

# IDS Open Access Policy

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## 1. Introduction

IDS is committed to enabling engaged excellence in constructing and sharing knowledge for development as widely as possible and supports its members (and any partner organisations) in making their work available as Open Access. The benefits of increased access include broader reach and impact worldwide, especially in Southern countries, and fostering collaboration with peers.

- IDS recommends that members (with any partner organisations) publish through gold Open Access where feasible but that the green option is also acceptable where necessary.
- IDS supports the use of Creative Commons licences as appropriate to the published piece and the research funder's provisions, and always subject to proper attribution.

- All published outputs by IDS members (and any partner organisations) are required to be deposited in the Institute's repository – OpenDocs – at appropriate times according to any publisher and funder embargoes.
- IDS will ensure that any special allocations from funders towards gold Open Access publishing will be suitably managed to cover any Article Processing Charges from journal publishers.
- However, IDS members (and any partner organisations) are not deterred from publishing in journals of their choice, even if those journals do not currently support Open Access.
- This policy applies to peer-reviewed journals, books and book chapters, conference proceedings, grey literature and other media such as photographs, video and audio material, and website content.
- This policy, published in October 2015, will be reviewed regularly in order to respond to any changes in Open Access policy by funders and other external organisations. Implementation and evolution will be ongoing over the next strategic period (up to 2020).

## 2. Our vision

As an organisation that pursues and enables engaged excellence in constructing and sharing knowledge for development, IDS is committed to making research knowledge freely available, accessible, re-usable and relevant to those who can use it to drive transformative social, political and economic development.

### 2.1 Progress so far

Open Access offers a number of exciting opportunities that can help support this vision by increasing the reach and impact of IDS's work, and IDS has already:

- Decided to bring our flagship publication, the *IDS Bulletin* back in-house in 2016 and make all content freely downloadable and published under a Creative Commons licence.
- Worked to bring the views of Southern stakeholders (researchers, librarians, university administrators, knowledge intermediaries and policymakers) to the forefront of the debate on Open Access.
- Been involved in supporting capacity development of knowledge intermediaries, information literacy training, and integrating research uptake activities into research projects.
- Ensured that much of IDS published material is currently freely downloadable and available through OpenDocs, IDS' institutional repository.

### 2.2 Future plans

The implementation, review and evolution of this policy will be ongoing over the next strategic period (2015–20):

- Recommend and support IDS staff and partners, reporting publicly-funded research, to publish their findings (including multimedia, photographs and website content material) through one of the Creative Commons licences, Open Access or other publishers, or through all rights reserved journals which enable Open Access through payment of Article Processing Charges (subject to funder mandates).
- Promote Open Access as the recommended method by which to make works available to all.
- Increase access to IDS materials further by opening up licensing arrangements and ensuring more compliance with open aims by all IDS members.
- Ensure that all publications continue to be deposited (in appropriate format and at appropriate time according to funder mandates and publishing embargoes) in OpenDocs, IDS' institutional repository.

### **2.3 Review process**

Debates around Open Access are evolving rapidly and IDS recognises that this policy will need to reflect these changes and be reviewed on a regular basis.

## **3. What is Open Access?**

Open Access (OA) material is digital, online, free of charge, and free of most copyright and licensing restrictions.

*Gold OA:* Published pdf articles available to freely download and re-use through the journal's official website, sometimes after payment of an Article Processing Charge (APC) and immediately at the time of official publication of journal issue. A CC BY<sub>1</sub> licence attribution is often required by the research funder.

*Green OA:* Where various versions of articles may be deposited into an institutional repository or on an OA website by the author; sometimes after a publisher embargo. For decision-making process on these options see Annex.

The Open Access logo and accompanying disclaimers (clarifying which Creative Commons licence is applied and how material may be re-used) must be included on all Open Access outputs.

