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| **Open Access/Open Data Implementation Plan**  **<MEMBER CENTER NAME>** |

**Version <2.0>**

**<Date>**

*[Notes to Open Access and Open Data Team]*

*[This document is a template of an Open Access/Open Data Implementation Plan document which complies with the criteria specified by the CGIAR Open Access and Data Management Policy and the CGIAR Open Access and Data Management Implementation Guidelines. The template includes instructions to authors, boilerplate text, and fields that should be replaced with the values specific to the Center/CRP.*

* *Blue italicized text enclosed in square brackets ([text]) provides instructions to the document authors or describes the intent and context for content included in the document.*
* *Blue italicized text enclosed in angle brackets (<text>) indicates a field that should be replaced with information specific to a particular Center/CRP.*
* *Text and tables in black are provided as boilerplate examples of wording and formats that may be used or modified as appropriate. These are offered only as suggestions to assist in developing implementation plans; they are not mandatory fields, formats, or text.]*

*[When using this template, the following steps are recommended:*

1. *Replace all text enclosed in angle brackets (e.g. <Center Name>) with the correct field/document values.*
2. *Modify boilerplate text as appropriate.*
3. *To add any new sections, ensure that the appropriate header and body text are used in order to maintain styles. Styles used for this document are: Heading 1, Heading 2, and Heading 3. Style used for boilerplate text is Normal.*
4. *Before finalizing the plan, delete this section and all author instructions.*
5. *To update the Table of Contents, right-click on it and select “Update field” and choose “Update entire table.”]*

*[Please note: If your Center/CRP already has an Implementation Plan (or one in development), it is not necessary to revise the plan using this template. However, please consider adding the information and detail included in the template to the Center or CRP’s plan.]*

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# Section 1: Introduction

## 1.1: Purpose of the OA/OD Implementation Plan

*[This subsection presents a very brief introduction to <Center/CRP’s> implementation of Open Access and Open Data.]*

Open Access is vitally important to increasing the visibility, accessibility and impact of the research of CGIAR and other agricultural research for development stakeholders. A number of reports and studies have established that Open Access not only increases the visibility of research but also increases the citation rate of research and the utility of underlying data. Furthermore, a rigorous and consistent approach to data management will ensure that data is collected, stored, analyzed and shared in a manner that will have the greatest impact, whilst also protecting the rights of third parties and stakeholders where appropriate.

*[Note: If the Plan has been written by a team that includes external authors, please include a short footnote identifying these authors and offering a brief statement about their expertise in this arena.]*

## 1.2: Scope of Open Access and Definition of Openness

*[This subsection includes a description of the scope of Open Access applicable pursuant to the CGIAR Open Access and Data Management Policy.]*

This OA/OD Implementation Plan has been developed pursuant to the CGIAR Open Access and Data Management Policy (adopted 2013) and the CGIAR Open Access and Data Management Implementation Guidelines (adopted 2014). This policy framework stipulates that Open Access is required to all CGIAR information products, with the exception of those subject to narrow limitations such as:

1. Final information products produced prior to 2 October 2013 (i.e. the effective date of the CGIAR Open Access and Data Management Policy);
2. Information products that are unstable, unlikely to undergo further change or contain characteristics which are assessed to be of limited value to others (e.g. due to low quality);
3. Information that is determined to be of a sensitive nature due to considerations including privacy, price and political sensitivity, adverse effects on farmers rights, etc.
4. Confidential information associated with permitted restrictions or subject to limited delays to seek IP rights pursuant to the CGIAR IA Principles;
5. Confidential information of Centers beyond the scope of the CGIAR Open Access and Data Management Policy or the IA Principles (for instance, HR hiring documents, personnel records, certain types of financial records, certain types of contracts or vendor agreements, private Board of Trustee minutes all include sensitive and/or confidential information and will not be included in OA repositories).

*[This subsection includes a definition of openness – either the definition included in the CGIAR Open Access and Data Management Policy or the Center’s definition if it differs.]*

For the purposes of the CGIAR Open Access and Data Management Policy, 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 licenses in line with the CGIAR IA Principles), subject to proper attribution.

