DFID Research Open and Enhanced Access Policy

Text only version

V1.1 January 2013

1. Policy scope

1. This document describes the Department for International Development's (DFID) open and enhanced access policy for the research that DFID funds.

2. **Open access** refers here to irrevocable and free online access by any user worldwide to full-text/full version scientific and scholarly material ('outputs'). Unrestricted use of manual and automated text and data mining tools, and unrestricted re-use of content with proper attribution should be allowed. By **enhanced** access we mean steps taken to help users find, view and download materials. By **research** we mean a wide range of activities designed to generate primary and secondary empirical data to inform our own work and as a global public good ('projects'). This includes most of the work commissioned through DFID's central research funds as well as research commissioned by other units within DFID.

3. The aim of this policy is to increase the uptake and use of findings from research funded by DFID. The primary objectives are to:

   • increase the number of research outputs that are open access
   • increase information to help locate research outputs
   • increase the accessibility of outputs[1].

4. We recognise that our research partners already do a great deal to open up access to outputs and to enhance their visibility. This policy formalises our expectations.

5. DFID standard contracts give DFID an irrevocable worldwide license to use all material produced through research, while allowing researchers to retain all intellectual property rights over that material. This policy is designed to extend and supplement any contractual obligation.

6. The policy contains actions to be carried out by individuals and institutions undertaking research funded in whole by DFID, including research commissioned through a third party using DFID funds. In many cases, it will also apply when DFID funds research in collaboration with other donors. This will be decided between the funding parties on a case-by-case basis and communicated during the commissioning process. In exceptional circumstances, access to DFID research outputs may be restricted. The policy does not apply to research funded by our partners where DFID has made no financial contribution.

7. Exceptionally, exemptions may be granted to specific policy requirements. Generally, these will be granted only if doing so will lead to better development outcomes. Exemptions may also be granted on grounds of security, legal, ethical or commercial constraint.

8. The policy is effective from 1st November 2012 and applies to research grants or contracts awarded from this date.

9. While not required, researchers holding grants or contracts awarded prior to 1st November 2012 are encouraged to adopt the policy.

10. The policy applies to data and material generated during the funding period, even when those data and materials are released beyond the period of the grant or contract (for example, a journal article published after the end of the grant or contract, but which draws on data generated during the contracted period).

11. DFID recognises that this policy, and the licence granted to DFID to use material produced through the research we fund, affects only material produced during the lifetime of the contract. It does not extend to any enhancements or improvements made which come about later and which are not a result of DFID funding.

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[1] The policy does not concern removing limited connectivity and other technical barriers experienced by those wanting to access research outputs (although it does make recommendations on designing outputs so they require minimal data download to see and use). Tackling these barriers is an essential side of opening and enhancing access and DFID funds initiatives to enable access to research outputs in poor countries.

12. The rest of this policy document contains:

- a summary table of the main policy requirements and recommendations (section 2)
- an outline of why open access to research outputs is an important goal for DFID (section 3)
- general principles, recommendations and requirements that apply across DFID funded research (section 4)
- recommendations and requirements that apply to specific types of output (section 4).

13. The policy is supported by and should be read in conjunction with:

- DFID Open Access Policy Implementation Guide[2]
- The DFID Ethics Principles for Research and Evaluation, especially principle 8: publication and communication[3]
- Research for Development (R4D) Editorial Policy[4].

14. General contact point: openaccess@dfid.gov.uk.

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[2]www.dfid.gov.uk/Documents/publications1/DFIDResearch-Open-and-Enhanced-Access-Policy.pdf
[3]www.dfid.gov.uk/Documents/publications1/evaluation/dfid-ethics-prcpls-rsrch-eval.pdf
[4]www.dfid.gov.uk/R4D/PDF/Outputs/Communication/R4DEditorialPolicy.pdf

