



## CGIAR Open Access and Data Management Policy (the “Policy”)

### 1. Preamble

CGIAR regards the results of its research and development activities as international public goods and is committed to their widespread dissemination and use to achieve the maximum impact to advantage the poor, especially smallholder farmers in developing countries. CGIAR considers Open Access (defined below) to be an important practical application of this commitment as it enhances the visibility, accessibility and impact of its research and development activities. Open Access improves the speed, efficiency and efficacy of research; it enables interdisciplinary research; assists novel computation of the research literature; and allows the global public to benefit from CGIAR research. Furthermore, CGIAR recognizes the benefits that accrue to individual researchers and to the research enterprise from wide dissemination, including greater recognition, more thorough review, consideration and critique, and a general increase in scientific, scholarly and critical knowledge. CGIAR further recognizes that, in implementing this Policy, it can more easily and collectively build the infrastructure necessary to be at the forefront of the open access and open data for agriculture movement.

This Policy stems from – and complies with – the *CGIAR Principles on the Management of Intellectual Assets* (“**CGIAR IA Principles**”)<sup>1</sup>, which is the umbrella document for this Policy. In particular, this Policy expands on Article 6.1 of the CGIAR IA Principles which provides that “*The Consortium and the Centers shall promptly and broadly disseminate their research results, subject to confidentiality as may be associated with [certain] permitted restrictions, or subject to limited delays to seek IP Rights [(patents, etc.)]*”.

### 2. Scope and implementation

This Policy was approved by the CGIAR Consortium on October 2, 2013 and is effective as of this date (the “**effective date**”). Implementation of and compliance with this Policy by the CGIAR Consortium, its members and their partners within the scope of the Strategy and Results Framework (“**SRF**”) and the CGIAR Research Programs (“**CRPs**”) will be phased over a transition period. The transition period runs from the effective date of the Policy for an initial period of 5 years, with comprehensive implementation by the end of 2018. This Policy should be read in conjunction with the CGIAR Open Access and Data Management Implementation Guidelines<sup>2</sup>, which may be updated from time to time to reflect current recommended practices.

### 3. Information products

This Policy sets common expectations with respect to Open Access to the following indicative types of information products (“**information products**”): peer-reviewed journal articles; reports and other papers; books and book chapters; data and databases; data collection and analysis tools (e.g. models and survey tools); video, audio and images; computer software; web services (e.g. data portals, modeling on-line platforms); and metadata associated with the information products above.

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<sup>1</sup> The CGIAR IA Principles are available at <http://bit.ly/XaxoDZ>

<sup>2</sup> The first draft will be published for consultation in late 2013, with adoption in early 2014.



#### 4. Policy statement

##### 4.1 General

4.1.1. Openness. Best efforts shall be used to make all information products Open Access, subject always to the legal rights and legitimate interests of stakeholders and third parties, including intellectual property rights, confidentiality, sensitivity (including price and politically sensitive information), farmers' rights and privacy.

Information products may not always be of value to others, for example because those outputs are draft, poor quality or incomplete. Open Access arrangements should consider the characteristics of the information product, their potential impact, the level of data processing required, and whether the information products generated are within the scope of this Policy. Some judgment therefore needs to be made over the information products that will be made Open Access.

4.1.2. Suitable Repositories. Stable, permanent, Open Access repositories shall be utilized, to enable users and other sites and search engines to access or locate information products, including application programming interfaces (APIs) or other mechanisms enabling those information products to be available from the CGIAR website and associated web-based products. Preference should be given to existing repositories to minimize the number of repositories in use (and the interoperability challenges presented by multiple incidences of repositories).

4.1.3. Interoperability. Syntactic and semantic interoperability is a key consideration in enabling and promoting international and interdisciplinary access to and use of information products. Information products must therefore be described with standardized metadata, and stored and delivered using appropriate protocols and formats to ensure that their content can be discovered, shared and incorporated across different technological platforms.

4.1.4. Data storage and preservation for future use. Information products must be stored where users can find them and where they will be preserved for future use. As time goes by, they will need to be managed, maintained and curated.