*[Please note that while the CGIAR definition of open access permits restrictions as to commercial use, increasingly, research funding agencies such as the Bill & Melinda Gates Foundation require unrestricted reuse of content, including for commercial purposes, by mandating use of a CC-BY 4.0 International License or equivalent) to be considered “open.”]*

## 1.3: Overview of the <Center/CRP>

*[A brief – approximately 1 paragraph – introduction to the Center/CRP with regard to the size, scale, and scope of Open Access and Open Data operations to offer context for readers.]*

*[Examples of items to note: approximate number of FTE researchers, annual research budget, key funding agencies with OA/OD policies that will likely affect this Center/CRP’s researchers, approximate number of peer-reviewed articles published each year, and journals where researchers from this Center/CRP publish on a regular basis.]*

## 1.4: Overview of Current OA/OD Environment at <Center/CRP>

*[This subsection briefly describes the current Open Access/Open Data environment at the Center and which open repositories are in use.]*

*[If a Center/CRP has its own OA/OD Policy, it should be noted here. Furthermore, please indicate how the policy differs from the CGIAR Open Access and Data Management Policy.]*

## 1.5: Information Products and Priorities

*[This subsection indicates which types of information products are the focus of the implementation plan. It is expected that some Centers might wish to prioritize certain types of information products or content within product types during the initial phase of implementation. If so, this should be noted, along with the framework used for prioritization (e.g. of particular datasets). It is recommended that peer-reviewed, scholarly articles published after 02 October 2013 and datasets for projects which were completed after 02 November 2013 should be the top priority during this initial phase of implementation.]*

*[Specify which types of information products are prioritized for Open Access treatment.]*

## 1.6: Deposit Schedules for Information Products

*[The Open Access & Data Management Implementation Guidelines indicate that “content should be deposited in full as soon as possible after an item is complete or is in its final form. Plans should address timelines for depositing information products into repositories. Plans’ deposit schedules should be consistent with these guidelines or indicate shorter timelines than those presented here. See Table 1 for details from the Open Access & Data Management Implementation Guidelines.]*

*[If the implementation plan allows for a longer gap between the completion of an information product and its deposit into a repository during the transition phase, include an explanatory note.]*

The timeframes stated in the Implementation Guidelines (Table 1) reflect the minimum deposit commitments made by CGIAR Centers during the transition period until 2 October 2018, after which the deposit schedule contained in the Policy becomes binding.

**Table 1: Deposit Schedules from the CGIAR Open Access & Data Management   
Policy and Implementation Guidelines**

|  |  |  |
| --- | --- | --- |
| **Types of Information Products** | **Transition Deposit Schedule** (until October 1, 2018) | **Policy Deposit Schedule** (from October 2, 2018) |
| Peer-reviewed versions of journal articles | As per the Policy Deposit Schedule unless OA is prohibited or subject to a longer embargo period by publisher | Ideally, at the time of publication  Latest: 6 months from publication |
| Self-published journals, books, reports etc. | Immediately | Self-published materials not currently addressed in the Policy |
| Reports and other papers | As soon as possible  Latest: within 6 months of completion | As soon as possible  Latest: within 3 months of completion |
| Externally or commercially published books and book chapters | As per the Policy Deposit Schedule | As soon as possible  Latest: within 6 months of completion |
| Data and data sets | As per the Policy Deposit Schedule | As soon as possible  Latest: within 12 months of completion of data collection or appropriate project milestone, or within 6 months of publication of the information products underpinned by that data |
| Video, audio, scientific images | As soon as possible  Latest: within 6 months of completion | As soon as possible  Latest: within 3 months of completion |
| Photographs | As soon as possible  Latest: within 6 months of completion or publication | As soon as possible  Latest: within 3 months of completion or publication |
| Computer software/applications/code | As soon as possible  Latest: within 6 months of completion | Upon completion of software development |
| Metadata | As soon as possible  Latest: before or on publication of the information product | As soon as possible  Latest: before or on publication of the information product |
| Core/corporate governance documents appropriate for public consumption | e.g., financial reports, board agendas and minutes, annual reports, as appropriate  As soon as possible | As per ‘reports’ category of Information Product (Core/corporate governance documents not currently addressed separately in the Policy) |
| Automated deposit extensions | Certain types of information products (in particular data collected pursuant to hypothesis-driven research) may take longer than 12 months to clean, analyze and publish. Thus, 12 months should be seen as the aim, with 24 months as the long-stop date for making such data Open Access. | A long-stop date of 24 months is not currently included in the Policy |

While the Policy is designed to make final information products available via Open Access as quickly as possible, this transition process will take time; as such, implementation may occur through a phased approach. The Implementation Guidelines are intentionally broad in nature and designed to offer Centers/CRPs as much flexibility as possible while they plan for and prepare their own implementation plans and approaches to supporting Open Access and Data Management. There is, therefore, allowance for a slightly longer gap between completion of research and deadlines by which information products will be expected to be deposited into repositories.