2. Summary of requirements and recommendations

		Required*	Encouraged*
General principles	**Open and enhanced access**	Access and Data Management Plan included in project design	Maximise opportunities to make research outputs available for free
			Deposit outputs in subject-based or institutional repositories as well as R4D
			Translate key outputs into pertinent languages
			Design outputs so they require minimal data download to see and use
	Monitoring	Open access activity reported during project monitoring cycle	
	Acknowledgement	DFID funding acknowledged in all written outputs	DFID funding acknowledged in non-written outputs
	Metadata	Metadata for all outputs deposited in R4D	
	Ownership/ copyright	Ensure necessary permissions are in place to add material to R4D, repositories or websites	Use journals that allow researchers (or their institutions) to retain ownership of copyright
			Use open licences such as Creative Commons, favouring CC-BY
	Costs	Associated costs to be budgeted for when research is commissioned and included in DFID's award	
		Researchers administer direct payment of any open access fees incurred	

***Required**: actions that researchers are expected to do unless exempted by DFID; **Encouraged**: alternative or additional actions that will help increase access to outputs.

		Required	**Encouraged**
Specific types of output	**Peer reviewed journal articles**	Choose open access publishing whenever available (in open access or hybrid journals), and in preference to self-archiving	Use journals/publishers that enable free or reduced cost access to developing countries
		When self-archiving, 'post-print' digital version deposited in R4D within six months of first publication	
	Reports and other written material (excluding books published by third parties)	Deposit digital version in R4D	
	Books and book chapters published by third parties	Request made to publisher for the right to make book/book chapter open access in part or whole	Negotiate the right to make book material open access in part or whole
		Deposit table of contents and 500 word synopsis in R4D	Negotiate buy-back to purchase copies at reduced price for free distribution on request
	Datasets	Deposit raw or derived datasets in a suitable open access discipline or institutional repository within 12 months of final data collection	
		Retain and provide free on request raw datasets for a minimum of five years after project completion	
	Video, audio and images	Complete digital versions of significant outputs openly available in the public domain	
	Websites	Inform R4D when project website established and if website address changes	Project websites permanently archived and accessible on closure
	Computer software	Use free and open source software licences	
		Deposit in a suitable open software repository	

3. Open and enhanced access to research outputs: A goal for DFID

15. DFID is committed to greater transparency in its activities and spending, and is working to make data more accessible to the public[5]. Government is also committed to expanding access to publicly-funded research. The government-commissioned 'Finch Group' report 'Accessibility, sustainability, excellence: how to expand access to research publications', and government's response, set out a programme of action to open up access to research publications[6,7,8]. In line with these initiatives, DFID is opening up and enhancing access to the outputs of the research that it funds.

16. DFID's approach to research is to use public funds to generate and make available new knowledge as a pro-poor public good, and to promote the use of research findings to inform the decision making of DFID and others. DFID recognises the benefits that scientific and social science knowledge can have in addressing poverty, and expects the research it funds to benefit researchers, policy makers and others globally.

17. To maximise the impact of research, researchers, practitioners, governments and civil society, especially in developing countries, need better access to research outputs to enable them to build upon and use this knowledge. Through increasing visibility and removing price barriers to research outputs, DFID expects open access to increase the uptake and use of DFID research.

18. There is evidence to support this. For example, research suggests that:
    - open access research articles are downloaded more frequently and have more unique visitors than subscription-controlled articles[9,10]
    - when a journal volume becomes free to access, the mean country per-capita gross national income (GNI) of an author citing it drops by $800[11].

    These findings suggest that open access publishing widens the circle of those who can access research articles.

19. Open access is also likely to increase the visibility of developing world research. Developed world outputs are often privileged by current publishing and indexing models. Open access may help address this balance[12].

20. Survey research points to high levels of support for opening access to research publications amongst researchers in developing, emerging and developed countries. The SOAP project (Study of Open Access Publishing) ran a global survey of the attitudes of researchers to, and their experiences with, open access publishing[13]. Of 38,000 survey respondents, 89% thought that journals which publish open access articles were beneficial for their field, principally because they were seen to benefit the scientific community, overcome financial restrictions, and benefit those outside the scientific community. An analysis of SOAP data for a sub-set of eleven developing and transition countries showed very similar results to the overall picture[14].