## **4. How does it apply in an IDS context?**

Open Access has a critical role to play in IDS delivering its core Mission of working globally with our partners, through our commitment to engaged excellence, towards transformations that reduce inequalities accelerate sustainability and build inclusive and safe societies. IDS is committed to ensuring research knowledge is made available, accessible, re-usable and relevant to those who can use it to drive transformative social, political and economic development. This applies to the research knowledge produced by IDS and its partners, and that of the wider development community, particularly those working in Southern-based organisations.

The benefits of Open Access are wide-ranging and include:

- Increased reach and impact of IDS research through full-text availability of material and exposure through online search engines.

- Increased reach and impact of all development research, especially contributions from Southern-based organisations.
- Improved access to research knowledge for Southern-based organisations.
- Improved ability to demonstrate impact of research.
- Improved ability to meet funder requirements around Open Access and Value for Money.
- Improved profile of research authors, including increased citations and examples to support career progressing.

#### **4.1 What does the policy cover?**

This policy includes the following materials:

- Literature (publications produced under IDS branding; external peer-reviewed journals and books where compliant with funder mandate; conference proceedings and grey literature)
- Website content.
- Video and audio content.
- Images (with permission of the subject of the image, according to IDS' visual images policy).

The policy does not currently cover:

- Software and data, as further work is required to understand and define IDS' approach in relation to these two areas.
- Teaching resources such as recorded interviews, where privacy must be retained.

The Open Access Working Group is undertaking specific work on the software and data areas of this policy.

Open Access guidelines for the *IDS Bulletin* and OpenDocs repository are available separately.

#### **4.2 Who does the policy cover?**

- IDS members during their contract of employment.
- IDS partners
- IDS funders.

### **5. Who is responsible for Open Access at IDS?**

As an institution IDS is responsible for encouraging and supporting its staff and partners, and the wider development community, to make research knowledge freely available,

accessible re-usable, and relevant to all. It is also the individual responsibility of staff at IDS to understand and apply the IDS Open Access Policy to their own work where applicable. Where works include co-authors from other organisations, the IDS lead author is responsible for informing the co-authors of this policy and ensuring that any co-authors' funding mandates are applied with regard to Open Access.

IDS members must ensure that their work does not infringe on the copyright of any third party in any new Open Access material. As applicable, written permission for the re-use of third-party content must be obtained before any works are submitted for publication (internal or external).

Overall responsibility for the IDS Open Access policy lies with the Strategic Leadership Group. This includes resolving disputes concerning the application of the policy. However further advice on specific areas can be sought from the following people:

- IDS Publications and Data Manager
- Contracts and Compliance Manager

IDS should take the following aspects into consideration when thinking about Open Access in relation to their own work:

### 5.1 Funder requirements

IDS expectations of members regarding funder requirements are as follows:

- They must be familiar with the Open Access publishing requirements of their funder and ensure that their output is supplied in accordance with that funder's mandate.
- When publishing with external publishers authors need to check the Funders and Authors Compliance Tool (FACT) before submitting articles to journals.
- Authors must check the journal's reputation and credibility before submitting work.
- IDS expects authors to prioritise journals/publishers with a good reputation and high Impact Factor/significant altmetrics. Recommended journals/publishers are given in the Open Access guidelines document and more specific advice may be obtained from the Communications and Engagement Unit, communications officers in hubs or BLDS.
- Where an APC has been paid, the relevant hub administrator should check online at publication to ensure that the article has been made available.

Examples of specific funder requirements:

- **RCUK** requires Open Access for its funded publications, preferably through payment of journal Article Processing Charges to enable immediate online Gold OA; or if this is not feasible, through deposit of the article into OpenDocs or another repository after the journal's stated embargo period (Green OA). IDS holds a central block grant pump fund to contribute towards APC payments. A separate policy exists to cover instances where institutional requirements exceed the amount of funds available for external APCs.