*[If the Center/CRP is adopting different timelines from the above table in regard to the transition period, it should be noted here and the rationale explained.]*

## 1.7: Exceptions and Extensions to the Deposit Schedules

*[Centers/CRP need to explain the internal notification and approval mechanisms through which exceptions and non-automated exemptions to the deposit schedule will be managed with regard to (a) information that is determined to be of a highly sensitive nature due to considerations including privacy, price and political sensitivity, adverse effects on farmers rights, etc.; and (b) confidential information as may be associated with permitted restrictions or subject to limited delays to seek IP rights as per the CGIAR IA Principles. In both scenarios the involvement of the Data Manager and/or Knowledge Manager as well as the IP Focal Point[[1]](#footnote-1) is strongly recommended.]*

# Section 2: Strategy and Implementation Overview

## 2.1: Overview of Strategy and Approach to Implementation

*[Overview of the approach the Center/CRP is taking in its implementation of Open Access and Open Data – i.e., if the Center/CRP is approaching implementation for both areas as a single work stream, or if the Center/CRP is handling Open Access to publications via one stream and Open Data separately.]*

## 2.2: Goals and Objectives

*[Center/CRP-specific goals and objectives for Open Access and Open Data.]*

*[From the CGIAR Open Access and Data Management Policy: 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.]*

*[If the goal is to increase uptake and usage of CGIAR research and development activities, objectives for OA/OD should be more concrete. For instance, to have 75% of research produced in 2014 fully openly-accessible via the Center’s repository by 1 July 2015.]*

## 2.3: Timelines and Key Milestones

*[This subsection should outline activities and milestones in detail for 2015 and at a high level for 2016-2018. If a Center/CRP is pursuing a phased approach to implementation, it should be noted and explained in this subsection.]*

## 2.4: Anticipated Needs and Challenges

*[This subsection should identify any significant anticipated challenges for implementing OA/OD within the Center/CRP. Some items to consider:*

* *Schedule*
* *Budget*
* *Resource availability and skill sets*
* *Technology to be acquired, updated, maintained, installed, etc.*
* *Researchers’ awareness, compliance, challenges*
* *Administering article processing charges (APCs) at scale*
* *Supporting researchers’ questions and concerns around OA publishing and deposits*
* *Supporting researchers’ questions and concerns around data management and data quality]*

## 2.5: Lead Centers, Participating Centers and Partners

*[Use this subsection to indicate the relationship between the Center and CRPs – for example, which CRPs this Center is serving as the lead Center and which CRPs this Center is serving as a participating Center. The assumption is that a Center’s Implementation Plan will be applicable to the CRPs it leads.]*

Information products produced by lead Centers and participating Centers (including partners) in CRPs are subject to the Open Access and Data Management Policy. Agreements put in place after 2 October 2013 should be carefully negotiated to ensure that any restrictions on sharing data under a research and/or development project are limited in duration, territory and/or field of use, if applicable, and fully justifiable by reference to the CGIAR IA Principles (i.e., in particular, articles 6.2, 6.3, and 6.4)[[2]](#footnote-2) and the CGIAR Open Access and Data Management Guidelines.

# Section 3: Technical Infrastructure

*[Many Centers/CRPs use separate repositories for data and publications. In these cases, it might be preferable to split this section into two – one section for the Technical Infrastructure for Open Access Publication Repositories and a second section, including the same elements, for Technical Infrastructure for Open Data.]*

## 3.1: Repository Systems

*[Repository systems should meet current industry standards for interoperability and metadata. Plans should address which repositories are in use for each type of information product and associated URL(s).]*

*[For Publication and General-Purpose Repositories: DSpace, EPrints, Invenio, and ContentDM are all acceptable repositories and meet the required standards for interoperability and metadata.]*

*[For Data Repositories: Dataverse meets the required standards for interoperability and is currently in use by many CGIAR Centers to collect and disseminate datasets. During 2015, the DMTF is expected to issue recommendations for other types of data and GIS repositories.]*

*[If a Center/CRP is using a system other than the ones listed above, it must be able to allow for the transfer of metadata via a protocol such as OAI-PMH or OData, and the digital objects must be openly accessible per the guidelines set forth in the CGIAR Open Access and Data Management Policy. Specifically, the digital objects themselves (postprints or publishers’ versions of articles, complete data sets) must be freely and directly accessible to the public.]*

## 3.2: Interoperability

*[This subsection should identify which interoperability protocols, standards, APIs, web-based aggregation, and harvesting systems, services, and tools are in use.[[3]](#footnote-3) In addition, please address any current or planned ways in which digital objects and/or metadata will be transferred or interpreted between systems (internally or externally), and any new or emerging tools, protocols, or frameworks being tested or considered for adoption.]*

*[At a minimum, all repositories address:*

* *Which mechanisms are in place to enable cross-system transfer of content or metadata and how these mechanisms are being used – for instance, if SWORD or Dataverse APIs are in use;*
* *How content is transferred between systems (internally or externally);*
* *How metadata is transferred between systems (internally or externally);*
* *Whether each repository is OAI-PMH compliant and if OAI-PMH is currently enabled*
* *What other interoperable tools are enabled and adopted within the repositories – for instance, SWORD, LOD, Dataverse APIs, Altmetrics or any other relevant interoperability tools/plugins*
* *Any new or emerging tools, protocols, or frameworks under consideration for adoption in the next 1-2 years]*

