

DFID Research Open and Enhanced Access Policy: Implementation guide

V1.1: January 2013

This guide provides information to help researchers and project managers fulfil the requirements and meet the objectives of the DFID Research Open and Enhanced Access Policy. Where queries remain, in the first instance please contact the relevant research manager in DFID.

Inclusion in this guide does not mean that DFID necessarily endorses that service, information, website etc., it just means that the information might help researchers implement our policy.

The guidance maps on to the structure of the policy, with additional material included on deciding on what constitutes an 'output' for the purposes of the policy, and on locating open access repositories.

The guidance will evolve as DFID and project partners gain experience with its use. Please contact openaccess@dfid.gov.uk with any suggestions to help improve it.

Guidance on what constitutes an 'output'

DFID's open and enhanced access policy covers the whole range of outputs produced by the research we fund. However, projects may well produce more outputs than will be of value to others, for example because those outputs are draft, poor quality, incomplete or better considered rough cuts or 'inputs' to a final 'output' (for example the complete video recordings that are later cut to produce a short video). Similarly, the project may produce materials that are not research outputs as such, for example brochures, flyers for events or promotional material for books.

Some judgement therefore needs to be made over the materials that will be made permanently and openly available and fall within the policy. The guiding principle is that the outputs made available will be of value and use to others, erring on the side of inclusion over exclusion where difficult judgements are made.

Also see the [R4D Editorial Policy](#).

Guidance on locating repositories

R4D is DFID's own research repository. At several points within the policy, researchers and institutions are requested or encouraged to deposit material in a suitable subject or institutional repository as well as, or as an alternative to, R4D (guidance on depositing outputs and metadata in R4D is in the section *R4D as the central repository* below). The number of institutional repositories is growing. When a repository is not available at the host institution, then the Directory of Open Access Repositories ([OpenDOAR](#)) may help in locating a suitable repository.¹ The directory aims to provide a searchable, global, comprehensive list of manually checked, quality-controlled repositories for academic material of all types.

¹ www.opendoar.org/

Further resources to help locate repositories are listed by INASP [here](#).² A detailed FAQ on the general topic of self-archiving is [here](#).³

Guidance for general open access principles, requirements and recommendations that apply across DFID funded research

Maximise opportunities to make research outputs available for free

The policy takes a broad 'open knowledge' perspective. It seeks to promote open access to all results and outputs of the research that DFID supports, and puts emphasis on broadening open access beyond open access publishing and depositing data and papers in repositories. Multiple opportunities should be sought to make outputs of all types openly accessible as well as increase the visibility of outputs so that they are more likely to be found.

DFID funds researchers in many countries. The UNESCO [Global Open Access Portal](#) presents a current snapshot of the status of Open Access around the world.⁴ Researchers may find this a useful resource for understanding the facilities and infrastructure for open access available in their own country or region.

Design outputs requiring minimal data download to see and use

Minimising the size of digital outputs will increase their accessibility to users with poor internet connectivity and low bandwidth. An overview of low bandwidth-friendly practices is [here](#).⁵ A more detailed set of design guidelines, covering website design as well as a variety of digital media that might be made available on websites (such as PDFs, images, audio and video clips) is [here](#).⁶

Value and quality of outputs

See *Guidance on what constitutes an output* above.

Access and Data Management Plan

See the Annex in the policy document.

Monitoring cycle

For projects funded by Research and Evidence Division (RED), data on open access activities will be collected during the normal RED project annual review process. Further guidance will be provided at the time of review. Other units within DFID will have their own arrangements for monitoring open access activities.

R4D as the central repository

R4D is DFID's research repository; a free to access online database containing information about research programmes and projects supported by DFID as well as outputs from those programmes. It currently contains details of current and past research in its repository of over 35,000 project and output records.

R4D is fully integrated with the DFID website: <http://www.dfid.gov.uk/R4D/>. Users access its content through browsing or searching the site, via search engines or via

² www.inasp.info/file/befc376be7b821ba0667ba35483234c2/list-of-institutional-repositories.html

³ <http://www.eprints.org/openaccess/self-faq/#OAI>

⁴ <http://www.unesco.org/new/en/communication-and-information/portals-and-platforms/goap/>

⁵ www.inasp.info/file/e02bffde7fe5319fe06ff05dabd0f152/bmo-guidelines-for-low-bandwidth-websites.html

⁶ www.apivate.org/webguidelines/Home.html

subscriptions to various alerts through, for example, the DFID Research Newsletter, RSS, email, Twitter and Facebook.

