briefs, lessons learned, case studies, research and technical reports, guides and videos on climate compatible development from around the world.

ELDIS http://www.eldis.org/ "Our aim is to share the best in development policy, practice and research".

FAO Climate Change http://www.fao.org/climate-change/resources/publications/en/ Publications, presentations, infographics, multimedia resources from the Food and Agriculture Organisation.

Humanitarian Response https://www.humanitarianresponse.info/en/operations/pacific-region Documents, maps, infographics, datasets, provided by UN OCHA to support humanitarian operations in the Pacific and worldwide.

OKR: The World Bank Open Knowledge Repository https://openknowledge.worldbank.org/ The World Bank's official open access repository for its research outputs and knowledge products.

PreventionWeb http://www.preventionweb.net/english/ Serving the information needs of the disaster reduction community. Publications, educational materials, data and statistics. From UNISDR.

World Bank Documents and Reports http://documents.worldbank.org/curated/en/home contains more than 145,000 World Bank documents which are made available to the public to better share the institution's knowledge base.

World Bank Group Climate Change Knowledge Portal for Development Practitioners and Policy Makers http://sdwebx.worldbank.org/climateportal/

APPENDIX III: SAMPLE DATA STOCKTAKE TEMPLATE

This template was designed by the Pacific iCLIM Project for use during its Climate Change data and information stocktake carried out in Fiji, Tonga and Vanuatu in 2015.

Section/Question	**Available responses**
General information	
Date	
Department or Organisation	
Name of Interviewee	
Do you think that your department produces or holds any information relevant to climate change?	Yes/no/not sure
Is there any inventory or record of what information is produced or held by your department?	Yes/no/not sure/details
Does your department/organization have a nominated information/knowledge manager or data custodian?	Yes/no/not sure/details
Copyright and licensing: - Does your department/organisation use any licences or other terms and conditions of use on their information before they release it?	yes/no/not sure/details
Do you have any MOUs or data sharing agreements in place with other departments or organisations?	Yes/no/not sure/details
Information asset description	
Information ID	An ID number assigned by the interviewer e.g. FJCCD001
Title of information asset	
Description of information asset	
Individual item?	(tick)
Collection? e.g. set of related documents, collections of data over time	(tick)
If a Collection - how many individual items in collection?	
Publication Year/ age of material	
Material type	eg datasets, output from technical instruments, images, GIS data, video, powerpoint presentations, maps, inventory or directory, case studies, lessons learned, fact sheets, vulnerability assessments, EIAs, M&E reports, project outputs, educational materials
Format of material	e.g. paper copy, pdf, jpeg, arcgis format, csv, xls
Does the material need proprietary/special software to access or read information?	e.g. Excel, ARCGis software, SPSS

Information storage and custodianship	
Electronic material only - Where is the information stored?	e.g. Hard drive of laptop or PC, external hard drive, local server, ICT server, third party storage (in country or cloud-based), CD/DVD, USB/flash drive, other
Print material only - where stored?	e.g. library, records office, personal office, other (Please specify)
Electronic material - size (MB)	
Information owner	Name of Department or Office
Information holder/custodian	Name of Department or Office
Is there a nominated contact person?	yes/no/not sure/details
Is there any planned retention period?	yes/no/not sure/details
Information sharing and accessibility	
Current accessibility: who has access to the information at the moment?	e.g. shared with public, other govt depts, regional organisations, NGOs, commercial organisations, within Dept only
Are there any data sharing agreements or MOUs in place to formalise sharing arrangements?	yes/no/not sure/details
If you currently share this information, is it sold or shared free of charge?	sold/free/details
How do you currently provide the information to user groups?	e.g. information already on a website, via email, photocopies provided, put files on CD or USB stick
Do you have any concerns about sharing the information?	e.g. commercial value, Intellectual Property Rights, danger of misinterpretation, time/effort required to prepare, data not fully documented, data in a format that is no longer widely readable, ethical sensitivities (e.g. Traditional Knowledge, confidentiality restrictions), national security sensitivities
Access controls - Is there a need to restrict or control access to the data to or from particular parties?	yes/no/details e.g. licensing restrictions already in place that prohibit sharing, not for commercial use
Embargo period - Is there an embargo period before releasing the information publicly, and if so how long an embargo would be needed. What is the nature of and reason for the embargo?	yes/no/details
Copyright and licensing: - Is there any licence or other terms and conditions of use applied to this information?	yes/no/details
If this information is not currently shared, would you be willing or motivated to have it listed on the climate change Portal?	What are the interviewee's feelings/reservations/willingness towards sharing the information via the Portal?
Level of sharing - If you are willing to have this information asset listed in the CC Portal, what level of sharing would you be happy with?	1. The information is not online, but the Portal can tell people the information exists and who to contact to get access to it. 2. The information is not online but the Portal can hold a copy of the information in full. 3. The information is already online elsewhere and the Portal can point to it.