## 3.3: Metadata

*[Centers/CRPs should demonstrate that they are working towards adopting the CG Core Metadata Schema. Plans should confirm that they have adopted CG Core and offer details on any additional metadata schemas and taxonomies are in use and how they are applied. Please include a crosswalk to demonstrate how repository fields are related to CG Core elements.]*

*[In the long run, Centers/CRPs should aim to adopt Linked Open Data protocols as appropriate such as the AGROVOC Linked Open Data API to use AGROVOC terms from within a repository. Include any details regarding plans for moving towards implementing Linked Open Data.]*

*[CG Core refers to use of persistent identifiers. Please indicate which type(s) of persistent identifiers are implemented and in which repository.]*

## 3.4: Data Storage and Preservation for Future Use

*[Plans should address storage and preservation issues such as storage redundancy; storage formats and preservation mechanisms; use of persistent identifiers; recommended and accepted file formats.]*

*[Plans – and repositories – should include a preservation policy. For example:]*

<Center/CRP> is committed to responsible and suitable management of works deposited in <repository name>.

1. Digital preservation is an evolving field. <Center/CRP> bases its preservation strategy on the Open Archival Information System (OAIS) reference model (ISO 14721:2012); this strategy will continue to evolve and is informed by current and emerging best practices.
2. Efforts will be taken to preserve any work submitted to <repository>. However, contributors are strongly encouraged to deposit information products in a recommended file format in order to facilitate long-term preservation. See <url/list of recommended file formats> for details. For files in other formats, a derivative copy in a more stable format should be created if feasible. In these cases, both versions and associated metadata should be deposited.
3. <Repository> will provide long-term access to submitted works along with associated metadata. In order to provide long-term access, <Center/CRP> will: backup files in a secure and redundant manner, periodically refresh the storage media, and migrate obsolete file formats for files stored in recommended open file formats.
4. At this time, <Center/CRP> is committed to preserving the bitstream of files.
5. All works submitted to <repository> will receive a persistent URL.
6. This policy will be reviewed annually to ensure practices are consistent as technology and best practices evolve.

*[Centers/CRPs are encouraged to maintain a list of recommended file formats on the repository website, but please include a current list as part of the implementation plan or a url to a live website.]*

Recommended file formats for publications:

|  |  |
| --- | --- |
| Format | File Extensions |
| Acrobat PDF/A | .pdf |
| Comma-separated values | .csv |
| Open Office formats | .odt, .ods, .odp |
| Plain text (US-ASCII, UTF-8) | .txt |
| XML | .xml |

*[If images, audio, and video files are collected and disseminated via the repository, recommended formats should be indicated as well. Ex:* [*http://www.lib.cam.ac.uk/dataman/resources/File\_Formats.pdf*](http://www.lib.cam.ac.uk/dataman/resources/File_Formats.pdf)*]*

*[Data repositories should include recommendations for preferred file formats.]*

*[Perpetual Access: Plans should include a statement indicating what happens if the repository is shut down.]*

## 3.5: Limited Internet Connectivity

*[This subsection should include ways in which the Center/CRP is specifically supporting access to content in low-bandwidth and mobile environments.]*

To assist those with limited internet connectivity, designing easily accessible information products or providing alternate versions of materials that require minimal data download is encouraged if it does not affect the quality of the information products.

In order to maximize uptake within these environments, <Center/CRP> has taken the following steps, based on Aptivate’s best practices:[[4]](#footnote-4)

* Whenever feasible, pages are smaller than 25kB
* *<etc.>*

# Section 4: IPR/Intellectual Assets

## 4.1: CGIAR Principles on the Management of Intellectual Assets

*[This subsection includes a brief statement connection Open Access to the CGIAR IA Principles.]*

The CGIAR IA Principles and associated implementation guidelines provide for the prompt and broad dissemination of research results, which translates to a default assumption that information products should be made openly accessible as soon as possible. Article 1 of the Open Access and Data Management Policy states “this Policy complies with the CGIAR Principles on the Management of Intellectual Assets (‘CGIAR IA Principles’), which is the umbrella document for this Policy.” The assumption of Open Access may be challenged by reference to the allowable/reportable restrictions and exclusions set out in the CGIAR IA Principles and associated implementation guidelines, and the guidance in these Guidelines that allow for restricting Open Access in certain circumstances.