- **DFID** requires Open Access for its funded publications, preferably through payment of journal Article Processing Charges to enable immediate online Gold OA; and also that post-print digital version should be deposited in R4D within six months of first publication. An embargo longer than six months will have to be agreed by DFID as an exception. DFID considers that costs associated with enabling OA are a legitimate research expense. They will include the cost of APCs in the overall project budget.
- Note that not all funders have such specific Open Access recommendations, so all contracts must be checked before publishing with regard to individual agreements. Questions around specific contract requirements can be addressed to the IDS Contracts Manager or the IDS Publishing Manager.

## 5.2 External publishers

If an IDS member chooses to publish in a journal which is not Open Access, and if that IDS member is not restricted by funder mandate, IDS will support this decision. IDS recommends Green or Gold OA for journal article publication:

- If Gold: IDS has limited central funding to support APCs (for RCUK-funded outputs) but supports inclusion of APC charges into research proposals.
- If Green: IDS recommends Green OA via OpenDocs as the most effective method of immediate research dissemination (post-print pdf, after publication).

Similarly, if an IDS member chooses to publish a book which will not be available through any Open Access provision, and if that IDS member is not restricted by funder mandate, IDS will support this decision.

## 5.3 OpenDocs

IDS requires mandatory publication of all outputs including IDS publications and IDS Centre and Consortium publications into OpenDocs, IDS' institutional repository (allowing for funder mandate/publisher embargoes). This especially relates to provisions around Green Open Access where publication of post-print pdf may be delayed under a publisher embargo and where submitted versions may be included for immediate access until the embargo expires.

- a) If it is a non-AG publication, the relevant hub administrator should ensure deposit of works into OpenDocs on behalf of authors. If it is an AG publication, the Communications and Engagement Unit will be responsible for uploading the publication.
- b) The relevant version of the publication should be deposited in OpenDocs (dependent on publisher embargo/funder mandate).
- c) The timing of deposits is also dependent on above criteria (e.g. peer-reviewed article version on journal acceptance or no later than date of journal publication.)

Each hub should coordinate a list of publications that have been or need to be added to OpenDocs and which should be updated on a regular basis. The Communications and Engagement Unit will update a similar record for AG publications.

IDS expects authors to publish Open Access material as a pdf or weblink on the IDS website/OpenDocs and any personal social media sites.

## **5.4 Funding**

Costs of Open Access publication, usually Article Processing Charges as well as general editorial production costs, should be included in research funding proposals at the outset. If such funding is not in place, refer to funder mandates section above. Always check funder mandates before publishing material as Open Access.

## **5.5 Monitoring impact**

Further work needs to be undertaken by the Open Access Working Group to define a set of criteria including downloads which would underpin the monitoring of impact of Open Access research knowledge.

In terms of publications, authors will automatically receive a pdf and/or weblink to their article on publication of an Open Access work.

Monitoring of downloads for AG publications is already being undertaken with the Communications and Engagement Unit providing monthly reports on downloads from OpenDocs.

Further work will develop around the wider publishing programme regarding the monitoring of impact of Open Access research knowledge. Responsibility for undertaking this work would be within the hubs.

IDS' monitoring data may be made available to other institutions, including partners, if requested.

## **6. Copyright and Intellectual Property**

A separate set of guidelines exist on copyright and licensing, with specific procedures for the *IDS Bulletin*. All licensing arrangements are subject to funder mandate for both IDS members and their partner organisations where relevant.

IDS supports the use of the Creative Commons licences.

Authors can choose from one of three CC licences for *IDS Bulletin* articles, where appropriate according to funder requirements. These will be CC BY; or CC BY-NC; or CC BY-NC-ND.

As provided by the Copyright, Patent & Designs Act 1988, IDS is the primary copyright holder of all works produced by IDS members during the term of employment at IDS. IDS hereby grants to all IDS members a license to the unrestricted use of any such works for that term.

A separate policy regarding Intellectual Property Rights is currently being written. This will be with the requirement of authors asserting moral rights in all works.