21. Open access principles can also be applied to research outputs other than journal articles. Opening access to data enables secondary analysis of data and the contextualising of

[5] www.dfid.gov.uk/Global-Issues/What-transparency-means-for-DFID/

[6] BIS. Innovation and research strategy for growth. TSO: London; 2011.

[7] Finch Group/RIN. Accessibility, sustainability, excellence: how to expand access to research publications. Report of the Working Group on Expanding Access to Published Research Findings. RIN: London; 2012.

[8] www.bis.gov.uk/news/topstories/2012/Jul/government-to-open-up-publicly-funded-research

[9] Davis PM. Open access, readership, citations: a randomized controlled trial of scientific journal publishing. The FASEB Journal, 2011; 25:2129-2134.

[10] Davis P, Lewenstein B, Simon D, Booth J, Connolly M. Open access publishing, article downloads, and citations: randomised controlled trial. BMJ 2008;337:a568.

[11] Evans J, Reimer J. Open access and global participation in science. Science, 2009; 323:1025.

[12] Swan A. Policy guidelines for the development and promotion of open access. Paris: UNESCO; 2012.

[13] http://project-soap.eu/

[14] www.eifl.net/system/files/201102/soap_survey_results_eifl.pdf

results to different circumstances. It may also avoid duplication of work and enable reproducibility. A survey of UK researchers on the benefits of national data repositories showed that most considered the data to be important to their research, and that data centres increased the quality of their own work as well as the quality of the data deposited. They also thought that data repositories improve efficiencies, for example by saving time, money and effort[15,16].

22. Case studies undertaken as part of the same project suggest that research made possible by data repositories has had an impact on wider society and the economy, through the development of new tools and methodologies, new policies and regulatory controls, and new products or services[17].

23. Research does however identify potential downsides and concerns with a move toward opening access. For example, amongst key informants from seven southern African universities who were aware of open access, 77% supported it. Yet concerns were also raised including: perceptions of poorer quality associated with open access published material; fear of breaching intellectual property rights; and the fear of research being plagiarised[18]. The SOAP study also pointed to barriers to the adoption of open access publishing, including the availability of funding to pay open access charges and low numbers of journals of a (perceived) suitable quality.

24. The Finch Group report also highlighted some systemic barriers and concerns, including ad hoc and unsystematic arrangements for meeting article processing charges leading to poor uptake, and the view of some publishers that in certain forms, open access might undermine their ability to meet the costs of publication and associated activities[19].

25. Current limitations to opening access to research materials also include: patchy availability of suitable data repositories; uncertainties over the economic implications of moving to full open publishing; and limited ability to access material that is nonetheless available[20]. For example, open access publishing has a lesser impact on the citation behaviour of researchers in the very poorest countries, probably because of poor internet access[21].

26. DFID's policy attempts to mitigate some of these concerns and limitations. For example, DFID will provide funds so that researchers can make their research outputs openly available, including meeting any charges imposed by publishers, and we provide guidance on, amongst other things, locating local, regional and international class open access journals, protecting intellectual property, and designing outputs so they require minimal data download to see and use.

27. Some issues remain outside our immediate reach (for example concern over plagiarism and the limitations of internet connectivity) and there are many aspects of the move toward opening access that remain to be fully researched and understood. Few research studies have explored perspectives, impacts and implications of opening access to the full range of research outputs across different users, sectors, regions, countries, output types and so on.

28. Overall however, on balance the evidence that is available suggests that open access increases the effectiveness and cost-effectiveness of research, and therefore DFID supports a direction of travel toward opening access to research outputs.

[15] Research Information Network. Data Centres: their use, value and impact. RIN: London; 2011.
[16] For a summary of arguments for opening access to science data, please see the recent Royal Society report: Royal Society. Science as an open enterprise. London: Royal Society; 2012.
[17] Research Information Network. Data Centres: their use, value and impact. RIN: London; 2011.
[18] Abrahams L, Burke M, Gray E, Rens A. Opening access to knowledge in southern African universities. SARUA: Wits, SA; 2008.
[19] Finch Group/RIN. Accessibility, sustainability, excellence: how to expand access to research

publications. Report of the Working Group on Expanding Access to Published Research Findings. RIN: London; 2012.
[20] For a discussion, see e.g. Research Information Network. Heading for the open Road: costs and benefits of transitions in scholarly communications. RIN: London; 2011.
[21] Evans J, Reimer J. Open access and global participation in science. Science, 2009; 323:1025.