## 4.2: Open Licenses

*[Center-specific guidance related to suitable open licenses.]*

Article 4.1.5 states that ‘*Suitable open licenses shall be used that recognize the legal rights to information products and encourage their use and adaptation.*’

In addition to providing greater access to knowledge, Open Access and Open Data also include provisions for allowing for the rights for others to reuse information products – which means using appropriate open licenses.

*[A variety of open licenses exist; Centers/CRPs should work with their IP focal points to recommend specific licenses via the Implementation Plan. For publications and data, Creative Commons Attribution licenses (CC-BY 4.0) are becoming the norm for Open Access and Open Data policies (and is in fact mandated by the Bill and Melinda Gates Foundation).[[5]](#footnote-5) The GNU General Public License (GNU GPL) is often used for software and programming code.[[6]](#footnote-6)]*

## 4.3: Guidance for Authors

*[It is recommended that Centers include or link to guidance for authors in their implementation plans.]*

## 4.4: Translations

*[Use this subsection to address how recommended licenses will allow for re-use such as translations of information products and ways in which translations are encouraged. If specific open licenses were recommended in section 4.2, it is important that these licenses are open enough to allow for translations and other types of re-use.]*

Article 4.1.7 of the CGIAR Open Access and Data Management Policy states that *‘Translations of key documents and other media into pertinent languages are encouraged. All versions should be deposited in suitable repositories and made Open Access.’*

*<Center/CRP>* encourages adoption of CC-BY licenses; these licenses allow for re-use of information products, including translations.

# Section 5: OA/DM Teams and Staffing

*[Use this section to describe who is responsible for Open Access and Open Data operations at the day-to-day operational level, management and oversight of Open Access and Open Data, and the make-up of any cross-functional teams. Reconfigure this section as appropriate based on the Center’s organizational structure.]*

## 5.1: Day-to-Day Operations

[Describe which team members and/or individuals are responsible for day-to-day operations of Open Access and Open Data/Data Management.]

## 5.2: OAIWG and DMTF Representation

*[Indicate who the Center/CRP’s representatives are for the CGIAR-wide Open Access Implementation Working Group (OAIWG) and Data Management Task Force (DMTF).]*

## 5.3: <Center/CRP Steering Committee> and Other Internal Partners

*[Use this subsection to describe any Center-specific oversight teams, steering committees, and internal partners – for example:]*

*<Center>* has an Open Access group with representation from *<the library, KM team, Communications Department, IT, and Legal>*. The group is chaired by *<name>* from *<department/team>*. The full team includes:

* *<name>, <department/team>*
* *<name>, <department/team>*
* *<name>, <department/team>*
* *<name>, <department/team>*

# Section 6: Promoting and Supporting Researchers’ Implementation of OA for Publications

*[Most of the information included in this section is not explicitly referenced in the Open Access and Data Management Policy or implementation guidelines; however, Centers/CRPs are highly encouraged to address these issues as part of the implementation planning process, and thus it is recommended that these subsections are included in implementation plans. Furthermore, the information captured in these sections will be useful for other CGIAR Centers to generate ideas and share best practices.]*

## 6.1: Deposit Workflows for OA Publications Repository

*[This subsection should be used to include a high-level overview of the process to deposit an item into the publication repository. Describe in words or with a simple diagram, whichever is easier.]*

*[If the Center/CRP does not yet have an operational repository, it is important to indicate how materials are being captured, collected, and described as an interim step while the repository is being developed.]*

## 6.2: Author Guidance

*[This subsection should capture and share current plans for dealing with issues specific to OA for publication such as guidance for authors, using author addendum, information about Creative Commons licenses, guidance on where to publish, etc. If such materials are available as standalone documents, please include urls. If such items are only available within a locked intranet, please attach as an annex.]*

## 6.3: Funding for OA Fees

*[This subsection should capture and share current plans for dealing with issues specific to expenses related to Open Access publishing fees – article-processing charges (APCs), hybrid OA journal fees (i.e. payments to allow authors to opt-in to publish with an OA license or gain permission to deposit in an OA repository), guidance for integrating OA into funding proposals, etc. If such materials are available as standalone documents, please include urls. If such items are only available within a locked intranet, please attach as an annex.]*

*[If the Center/CRP has negotiated any Center-specific fees or arrangements with publishers, please explain here.]*

## 6.4: Internal Communication Strategy

*[Overview of communication strategy and ways to raise awareness about implementation among researchers. The internal communication strategy or advocacy plan should be approached jointly for Open Access and Open Data in order to present a cohesive message.]*

# Section 7: Promoting and Supporting Researchers’ Implementation of Open Data and Data Management

## 7.1: Deposit Workflow for Open Data Repository

*[This subsection should be used to include a high-level overview of the process to deposit an item into the data repository. Describe in words or with a simple diagram, whichever is easier.]*