APPENDIX IV: SAMPLE INFORMATION ASSET REGISTER[6]

Name of asset	What does it do	Location	Owner	Volume	Personal data	Access	Shared	Format	Retention	Risks / impact
e.g. Climate Change Mitigation Projects	These record all mitigation projects authorised by the Climate Change Division since 2010	In shared network drive filepath: x:\abc:\defg \CCM Projects	[Name] Head of Climate Change Division & Information Asset Owner	50 proposals and reports	No	Access is restricted to named individuals in Project Management Team, plus X, Y and Z job roles	Information is shared with X, Y and Z bodies under the agreed 2012 information sharing agreement	Emails, PDF documents, Excel spreadsheets, PDF copies of correspondence	70 years as per Archives Act	Loss of Confidentiality: Loss of Availability: Loss of Integrity:
e.g. Schools Risk Awareness Survey, 2014	Records raw data from survey conducted in 2014 with 15 schools in Tonga	In shared network drive filepath: x:\abc:\defg \Schools Risk Survey	[Name] Head of Climate Change Division & Information Asset Owner	15 datasets and 5 reports	Yes; includes personal data	Access is restricted to named individuals in Project Management Team, plus X, Y and Z job roles	Anonymised summary reports are shared with X, Y and Z bodies under the agreed 2012 information sharing agreement. Raw data not to be shared.	PDF documents, Excel spreadsheets	70 years as per Archives Act	Loss of Confidentiality: - privacy impact

[6] Modified from The National Archives UK Information Asset Register Template, available at http://www.nationalarchives.gov.uk/information-management/manage-information/policy-process/disposal/find-out-what-information-you-have/

APPENDIX V: SAMPLE INTER-AGENCY DATA SHARING AGREEMENT[7]

THIS AGREEMENT is made this *day/month/year* between ***Government Department X***, and ***Government Department Y***.

Requestor:
Agency Name: *Government Department X (hereinafter referred to as GDX)*
Agreement Administrator Name:
Title:
Address:
Phone:
Email:

Data Provider:
Agency Name: *Government Department Y (hereinafter referred to as GDY).*
Agreement Administrator Name:
Title:
Address:
Phone:
Email:

1. **Purpose** [this section should state in non-technical language the purpose(s) of both parties entering into the agreement, e.g. background information to contextualise the purpose of the data sharing, how the data will be used, or what the desired outcomes are perceived to be as a result of obtaining the data].

Sample language:

- *"to establish mutual trust between the GDX and the GDY on the supply and sharing of climate change related data and information"*
- *"to establish the most adequate, cost-effective, efficient and secure process to openly and safely share and maximise the use of climate change related data and information from data providers"*
- *"to encourage the collaboration between GDX and GDY to develop and improve access to data that Pacific Island Countries will be able to use to build sustained long-term planning and decision making"*

2. **Definitions** [this section should define terminology used in the agreement]

Sample definitions:

The following definitions apply to this agreement:

Parties – referring to GDX and GDY.

Agreement - this Data Sharing Agreement, including all documents attached or incorporated by reference.

Data – unstructured collection of facts and figures which are quantitative or qualitative in nature, for example, energy resource data or fuel prices.

Data Encryption - ciphers, algorithms or other encoding mechanisms that will encode data to protect its confidentiality. Data encryption can be required during data transmission or data storage depending on the level of protection required for this data.
Data Storage - the state data is in when at rest.

[7] Section headings and sample text are taken in part from the following documents:
SPC Data Sharing Agreement for the Pacific Regional Data Repository (PRDR) Initiative, used with permission from SPC.
Data Sharing Agreement Between State of Washington Office of Financial Management and XXXX (available at http://www.erdc.wa.gov/sites/default/files/ERDC-DataSharingAgreementTemplate.docx)
Sample Interagency Data-Sharing Agreement, Centers for Medicare and Medicaid Services (available at http://www.cdc.gov/cancer/ncccp/doc/SampleInteragencyDataSharingAgreement.doc)

Data Provider – Any national, regional and international agency, institution and individual(s) that produces or owns data and information.

Data Repository - A central place where data and information collected from the data providers is securely stored and maintained.

Data Transmission - the methods and technologies to be used to move a copy of the data between systems, networks, and/or workstations.

Database – structured set of data where data is converted to standard formats or units.

Information – are structured data. For data to become information, the data must be contextualized, categorized, calculated and condensed which are made available as tables, data sets, and reports.

Metadata – set of data that describes and gives information about other data.

Personally Identifiable Information - information that can be used to distinguish or trace an individual's identity, such as their name, Social Security Number, student number, biometric records, etc. alone, or when combined with other personal or identifying information which is linked or linkable to a specific individual, such as date and place of birth, mother's maiden name, etc. Personally Identifiable Information also includes other information that, alone or in combination, would allow a reasonable person in the community, who does not have personal knowledge of the relevant circumstances, to identify the person with reasonable certainty.