Researchers should normally notify us of material to add to R4D by use of the online document submission admin system [here](#).⁷

Using this system for collection of metadata is most likely to result in material being added promptly to R4D. Publications lists may also be emailed to research@cabi.org stating for each list either the ARIES code for the project or the existing R4D Project ID if known.

Peer-Reviewed material metadata should be submitted as soon as possible after publication (plus links to the material) and pdfs should be submitted within six months of publication. R4D displays the archive policy of peer-reviewed journals listed in SHERPA/RoMEO, and the open access status of all articles from open access journals. Relevant non-peer reviewed publications should normally be submitted at least biannually.

Those submitting material on behalf of the programme should check that the material has not already been added to the repository before submission to avoid duplication of effort (exceptionally material may have been added prior to formal submission if DFID has been made aware of an output through other means).

Metadata

Metadata refers to data about digital and non-digital materials that can be used to help describe, curate and find materials and manage information. Metadata needs to include information to enable it to be understood and used effectively by others, as well as details on the origin and previous manipulation of data to prevent misuse, misinterpretation or confusion.

The curators of the R4D Repository will enter metadata for each output based on the details provided, at a minimum this must include: details of project to which the output applies (R4D Project ID or ARIES Code), document type, country or countries of relevance, plus citation details.

Creative Commons and ownership of copyright

We suggest that researchers/institutions apply a Creative Commons licence to project material that they self-publish (and have copyright control over) or otherwise make available. Information on Creative Commons is available [here](#).⁸

Descriptions of the range of Creative Commons licences are [here](#).⁹

Of these, we encourage use of the 'Attribution' licence 'CC-BY'. This is the most open licence, letting others modify, build upon and/or distribute the licensed work (including for commercial purposes) as long as the original author is credited. Some arguments for choosing CC-BY are presented [here](#).¹⁰

We discourage the use of the 'Attribution-NonCommercial-NoDerivs' (CC BY-NC-ND) licence, because this prevents users from altering or using the work to make other works.

⁷ www.dfid.gov.uk/R4D/AdminLogin.aspx

⁸ <http://creativecommons.org/>

⁹ <http://creativecommons.org/licenses/>

¹⁰ <http://oaspa.org/why-cc-by/>

A tool to assist choosing an appropriate Creative Commons licence is [here](#).¹¹

Best practices for marking different types of output with Creative Commons licences are [here](#).¹²

A Creative Commons FAQ is [here](#).¹³

Permissions

Authors should have secured permission for anything they pass on for inclusion on R4D. R4D does not curate copyright information in its metadata for materials held. Please note that R4D operates a take-down policy when notified that it does not have permission to republish material.

Open access costs

The main direct cost to projects of this policy is connected to open access publishing (gold open access). Open access journals, or those operating a 'hybrid' model, commonly require a fee, usually called the article processing fee (or APC). Fees range from around £800 to £2000 and may be on top of any standard article processing fees charged by the journal. The section *Peer reviewed journal articles* below discusses this further, including how to locate open access and hybrid journals.

The Access and Data Management Plan asks for an estimate of the resources required to support open access activities. Any resources requested for open access activities should be reasonable and fully justified. They will be subject to value for money considerations in the same way as other directly incurred costs. Recognising that these are just estimates, revisions may be discussed as the project develops.

Guidance on requirements that apply to specific types of output

Peer reviewed journal articles

Gold open access refers to the immediate availability of a publication free of charge on the publisher's or journal's website. Gold routes to open access include publishing in an open access journal (which is likely to charge an article processing fee) or through a 'hybrid' ' (or author pays') model which enables authors to publish articles in traditional subscription journals on an immediate open access basis following payment of a fee.

