

Grid view

#	Ostrom's principles	Description (from Ostrom design principles)	1.	2.	3.	4.	5.	6.	7.	8.
1	1. Boundaries	1. Clearly defined boundaries. Individuals or households who have rights to withdraw resource units from the common-pool resource (CPR) must be clearly defined, as must the boundaries of the CPR itself.	1.1 Is there a clear purpose? is there a stated purpose for the creation of the data commons and for the collection and use of the data? *Is the underlying rationale for creating the data commons clearly set out?	1.2 Are contributors defined? Is it clear who are the stakeholders who contribute data or who the data is about? *Are there stakeholders who are not contributors? Are all the stakeholders' roles defined?	1.3 Are beneficiaries defined? Is it clear how stakeholders use the data or benefit from its use?	1.4 Is there a clear scope? Is it clear what kinds of data are handled and in what context?	1.5 Are values defined?			

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2	2. Rules	2. Congruence between appropriation and provision rules and local conditions. Appropriation rules restricting time, place, technology, and/or quantity of resource units are related to local conditions and to provision rules requiring labor, material, and/or money.	2.1 Organisational Model: are there clear rules defining the rights, duties and authority of the different stakeholders in the organisation?	2.2 Funding rules: are there rules around how the data commons is funded or supported?	2.3 Spending rules: are there rules around how money can be spend?	2.4 Data storage and security rules and mechanisms: are there rules that govern what methods and tools are used to store, secure and protecting the integrity of the data?	2.5 Data collection and production rules and mechanisms: are there rules to govern how data can be collected or produced and by who, how is the integrity of the data is protected and how can data be changed?	2.6 Data access rules and mechanisms: are there rules in place to govern who can access the data, in what way, for what purpose and duration? *Is there a difference between how contributors, other stakeholders (if any), and the general public can access the data i.e. rights of exclusion?	2.7 Data use rules and mechanisms: are there rules in place to govern who can use the data, in what way, for what purpose and for what duration? *Is there a difference between how contributors, other stakeholders (if any), and the general public can use the data i.e., rights of exclusion?	2.8 Data licensing: are there rules in place to govern what license is applied, stipulating which terms for use of data, adaptation, etc. *Is there a default intellectual property license attached to contributed data? Is it clearly specified how contributors can deviate from the

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										default license e.g. a specified list of licenses? Do the rules allow contributors to attach a license or other terms to the data they contribute that deviate from specified options?

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3	3. Collective choice	3. Collective-choice arrangements. Most individuals affected by the operational rules can participate in modifying the operational rules.	3.1 Stakeholder participation and involvement: are there means through which the perspectives of stakeholders (including data users, data producers, and potentially data subjects) are articulated, and interests represented?	3.2 Governance body: is there a body through which decisions about the organisation are made and are there platforms for making decisions? Includes: discussion platform, voting rules, membership rules	3.3 Governance decision-making process: is there a clear process that describes how decisions about the organisation and its representation are made and updated?	3.4 Data decision-making process: is there a clear process that describes how decisions about data collection, storage, access and use are made and updated?				

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4	4. Monitoring	4. Monitoring. Monitors, who actively audit CPR conditions and appropriator behavior, are accountable to the appropriators or are the appropriators.	4.1 Are there mechanisms to ensure data quality and integrity? E.g. to monitor data accuracy, precision and detail.	4.2 Are there mechanisms in place to monitor the collection and production of data? Is it clear how the commons conducts oversight of data collection and production and at what time intervals?	4.3 Are there mechanisms in place to monitor the security of the architecture? are there mechanisms in place to monitor security breaches, hacks and misuse are monitored.	4.4 Are there mechanisms to monitor access to data and use of data? Are there mechanisms in place to monitor mode of access, length of access, type of use, purpose of use etc. at specific time intervals (or continuously)?	4.5 Are there mechanisms to ensure monitoring processes comply with purpose and values:? e.g. are there mechanisms in place like external audits to determine fitness of compliance monitoring with organizational mission?	4.6 Are there mechanisms in place to ensure compliance with business rules and rule of law?	4.7 Are there mechanisms in place to identify actors? e.g. are actors logged into online services or otherwise identified?	4.8. Is it clear when audits will be conducted by external or internal auditors?

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5	5. Graduated sanctions	5. Graduated sanctions. Appropriators who violate operational rules are likely to be assessed graduated sanctions (depending on the seriousness and context of the offense) by other appropriators, by officials accountable to these appropriators, or by both.	5.1 Do rules related to data collection and production have a corresponding set of accountability measures?	5.2. Do rules/licenses related to data access and use have a corresponding set of accountability measures? e.g. privately reaching out, publicly naming and shaming, going to court >> how will you enforce your license? What are the possible violations of the rule?	5.3. Do rules related to data security and integrity have a corresponding set of accountability measures?	5.4 Do funding and spending rules have a corresponding set of accountability measures?	5.5 Are there mechanisms in place to ensure that actors understand the rules and accountability measures?	5.6 Are there mechanisms in place to ensure that accountability measures are fair and proportional?	5.7 Are there mechanisms in place to ensure actors can re-earn trust from the community?	

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6	6. Conflict-resolution mechanisms	6. Conflict-resolution mechanisms. Appropriators and their officials have rapid access to low-cost local arenas to resolve conflicts among appropriators or between appropriators and officials.	6.1 Are there internal mechanisms in place to resolve conflict? Including conflict that does not violate an existing rule.	6.2 Are conflict resolution mechanisms easily accessible by all stakeholders? Are there mechanisms in place to ensure stakeholders raise complaints and grievances?	6.3 Is there a procedure for appeal to appeal decisions made (especially around sanctions)?	6.4. Is it clear what needs to be attested for? What is the chain of for that attestation?	6.5 Is there agreement about when you fall back on formal legal systems? Is it clear how conflicts will be resolved when you yourself cannot resolve them?	6.6 How do you ensure ongoing legitimacy of informal dispute resolution mechanism?		

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7	7. Recognition of rights	7. Minimal recognition of rights to organize. The rights of appropriators to devise their own institutions are not challenged by external governmental authorities.	7.1 Is there a body responsible for instigating the data stewardship model that is accountable to external regulators and authorities?	7.2 Is the data sharing architecture supported or legitimated by an institution or public body?	7.3 Is the organisation compliant with external regulations and laws? Is the organisation allowed to make data available (or not) in the way you envision? E.g. are data licenses enforceable? Is the organisation allowed to collect and store in the way envisioned?	7.4 Were there any mechanisms or infrastructure you could put in place to enhance your freedom to decide about / organise around data?	7.5 Are there any prohibitions on the mode of organisation you have chosen?			

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8	8. Nested enterprises	8. Nested enterprises (for CPRs that are parts of larger systems). Appropriation, provision, monitoring, enforcement, conflict resolution, and governance activities are organized in multiple layers of nested enterprises.	8.1. Is it clear how the organization or project fits into larger systems?	8.2. Is it clear how the project interoperates with larger systems or other data commons?	8.3 Is it clear how interactions with nested enterprises present or resolve conflict in governance?					