3. **Period of Agreement**

Sample language:

- *"this Agreement shall remain in force until modified by mutual consent" "This Agreement shall begin on (date), or date of execution, whichever is later, and end on (date), unless terminated sooner or extended as provided herein."*

4. **Description of Data** [provide specific detailed information concerning the data or information to be shared or exchanged]

5. **Intended use of the Data shared and/or collected** [provide specific detailed information concerning the use of the data or information to be shared or exchanged]

Sample language:

- *"the data will be made publically available on repository XX in pdf format to enable stakeholders to access, download, use and reuse climate change related information for the purposes of evidence-based planning and decision-making"*
- *"the data will be used to create publically available vegetation and land use maps of Vanua Levu in a variety of GIS formats"*

6. **Constraints on Data Use** [provide any constraints on what the requesting organisation can do with the data]

Sample language:

- *"all data and information provided to GDX will be publically available and there will be no constraints on its access or use"*
- *"raw data will not be released outside of GDX, however summary tables will be made accessible to the public"*
- *"data provided by GDY cannot be re-disclosed, duplicated or sold by GDX unless specifically authorised in this Agreement"*

7. **Method of Data Access or Transfer** [provide the method of data access or transfer and details of any safeguards that will be established to assure the confidentiality and security of any individually identifiable records during transfer]

Sample language:

- *"acceptable methods of data transfer to and from GDX include the following: email attachments through secure email; hardcopy; softcopy on flash-drive, CD or DVD; download from official websites"*
- *"all data must be encrypted during data transmission. All data transfers to/from GDX shall be transmitted using the Consolidated Technology Services FTP Service with login and hardened password security"*

8. **Location of Shared Data** [Specify where and how the data will be stored and maintained]

Sample language:

- *"GDX agrees to store the data on one or more of the following media and protect the data as described:…"*
- *"GDY data shall not be stored by GDX on portable devices or media unless specifically authorised within this agreement"*
- *"Data will be stored on the GDX web server and will be backed up nightly via the Government Data Centre which provides private cloud storage"*

9. **Data Security** [specify how data security will be maintained]

Sample language:

- *"all data provided by GDY shall be stored on a secured environment with access limited to the least number of staff needed to complete the purpose of this Agreement"*
- *"The GDX and the GDY will apply the same defined levels of data security as are currently applied within their organisations in order to ensure that data security is upheld at all levels for access, storage, retrieval and dissemination of information"*

10. **Custodial Responsibility** [specify which party will be designated as data custodian and what their responsibilities towards the data will be]

Sample language:

- *"the parties mutually agree that the GDX will be designated as 'custodian' of the data and will be responsible for the observance of all conditions for use and for establishment and maintenance of security agreements as specified in this agreement"*
- *"as the host of the xx repository, GDX will provide overall oversight of the data collection process through the team based in yy"*

11. **Confidentiality** [specify how access to confidential, sensitive or personal information will be limited]

Sample language:

- *"prior to posting data on the xx website, GDX will verify the data provided to ensure that sensitive information (e.g. personal identity, calculation methodologies) are removed from the datasets"*
- *"GDX shall exercise due care to protect all Personally Identifiable data from unauthorised physical and electronic access"*
- *"access to metadata will be public, however access to datasets will be upon application to custodian only"*

12. **Financial Costs of Data Sharing** [state in detail how the costs associated with the sharing or transfer are to be met. If the partner providing the requested data is agreeable to absorbing costs then that should be noted here. If there are extra costs to be assumed, the parties need to specify here how they will be met. If the requesting party is to bear the burden of specific extra costs, these special requirements are to be formalised in this section]

Sample language:

- *"no costs should be incurred for data sharing since the data targeted have already been compiled internally by the provider"*
- *"cost of metadata creation for datasets will be borne by GDX"*

13. **Amendment and Termination** [specify how parties can amend or terminate the Agreement]

Sample language:

- *"with mutual consent, GDX and GDY may amend or terminate this Agreement at any time, provided that the amendment is in writing and signed by authorised staff."*
- *"any party to this Agreement that wishes changes shall inform the other in writing regarding the changes being requested"*

14. **Disposition of Data** [state in detail how, if and when data will be destroyed]

Sample language:

- *"the expiration of this agreement does not imply the end of data use. Data will still be stored in the repository to provide useful historical information for purposes outlined in Section 1. above"*
- *"in the case of termination, any and all information provided by GDY shall be returned to GDY or destroyed on or before the date of termination. Written notification of destruction to GDY is required."*
- *"upon termination of this agreement, GDX shall dispose of the data received and provide written notification of disposal. Acceptable destruction methods for various types of media include…."*

15. **Signatures**

Sample language:

- *"the signatures below indicate agreement between the parties"*
- *"we agree to the terms and conditions of this Data Sharing Agreement and sign below"*

GDX	***GDY***
Signature	*Signature*
Printed Name	*Printed Name*
Title	*Title*
Date	*Date*