4. Requirements and recommendations

General principles, requirements and recommendations that apply across DFID funded research

29. Researchers and their institutions are expected to maximise opportunities to make their research outputs available for free; this policy sets out minimum requirements and recommendations.

30. This policy covers the following types of output: peer reviewed journal articles; reports and other written materials; books and book chapters; datasets; video, audio and images; websites; and computer software.

31. The value and utility of these outputs depend on their quality and researchers need to exercise some judgement when making them openly available. Whilst DFID research is generally of high quality, access to incomplete or draft outputs may be of little value, and poor quality data and other outputs may be of no benefit to others. See 'General guidance on what constitutes an output' in the policy implementation guidance.

32. All research partners for whom this policy applies will be required to complete an Access and Data Management Plan. The Plan outlines their strategy for maximising opportunities to make research outputs open access, both during the life of the project and for permanent digital access on project closure. It will also estimate any costs. **When funds are awarded through a competitive tendering process, the Plan will be part of the tender terms of reference and will be assessed as part of the award process**. Usually, a Plan will also be required when competitive tendering is not used, and will form part of the business case for the project. A template is at the Annex.

33. As part of its monitoring and evaluation framework, DFID Research and Evidence Division (RED) collects data on the extent to which researchers fulfil the requirements and recommendations of this policy. RED researchers are required to report open access activity, usually during the annual review.

34. R4D, the DFID research portal, provides a central, stable, permanent and free-to-access repository for the outputs of DFID-funded research. R4D enables users of DFID research to find information about research outputs, and for this information to be located by other sites and search engines. R4D is therefore the central repository for DFID funded research outputs and associated metadata.

35. Metadata for all research outputs must be deposited in R4D on publication or before, and must include a link to an online digital version of the output or to a site from where a digital or hard copy version may be obtained. We further require that final digital versions of certain classes of output be deposited in R4D (details below). Depositing research outputs or metadata in R4D does not prevent researchers and institutions from also depositing a copy in a further subject-based or institutional repository, or personal or institutional website. Indeed, this is encouraged. The overarching principle is that research outputs must be stored where people can find them and where they will be preserved for future use. R4D serves this function.

36. The following acknowledgement will be used in or associated with all written outputs and associated metadata:

    'This work was supported by the UK Department for International Development [insert project title and Aries number]'.

    A statement on how to access original datasets must also be added.

    We also encourage the use of this acknowledgement in non-written outputs where feasible. The acknowledgement ensures DFID-funded research can be tracked back to DFID and readily located on R4D, for example to find further details and outputs from the project. When research has been funded by more than one donor, then those donors will also be acknowledged according to their requirements.

37. Researchers and institutions are encouraged to use open licences such as Creative Commons that recognise authorship of an

output and encourage its use and adaptation. The Creative Commons licence 'CC-BY' is recommended. This licence lets others modify, build upon and/or distribute the licensed work (including for commercial purposes) as long as the original author is credited. Outputs must be clearly marked with the chosen licence so so that users know what they can and cannot do with the output.

38. For peer review research publications, researchers are encouraged to use journals that allow them (or their institutions) to retain ownership of copyright. Researchers are reminded that DFID standard contracts allow researchers to retain all intellectual property rights over the outputs of their research whilst at the same time giving DFID license to freely use those outputs. Therefore researchers should not pursue publishing options that then prevent DFID using those outputs or versions of them.

39. Researchers are responsible for ensuring they have the necessary permissions to make material available through R4D or other open access repositories and channels. Third party copyright, licensing and embargo policies must be respected.