*[If the Center/CRP does not yet have an operational repository, it is important to indicate how materials are being captured, collected, and described as an interim step while the data repository is being developed.]*

## 7.2: Support for Data Management Practices and Data Quality

*[This subsection should capture and share current plans for dealing with issues specific to Open Data such as when to publish data in a repository or working with data citations. If such materials are available as standalone documents, please include urls. If such items are only available within a locked intranet, please attach as an annex. Please use this section to highlight how the Center/CRP is dealing with data quality.]*

## 7.3: Data Streams

*[CGIAR research covers a wide range of subject areas, sectors, and data streams, including but not limited to, data related to: genetics/genomics; genebanks; agronomy; breeding; natural resource management – including soils, hydrology, climate, and more; socioeconomics – including surveys, food security, poverty, livelihoods, nutrition, and allied areas; geospatial information, and other sectors.]*

*[Several of these data streams might require subject-specific support – for instance, different types of tools, services, systems, or metadata to further enhance discovery and usability of data from that stream and/or allied areas. Please use this section to highlight how the Center/CRP is dealing with nuances related to particular data streams –ways in which a data stream is being supported in a different way or through any specialized services, tools, systems, or metadata.]*

# Section 8: Financial Administration

## 8.1: Major Expenses

*[Use this section to present the budget for Open Access/Open Data. Identify any significant expenses.]*

**Table 2: Open Access/Open Data Budget for 2015**

|  |  |  |
| --- | --- | --- |
| **Line Item** | **Amount** | **Explanatory Notes** |
| ***IT/Infrastructure:*** | | |
| Data Repository |  |  |
| Publications Repository |  |  |
| Hardware |  | *<Computers, servers, other equipment>* |
| Programming/development |  | *<identify which repository>* |
| Annual maintenance fees |  | *<identify which repository>* |
| Website development related to repositories |  | *<identify which repository/website>* |
| *<Other>* |  | *<Ex: DOIs or other types of persistent identifiers>* |
| ***Staffing:*** | | |
| Staff salaries – open data |  | *<Indicate approx. FTE for Open Data>* |
| Staff salaries – OA publications |  | *<Indicate approx. FTE for Open Access for Pubs>* |
| Professional development for OA/DM |  |  |
| ***Membership Fees:*** | | |
| Altmetrics provider(s) |  | *<Indicate which companies/services>* |
| Publisher-based institutional memberships |  | *<Indicate which – ex: PLOS Institutional Account, Springer OA Membership>* |
| *<Other>* |  | *<Indicate which – ex: DataCite membership, RDA membership, COAR membership>* |
| ***Other Expenses:*** | | |
| Marketing/promotion materials |  |  |
| OA Fees for Articles |  | *<Article-processing charges – total if the Center is paying for these fees vs. authors incorporating into grant funding or waived fees>* |
| *<Other>* |  |  |

*[In addition to the budget for 2015, please indicate any major upcoming expenses for 2016-2018 -- for example, development work leading up to a system migration or costs associated with starting up a new repository.]*

# Section 9: Assessment, Impact, Review

*[This section should be used to address any Center-specific plans for tracking and assessing impact of Open Access and Open Data and their measures of success. It is recommended that Centers/CRPs review progress, compliance, and uptake at multiple levels: at the highest level, by looking at the repository itself; gauging usage and/or uptake for content within repositories (item/article level); and examining individuals’ compliance. Furthermore, please indicate any specific steps in place to maximize visibility of the Open Access/Open Data initiative, repositories, and repository content.]*

*[Plans should address which metrics are being collected and how they are interpreted in order to understand usage, impact, and uptake of materials disseminated via open repositories. Input from these sections will inform system-level recommendations for assessment. Further recommendations related to metrics, altmetrics, quantitative and qualitative measurements are expected later in 2015 based on input from Centers, CRPs, the OAIWG, and DMTF.]*

## 9.1: <Center/CRP> Repository-Level Metrics

*[Management of OA/OD efforts should include repository-level metrics to track and measure growth of repository content, who is adding records, how much repository items are downloaded, country-level information about who is making downloads, and how users are finding repositories.]*

## 9.2: Measuring Item-Level Usage/Uptake

*[This subsection should include statements about altmetrics, article-level metrics, data citations, and metrics for data. Indicate any altmetrics providers the Center/CRP is using such as Plum Analytics, Impact Story, Altmetric.com. Also how those altmetrics are being used and how they are shared with researchers.]*

*[Include a statement about Impact Factor – if it is being used for any purpose, how so.]*

## 9.3: Measuring Individuals’ Compliance

*[Plans should address ways in which individuals’ compliance is tracked, measured, and reviewed. If the Center/CRP has mechanisms in place to push compliance, it should be noted here. For instance, the University of Liege in Belgium only recognizes those items deposited into repositories as part of the annual review process.]*