4.1.5. Copyright and Open Licenses. Suitable open licenses shall be used that recognize the legal rights to information products and encourage their use and adaptation.

4.1.6. Incentives and professional expertise. Incentives and the development of professional expertise in all areas of Open Access and data management shall be devised, adopted and promoted.

4.1.7. Translation. Translations of key documents and other media into pertinent languages are encouraged. All versions should be deposited in suitable repositories and made Open Access.

4.1.8. Limited internet connectivity. To assist those with limited internet connectivity, designing easily accessible information products (e.g. websites, PDFs) or making available alternative versions that require minimal data download to see and use is encouraged.

4.1.9. Open Access and Data Management Plans. Open Access and Data Management Plans should be prepared in order to ensure implementation of this Policy. Such Plans shall, in particular, outline a strategy for maximizing opportunities to make information products Open Access.



## **4.2 Open Access for indicative types of information products**

4.2.1. Peer-reviewed journal articles. Peer-reviewed versions of scholarly articles reporting research should be deposited in a suitable repository and made Open Access as soon as possible, ideally at the time of publication, and no later than 6 months from the date of publication. Authors are free to choose the journal that is most appropriate to their needs. Where an author publishes in a closed access journal, he/she shall self-archive in an Open Access repository a digital version of the final accepted manuscript (the “postprint” version).

4.2.2. Reports and other papers. Information products that are not intended for peer-review journals, such as reports, conference papers, policy briefs and working papers, shall be deposited in suitable repositories and made Open Access as soon as possible and in any event within 3 months of their completion.

4.2.3. Books and book chapters. The full digital version of books and book chapters shall be made Open Access as soon as possible after publication and in any event within 6 months either through self-archiving or other suitable publication arrangements.

4.2.4. Data and databases. Data (and any relevant data collection and analysis tools) shall, subject to any additional donor requirements, be deposited in a suitable repository and made Open Access as soon as possible and in any event within 12 months of completion of the data collection or appropriate project milestone, or within 6 months of publication of the information products underpinned by that data, whichever is sooner. Data deposited shall be prepared in a manner consistent with the aims of this Policy. Existing and future databases shall be made Open Access.

4.2.5. Video, audio and images. Complete final digital versions of video and audio outputs, and image collections must be stored appropriately and made Open Access within 3 months of their completion.

4.2.6. Computer software. Where an information product is software developed internally, the associated source code must be deposited in a free/open software archive upon completion of the software development. Access to such information products may be granted subject to appropriate licences (e.g. Copyleft).

4.2.7. Metadata. The metadata of an information product must be deposited in a suitable repository before or on publication of the information product. Where an information product is not deposited in a suitable repository, the deposited metadata must include a link to the information product.

## **5. Review**

The CGIAR Consortium Office will carry out an evidence-based review of the implementation of this Policy on an annual basis. The reviews will be used to devise appropriate institutional tools and guidelines for the implementation of this Policy.

The Consortium Office (in consultation with the Centers) will review this Policy in 2015 and every two years thereafter in light of experiences gained. This Policy may be amended at any time by agreement of the Consortium, in consultation with the Centers.



## 6. Definitions

For the purposes of this Policy:

**Data** means the digital recorded factual material commonly accepted in the scientific community as necessary to validate research findings, including data sets used to support publications and/or that have been prepared and validated but that do not support publications. This does not include laboratory notebooks, preliminary analyses, drafts of scientific papers, plans for future research, peer review reports, communications with colleagues, or physical objects, such as laboratory specimens.<sup>3</sup>

**Database** means a collection of independent works, data or other materials, which are arranged in a systematic or methodical way and which are individually accessible by electronic or other means.<sup>4</sup>

**Open Access** means the immediate, irrevocable, unrestricted and free online access by any user worldwide to information products, and unrestricted re-use of content (which could be restricted to non-commercial use and/or granted subject to appropriate licences in line with the CGIAR IA Principles), subject to proper attribution.

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<sup>3</sup> Adapted from the Office of Science and Technology Policy Guidelines.

<sup>4</sup> From Directive 96/9/EC of the European Parliament of 11 March 1996 on the legal protection of databases.