The policy favours the former model - use of open access journals. This is because using open access journals is likely to encourage this publishing model, which is less restrictive than the hybrid model. A list of open access journals is maintained [here](#).¹⁴ However, this database does not include hybrid journals, and an increasing number of journals offer an author pays option which authors may wish to explore.

If researcher's do not pursue gold open access, then they must pursue **green open access**; that is, self-archive a 'post-print' copy of an article within six months of first publication. Post-print here means a final draft, revised after peer review, but not necessarily the publisher's version. This means the content is the same as the final

¹¹ <http://creativecommons.org/choose/>

¹² <http://wiki.creativecommons.org/Marking/Creators>

¹³ http://wiki.creativecommons.org/FAQ#What_are_the_terms_of_a_Creative_Commons_license.3F

¹⁴ www.doaj.org/

published version, even if the appearance is different. We request that the paper is deposited with R4D; researchers may make their post-print copy available on their own website or a suitable institutional or subject based repository as well. Researchers must however check any limitations imposed by the publisher: some publishers have rules on where post-print papers may be published.

The searchable [RoMEO](#) database holds publishers' copyright conditions as they relate to authors archiving their work on-line.¹⁵ Use RoMEO to search for a publisher or a journal to see rights which are assigned to publishers and rights which are retained by the author. RoMEO uses a colour coding system to highlight publishers' archiving policies. To comply with green open access as defined above, the publisher must be green or blue in RoMEO. R4D also uses the RoMEO colour coding system to indicate the archiving policy for a particular journal.

The RoMEO database also shows when an author-pays open access option is available. This information is organised by publisher [here](#) and includes an indication of how much it might cost.¹⁶

Note that it is unlikely that the RoMEO database contains every journal or publisher that researchers may wish to use. Where this is the case, then it will be down to authors to check the policies of that journal/publisher.

DFID welcomes the retrospective submission of post-print copies of journal articles, where currently only the metadata exists on R4D and there is no full text access (subject to usual permissions having been obtained).

When publishing in a closed access journal (and so choosing to pursue green open access), researchers are encouraged to use publishers that enable free or reduced cost access to journal content for developing countries. There are several schemes that negotiate with publishers to provide this access, with lists of participating publishers and journals are on their websites, including:

- [AGORA](#) for food, agriculture, environmental science and related social sciences¹⁷
- [HINARI](#) for biomedical and health literature¹⁸
- [OARE](#) for environment research¹⁹

In a similar vein, INASP works with publishers to enable their online resources to be made available to researchers in developing and emerging countries, freely or with deeply discounted access. The full list of publishers is available [here](#).²⁰ The INASP project [Journals Online](#) supports national and regional platforms (JOLs) for online publication of journals.²¹ Over 80% of participating journals are freely available full-text.

Note however that publishers may vary the content that is available by country and over time. Using a publisher participating in one of these schemes is no guarantee that content will always be available, and available to all low and middle income countries. This is another reason that open access publishing is the preferred option.

¹⁵ www.sherpa.ac.uk/romeo/

¹⁶ www.sherpa.ac.uk/romeo/PaidOA.html

¹⁷ www.aginternetwork.org/en/index.jsp

¹⁸ www.who.int/hinari/en/

¹⁹ www.oaresciences.org/en/

²⁰ www.inasp.info/file/0bf4173e84e076b39ba98c46a0636972/publishers-in-perii.html

²¹ www.inasp.info/file/4fd988568504d4bcfa2f4cd855a07d45/jols.html

Reports and other written material produced by the project or institution ('grey literature')

This is material over which the author or their host institution retains copyright because they are the owners and publishers of the material. As outlined above, we encourage the use of creative commons licences to remove doubt and enable open access to, and the right to reuse or redistribute that material.

Books and book chapters published by third parties

This section refers to books and chapters published by third parties and which are a primary research output, rather than a consolidation of materials (e.g. journal papers, case studies) published previously and elsewhere and so already covered by other aspects of the policy.

Some countries operate legal deposit libraries that receive a copy of every book published in that country. Where this is done, that item is then in principle openly available to others in that country. In practice however there is likely to be a cost of obtaining books on loan from legal deposit libraries. Therefore whilst these libraries serve as book archives, they are not usually openly accessible as we have defined them (i.e. without price barriers).