*[Some research-funding organizations like the U.S. National Institutes of Health (NIH) policy and the Wellcome Trust are beginning to penalize researchers who do not comply with OA/OD policies, resulting in withholding or delayed payment of funds.[[7]](#footnote-7)]*

*[Employment contracts should be updated to include reference to the OA/OD policy and appropriate methods of assessment.]*

Credit should be given to researchers for efforts to disseminate their information products in openly-accessible ways (i.e. via depositing into the <Center’s/CRP’s> repositories). Employment contracts now include the following language to include reference to the OA/OD Policy and how it will be tied to assessment:

*[Insert language here.]*

## 9.4 Assessing and Reviewing <Center/CRP>-Level Progress and Impact

*[This subsection should indicate how progress at the Center/CRP-level is being tracked and how it will be interpreted. Some metrics to consider: % of full-text articles vs. metadata-only records; the number of full-text articles submitted within 1 month of publication, within 3 months of publication, within 6 months of publication; etc.]*

## 9.5: Increasing Visibility – Additional Steps

*[Use this section to describe any other ways in which the repository, repository contents, and CGIAR Open Access/Open Data are being promoted in order to increase visibility and uptake of research. For example, list any directories and registries in which the repository is listed, any known harvesters that are harvesting and aggregating contents, suggestions offered to researchers on increasing visibility of their materials, etc.]*

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| --- |
| **Open Access/Open Data Implementation Plan**  **Template Annex** |

**11 May 2015**

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| --- |
| *About the Template Annex:*  Additional suggested text and tables that were requested during the Asia and MENA Open Access/Open Data Implementation Workshops are included in this document.  The notes in this Annex are intended to provide supplemental guidance, clarifications, or revised tables to include in Centers’/CRPs’ Implementation Plans based on the feedback and input received from participants during these two workshops.  Materials included in this annex are not intended to replace any content in the Template, but rather to offer additional language to consider incorporating into implementation plans. |

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| Change log:   * Section 1.1 – Additional text added May 2015 * Section 1.7 – Additional text added May 2015 * Section 8.1 – Additional text added May 2015 |

# Section 1: Introduction

## 1.1: Purpose of the OA/OD Implementation Plan

*[This subsection presents a brief introduction to <Center/CRP> implementation of Open Access and Open Data. Some Centers requested additional sample text to incorporate referring to Open Access policies by key donors.]*

Over the past five years, major research funders around the world have begun to mandate Open Access to outputs of the research they fund. In late 2014, the Bill and Melinda Gates Foundation instituted an important policy which, after a two-year transition period, will require immediate, unrestricted access and reuse to all research outputs – including data – funded in part or in whole by the foundation. Other major funders of CGIAR research such as DFID, USAID, and USDA also have their own policies which push for open access to research outputs, including data.

## 1.7: Exceptions and Exemptions to the Deposit Schedule

*[Several Centers requested further clarification and sample text to use as a starting point for this section. Further clarification and a suggested work flow is provided below. The workflow should be revised based on the actual workflow in place at each Center.*

*CGIAR Centers have a general legal obligation to promptly and broadly disseminate research results (as per Article 6, CGIAR IA Principles) and specifically, to make information products Open Access in accordance with the deposit schedules contained in the Open Access Implementation Guidelines (covering the transition period until October 2018) and the Open Access Policy (binding as from October 2018). To facilitate legal compliance and to minimize reputational risk to the CGIAR as a whole that can arise from instances of non-compliance, all requests for exceptions and/or exemptions to the Policy should be made in writing and follow a clear internal procedure for review on a case-by-case basis. Additionally, good faith compliance with the Open Access Policy during the transition period should ensure internal tracking of instances in which the deposit schedule timeframes specified in the Implementation Guidelines cannot be achieved. This includes instances in which the long-stop date of 24 months is relied upon as an automated deposit extension, as well as exceptional instances during the transition period in which despite best efforts, the long-stop date of 24 months cannot be achieved. This evidence collection will help inform evaluation during the transition period and any future review of the Open Access Policy and its Implementation Guidelines.]*

Any determination that research outputs (i.e., publications, data, or other types of information products resulting from research) should not be made openly accessible because it is subject to confidentiality or is of a highly sensitive nature, should be submitted in writing for approval by <Deputy Director General> and <IP Focal Point/Legal Department>. For instance, exceptions to the policy may be made for materials that might adversely affect farmers' rights, have privacy implications for individuals, are politically sensitive in nature, or contain pricing details that could negatively impact farmers.