40. Researchers are encouraged to translate key documents and other media into pertinent languages. All versions should be deposited in R4D.

41. To assist those with limited internet connectivity, researchers and institutions are encouraged to design research outputs (e.g. websites, PDFs) or make available alternative versions that require minimal data download to see and use.

42. DFID considers that costs associated with enabling open access to outputs are a legitimate research expense and will include these in the overall research budget as long as:
    • the costs are proportionate, reasonable and represent value for money
    • existing arrangements and resources at the host institution are used first when available and appropriate; this is to avoid paying twice for services.

43. Researchers will be responsible for directly administering, from their research budget, the payment of any open access fees and costs incurred.

44. When DFID funds research in collaboration with other donors, these costs are likely to be split between the funders. When DFID co-funds, arrangements for distributing and administering open access costs will be communicated to researchers.

Requirements that apply to specific types of output

Peer reviewed journal articles

45. Researchers are required to make peer reviewed journal articles open access. Two routes are available: open access publishing ('gold' open access) or self-archiving ('green' open access). DFID's preference is for the former.

Gold open access: open access publishing

46. Researchers are encouraged to pursue open access publishing, and have two options:
    • open access journals which make all content freely accessible immediately at the time of on-line publication; this is the preferred option
    • 'hybrid' journals in which individual articles are made open access immediately at the time of on-line publication, following payment of a one-off charge.

    Both options typically involve the payment of an 'article processing fee' (APC). Because DFID will include the cost of APCs in the overall project budget, we expect that authors will follow the 'gold' route whenever it is available. At the same time, we do recognise authors are free to choose the journal most appropriate to their needs. Some journals do not offer an open access option. In these circumstances, authors will need to follow the green route.

Green open access: self-archiving

47. When a chosen publisher or journal does not offer a 'pay-to-publish' open access option, then authors are required to make available in R4D a digital version of the research paper within six months of first publication. Exceptionally, a case may be made for a longer delay. However, an embargo longer than six months will have to be agreed by DFID as an exemption.

48. The version that is self-archived must have been modified following the journal's peer review process (sometimes called the 'post-print' version), but not necessarily the copy edited and type set print version. A version prior to peer review is not sufficient. When self-archiving, researchers must respect the copyright and licensing policies of the journal/publisher.

49. Whichever route is taken (gold or green), if data enters the public domain ahead of publication (e.g. as a conference paper or working paper) then that data is to be available for DFID use.

Faster availability in developing countries

50. When publishing in closed access journals (and so self-archiving within six months), researchers are encouraged to use publishers and journals that enable free or reduced cost access to developing countries (the Policy Implementation Guide gives guidance on locating these). This will make articles available immediately to developing country researchers and others in registered institutions.

Reports and other written material produced by research partners or their institution

51. Researchers and institutions are required to deposit in R4D written outputs not intended for peer review journals as soon as it is feasible to do so. This includes, but is not limited to reports, conference papers, policy briefs and working papers. Some other written materials produced by research partners (for example event flyers and press releases) do not need to be deposited in R4D, but it may in some cases be appropriate to do so where that information cannot be found elsewhere.

52. We expect that a full digital version of books published by the institution will also be deposited in R4D. However, exceptions may be made by DFID where institutions generate important revenue from book sales.

Books and book chapters published by third parties

53. When a book or book chapter is a primary output of a project (rather than a consolidation of outputs available elsewhere), researchers and institutions are required to make a request to the publisher for the right to make this material open access, even if according to certain restrictions (e.g. following a period of six month publisher exclusivity or within regional limits).

54. Researchers and institutions are therefore not required to make books or book chapters open access, but they are required to show that this avenue had been explored.

55. In any event, when the book is published researchers and institutions are required to deposit in R4D a table of contents and 500 word synopsis of the book/book chapter's main arguments.

56. When books are not published open access, researchers are encouraged to negotiate a buy-back option with publishers to purchase copies at reduced price for free distribution to researchers and institutions on request.

Datasets

57. Datasets (derived or raw) are to be placed in an open access repository within 12 months of final data collection or on publication of outputs underpinned by that data, whichever is sooner (unless exempted by DFID).