We require that researchers/institutions negotiate with publishers to retain copyright and to make the book/book chapter in part or whole open access, even if according to certain restrictions such as following a period of publisher exclusivity or within regional limits, or on payment of a fee (see *Open access costs* above).

When a book is published by a third party with no open access arrangements, we recommend that authors negotiate a buy-back option to purchase copies at reduced price to distribute to individuals and institutions at the authors' discretion.

Datasets

Researchers and institutions are requested to deposit datasets in a suitable subject or institutional repository. The [Directory of Open Access Repositories](#) (OpenDOAR) may help in locating a suitable repository.²² The Directory provides a global, comprehensive list of manually checked, quality-controlled repositories for academic material. Users can search by a range of variables including country, subject and content type. Suitable repositories may also be available through the members of the [ICSU World Data System](#).²³

Further resources for help locating repositories are listed by INASP [here](#).²⁴

The advantage of using established repositories is that they are likely to have in place the infrastructure required to curate complex as well as simple datasets, and have standards and conditions for depositing material. This helps ensure that datasets are readily discovered, accessed and used. Metadata for all datasets should be included in R4D.

Where no suitable repository is available, simple datasets may be deposited with R4D [here](#).²⁵ Alternatively, this may be an opportunity to establish an archive at the host institution. For those in developing countries, INASP (International Network for

²² www.opendoar.org/

²³ www.icsu-wds.org/

²⁴ www.inasp.info/file/befc376be7b821ba0667ba35483234c2/list-of-institutional-repositories.html

²⁵ www.dfid.gov.uk/R4D/AdminLogin.aspx

the Availability of Scientific Publications) offers training in creating open access institutional repositories; see [here](#).²⁶

A discussion on the distinction between raw and derived data, as well as options available to share datasets and good practice in the curation of datasets is in the report *To Share or not to Share: Publication and Quality Assurance of Research Data Outputs* (RIN 2008).²⁷

Video, audio and images

The host institution may have suitable tools in place for making video, audio and image outputs freely available. Where this is not the case, we suggest using appropriate third party tools such as [YouTube](#),²⁸ [Audioboo](#)²⁹ and [Flickr](#).³⁰

Metadata for all video and audio outputs and online image collections must be deposited in R4D.

Websites

Where the website domain is on www.dfid.gov.uk, [The National Archives](#) will snapshot and archive every page of the site several times a year.³¹ This is an automatic process and no additional work is required.

Where the website domain is outside dfid.gov.uk, then we encourage pursuit of permanent, open access archiving. For example:

- Host institutions may already have a web archiving process in place
- UK based websites may be nominated for permanent archive to the [UK Web Archive](#).³²
- Websites may have been archived automatically through the [Internet Archive](#).³³ It is possible to view archived web pages using the Wayback Machine, currently on the Internet Archive home page. The Internet Archive also offers a subscription service for institutions to archive websites and other digital material. These are then made accessible to the general public with full-text search. (However, the perpetual future stability of the Internet Archive cannot be guaranteed.)

Computer software

The PLoS (Public Library of Science) software policy lists software archives that meet their standards [here](#).³⁴ These may be suitable for software produced by DFID projects. Otherwise, Wikipedia [lists and compares](#) many free software hosting facilities.³⁵

No single licence is appropriate for all research projects. Licences from the [Open Source Initiative](#)³⁶ or the [GNU Project](#)³⁷ are suitable, although they differ in approach.

²⁶ www.inasp.info/file/98804148d71a72e2c691a2dda813aa45/perii-open-access.html

²⁷ Research Information Network. [To Share or not to Share: Publication and Quality Assurance of Research Data Outputs](#); 2009.

²⁸ www.youtube.com/

²⁹ <http://audioboo.fm/>

³⁰ www.flickr.com

³¹ www.nationalarchives.gov.uk/

³² www.webarchive.org.uk/ukwa/

³³ www.archive.org/

³⁴ www.plosone.org/static/policies.action

³⁵ http://en.wikipedia.org/wiki/Comparison_of_free_software_hosting_facilities

³⁶ <http://opensource.org/licenses/>

³⁷ www.gnu.org/licenses/licenses.html