For instances in which the deposit timeframes specified in Section 1.5 cannot be achieved, researchers should notify in writing the <Data Manager, KM Focal Point, or appropriate member of OA/DM team>. Notification should be sent upon the lapsing of the deposit schedule or sooner if known in advance, and should include an explanation of the challenges which have delayed or prevented deposit as well as any other relevant information to facilitate internal follow-up and assistance. Likewise, when the long-stop date of 24 months cannot be achieved, researchers should notify in writing the <IP Focal Point/Legal Department> ***and*** the <Data Manager, KM Focal Point, or appropriate member of OA/DM team>. The notice is to be given upon the lapsing of the 24 months or earlier if delays are anticipated in advance. The notice should include an explanation of challenges experienced which have delayed or prevented the deposit and any other pertinent information which may facilitate internal follow up and assistance. The information collected in these notices will serve as evidence to inform evaluation during the transition period and any future review of the Open Access Policy and Implementation Guidelines.

# Section 8: Financial Administration

## 8.1: Major Expenses

*[Researchers are encouraged to incorporate the cost of dissemination into project proposals and funding requests. Likewise, CGIAR CRPs should include the cost of research dissemination into their planning efforts, particularly as part of the 2nd round of CRP requests. However, for the next few years, we will be in a transition period while research that has already been funded and did not include dissemination costs or data management into projects still needs to be made openly accessible.]*

*[In order to separate initial costs and one-time fees to operationalize Open Access, particularly during this transition period, Centers/CRPs are encouraged to consider their budgets for the transition period and also after the second round of CRPs are put into effect. A sample table is provided below. One-time costs should be noted – for instance, repository start-up fees, content migration into suitable repositories, or one-time metadata enhancements to align with CG Core.]*

|  |  |  |  |
| --- | --- | --- | --- |
| **Line Item** | **Annual amount 2015 – 2017 (transition period)** | **Annual amount**  **2018+ (after 2nd round of CRPs in effect)** | **Explanatory Notes** |
| **Technology** |  |  |  |
| Data Repository |  |  |  |
| Publications Repository |  |  |  |
| Hardware |  |  | <Computers, servers, etc.> |
| Programming/development |  |  | <identify which repository> |
| Annual maintenance fees |  |  | <identify which repository> |
| Website development related to repositories |  |  | <identify which repository/website> |
| <Other> |  |  | <Ex: DOIs or other types of persistent identifiers> |
| **Staffing** |  |  |  |
| Staff salaries – open data |  |  | <Indicate approx. FTE for Open Data> |
| Staff salaries – OA publications |  |  | <Indicate approx. FTE for Open Access for Pubs> |
| Professional development for OA/DM |  |  |  |
| **Membership Fees** |  |  |  |
| Altmetrics provider(s) |  |  | <Indicate companies/ services> |
| Publisher-based institutional memberships |  |  | <Indicate which – ex: PLOS Institutional Account, Springer OA Membership> |
| <Other> |  |  | <Indicate which – ex: DataCite membership> |
| **Other Expenses** |  |  |  |
| Marketing/promotion materials |  |  |  |
| OA Fees for Articles |  |  | <Article-processing charges – total if the Center is paying for these fees vs. authors incorporating into grant funding> |
| <Other> |  |  |  |

1. Involvement of the IP Focal Point is recommended because the application of an exemption or extension to the deposit schedule has implications concerning a Center’s obligations to promptly and broadly disseminate results as required pursuant to Article 6 of the IA Principles. [↑](#footnote-ref-1)
2. Article 6.2 is on “Limited Exclusivity Agreements,” Article 6.3 is on “Incorporation of Third Party Intellectual Assets” and Article 6.4 is on “Intellectual Property Rights,” all part of the CGIAR IA Principles. [↑](#footnote-ref-2)
3. For more details about interoperability and repositories, please consult the following reports produced by the Confederation of Open Access Repositories (COAR): “The Case for Interoperability for Open Access Repositories,” “The Current State of Open Access Repository Interoperability (2012),” and “The COAR Roadmap: Future Directions for Repository Interoperability.” All three reports are accessible at: <https://www.coar-repositories.org/activities/repository-interoperability/> [↑](#footnote-ref-3)
4. Web Design Guidelines for Low Bandwidth by Aptivate: <http://www.aptivate.org/webguidelines/TopTen.html> [↑](#footnote-ref-4)
5. Creative Commons Attribution 4.0 License: <http://creativecommons.org/licenses/by/4.0/> [↑](#footnote-ref-5)
6. GNU General Public License: <http://www.gnu.org/licenses/#GPL> [↑](#footnote-ref-6)
7. For further details on non-compliance, see Richard Van Noorden, “Funders punish open-access dodgers,” in *Nature News* (09 April 2014): <http://www.nature.com/news/funders-punish-open-access-dodgers-1.15007> [↑](#footnote-ref-7)