58. All published results must include information on how to access original, raw datasets.

59. Where possible, datasets should be deposited in an established discipline or institutional repository. Where no such repository exists, then simple datasets may be deposited in R4D.

60. Researchers or their institutions are required to retain raw datasets for a minimum of five years after the end of the project, and make them available on request, for free, any time after 12 months from final data collection (unless exempted by DFID). This applies to all data, whether published or not.

Video, audio and images

61. Complete final digital versions of significant video and audio outputs, and image collections, must be open access and available in the public domain. Metadata for all video and audio outputs and image collections must be deposited in R4D.

Websites

62. Researchers are required to inform R4D as soon as project websites are established and to inform R4D if the website address changes.

63. For websites that do not fall within the dfid.gov.uk address, research partners/institutions are encouraged to permanently archive project websites and ensure they are openly accessible when the project closes (this is done automatically for websites under dfid.gov.uk and so no further action is required).

Computer software

64. The associated source code for software developed from scratch, whether as a major, minor or incidental component of a project must be deposited in a free/open software archive on project completion. A suitable free/open licence must be used that allows anyone to use, copy, modify and distribute the software.

Implementing the policy

64. An implementation guide is published alongside this policy document[22]. The guide will help researchers meet the policy requirements and recommendations. For further help, DFID research partners may contact their DFID research manager. The general contact point is: openaccess@dfid.gov.uk.

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[22]www.dfid.gov.uk/Documents/publications1/DFIDResearch-Open-and-Enhanced-Access-Implementation-Guide.pdf

Annex: Access and Data Management Plan template

Access and Data Management Plan

The Access and Data Management Plan outlines the researchers' strategy for maximising opportunities to make research outputs openly accessible, both during the life of the project and for permanent digital access on project closure.

When funds are awarded through a competitive tendering process, the Plan will be part of the tender terms of reference and will be assessed as part of the award process. A Plan will usually also be required when competitive tendering is not used, and will form part of the business case for the project.

To help complete the template, please refer to the DFID Research Open and Enhanced Access Policy, including the Implementation Guide.

Please note that not all sections of the plan will be relevant to all bids/projects. Fill in only those sections that you feel will apply to the research that will be undertaken.

The Plan template may be further developed during the inception phase and will be agreed by the relevant DFID research manager. It may be revisited and revised during the course of the project or at annual review as required.

Exceptionally, exemptions may be granted to specific policy requirements. Generally, these will be granted only if doing so would lead to better development outcomes. Exemptions may also be granted on grounds of security, legal, ethical or commercial constraint. If you believe there are good reasons not to make some research outputs openly accessible or to delay their release, then these must be explained in the Plan. DFID will consider these requests and may grant an exemption.

Access and Data Management Plan

Project title:	
Project lead:	
DFID Research Manager:	
Person/s with overall responsibility for maximising open access opportunities:	
Person/s responsible for depositing metadata and materials in R4D and/or other open access repositories:	

Describe your host institution's existing approach to open access (if any) and any arrangements already in place that will help you meet the criteria and objectives of DFID's policy:

Journal articles
Note the likely journals to be used for peer review publications (or the major journals in your field) and the open access policy for these (in brief):

Datasets

Note likely data repository/ies for your datasets, as well as any anticipated limits or exclusions to data sharing:

Video, audio and images

Explain how video, audio and/or image outputs will be made openly available:

Websites

Explain your strategy for permanently archiving project webpages:

Computer software

Note repositories that will be used to deposit software:

Books and book chapters, including those published by third parties

Explain your strategy for seeking permission to make book/s or book chapters available open access:

Resources and budget

Describe resources provided by your host institution for open access activities:

Note the total estimated cost requested from DFID for open access activities detailed in this plan:

Detail how the requested budget for open access activities has been calculated:

What other resources or support will you require to deliver your plan?

Timeline

Describe the key milestones during the project when materials will be made open access, with indicative dates:

Describe any other strategies for maximising the accessibility of your outputs not covered above: