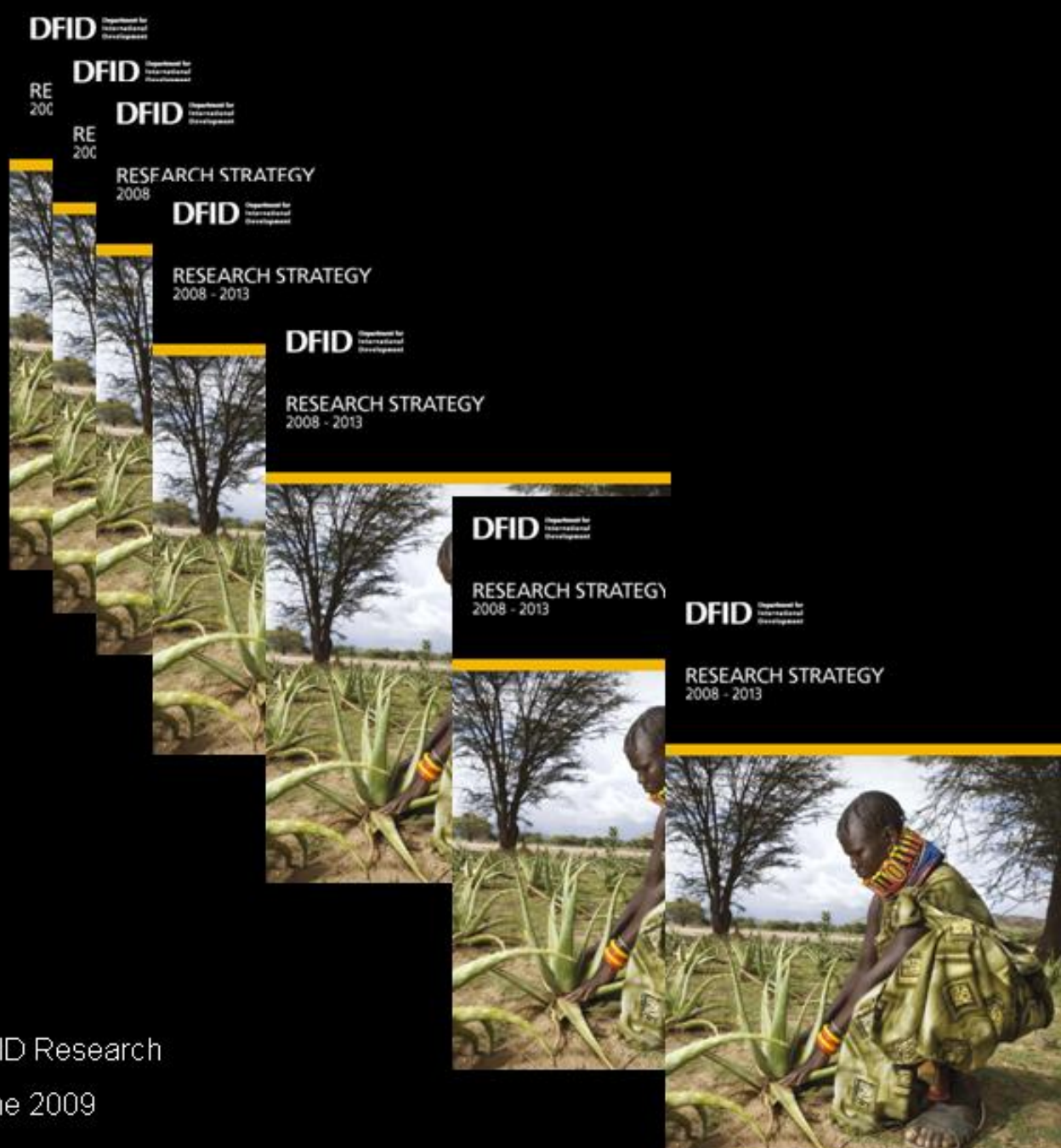


Research Programme Consortia

GUIDANCE NOTE ON OPEN ACCESS



Guidance Note on Open Access

DFID Funded Research

DFID funded research is **publicly** funded and essentially constitutes a **global public good**. DFID recognises the immense 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, but in particular in developing countries. DFID recognises that Southern researchers, governments and civil society need better access to global public goods research to enable them to build upon and use this knowledge. DFID therefore supports Open Access as a core component of its research commitment to ensure that research knowledge can be accessed, built upon and used in support of the DFID Research Strategy results objectives¹:

- (i) New policy knowledge created for developing countries, the international community and DFID.
- (ii) Existing and new evidence better informs decision-making about international development.
- (iii) New technologies developed and used in developing countries.
- (iv) Capability to do and use research strengthened

DFID is already engaged in funding institutions under the Research Councils UK (RCUK), most of which subscribe to the RCUK position on Open Access to research outputs based on four key principles related to (i) public use of publicly funded research, (ii) quality assurance mechanisms, (iii) cost effectiveness and (iv) access to research both now and for future generations.²

DFID will develop an Open Access policy with which DFID funded research programmes will be expected to comply in due course.

What is Open Access?

Open Access is the immediate, irrevocable and free access by any user worldwide, to full-text, online scientific and scholarly material. In most cases there are no licensing restrictions on the use of such material which means that they can be used freely for research, teaching and information purposes. The benefits to people in countries with limited resources, especially in the field of development, are immense.

Ideally, all DFID funded research outputs should be Open Access, meaning that that the full text of any articles and technical reports resulting from DFID funding that are published in journals, conference proceedings or as working papers, whether during or after the funding period, should be deposited, at the earliest opportunity, in an appropriate Open Access repository, and also with DFID's R4D, subject to compliance with publisher's copyright and licensing policies. Wherever possible, the article deposited should be the published version.

¹ **Research Strategy 2008-2013** (<http://www.dfid.gov.uk/Documents/publications/research-strategy-08.pdf>)

² For further information on the RCUK position see <http://www.rcuk.ac.uk/cmsweb/downloads/rcuk/documents/2005summary.pdf>

DFID will also encourage its research programmes to archive quantitative and qualitative primary data sets, resulting from the research it funds, with appropriate data archiving repositories.

DFID expects the research programmes it funds to make full use of the DFID Research for Development (R4D) repository

R4D is an Open Access digital portal for DFID funded research that is a repository for:

- Research articles, technical reports and working papers
- Case studies
- Latest research news and activities
- Projects and Programme information across all the sectors
- Research syntheses
- Current topics, with information about specific subjects and links to research websites.

For further information see www.research4development.info.

Guidance on Open Access

There are several Open Access publishing models available for researchers including

- **Open Access Journals.** These are scholarly, often peer-reviewed journals, published electronically and freely available. Normally, the author or the author's institution pays to deposit material.
- **E-print or digital repositories.** These are repositories for authors to deposit copies of their publications. They contain a variety of material types which may include pre and post-print, peer and non-peer reviewed articles and so on. Materials are freely available though most have an embargo period between publication and deposit in a repository.

DFID Research Partners will be responsible for establishing a position on Open Access for DFID funded research programmes, identifying which Open Access journals, digital or other Open Access depositories are most appropriate for their research field, whilst also complying with the need to deposit material with R4D.

Author Pays Publishing

DFID funded research programmes will be responsible for payment of any Open Access fees related to the programme. Options include payment from the programme research budget (most likely from the communication budget) or access through the host institution's own Open Access arrangements.

Monitoring

It will be the research programme's responsibility to monitor the percentage of research outputs it makes available under Open Access and to inform DFID of the details and the percentage in the programme's annual reports.

The DFID Research Strategy Monitoring and Evaluation Framework includes indicators and scoring criteria against type of publications, which will include scores for Open Access publishing.

Other DFID research guidance can be found at <http://www.research4development.info/dfidguidancenotes.asp>

For additional information on repositories, journals and Open Access issues, see below.

Selected Data Archive Repositories

- UK PubMed Central (PMC) provides permanent and free access to online digital archives of full-text, peer-reviewed life science research publications: <http://ukpmc.ac.uk/> The PMC is the stipulated repository for all Wellcome Trust funded research and is fully indexed by Google.
- The Access to Online Global Research in Agriculture (AGORA), set up by the Food and Agriculture Organisation of the UN (FAO) provides access to a major digital library collection on food, agriculture, environmental science and related social sciences: <http://www.aginternetwork.org/en/>
- The Access to Research Initiative (HINARI), set up by the World Health Organisation, is a repository that provides low cost online access to major journals in biomedical and related social sciences to local, not-for-profit institutions in developing countries: <http://www.who.int/hinari/en/>
- Online Access to Research in the Environment (OARE), an international public-private consortium coordinated by the United Nations Environment Programme (UNEP), Yale University and leading science and technology publishers, enables developing countries to gain access to one of the largest global collections of environmental science research, with over 1,300 peer reviewed titles: <http://www.oaresciences.org/en/>
- Biomed Central is an Open Access Publisher of materials on science, technology and medicine. It offers access to around 200 peer reviewed journals: <http://www.biomedcentral.com/>
- The Council of European Social Science Data Archives (CESSDA) is an umbrella organisation for social science data archives across Europe. CESSDA provides access to around 25,000 social science data collections: <http://www.cessda.org/>
- The Economic and Social Data Service (ESDS) is a national data service providing access and support to an extensive range of economic and social data (quantitative and qualitative) spanning a wide variety of disciplines and themes. ESDS provides an integrated service offering enhanced support for the secondary use of data across the research, learning and teaching communities: <http://www.esds.ac.uk/>
- The UK Data Archive (UKDA), for data acquisition, preservation, dissemination and promotion is the curator of the largest collection of digital data in the social sciences and humanities in the UK. The UKDA is a partner of, and responsible for, the integration and management of the ESDS (see above). The UKDA

supports the secondary use of quantitative and qualitative data in research, teaching and learning: <http://www.data-archive.ac.uk/>

- The Public Library of Science (PLOS) hosts 7 online peer-reviewed scientific and medial journals available worldwide through Open Access: <http://www.plos.org/index.php>
- The Social Science Open Access Repository (SSOAR) is currently being set up by the German Research Foundation (DFG): <http://www.ssoar.info/en/home.html>

Selected website resources on Open Access

- Research Councils UK position on access to research outputs <http://www.rcuk.ac.uk/access/>
- The Directory of Open Access Journals (DOAJ) provides information on a range of Open Access journals available to authors, with a secure area resource for journal owners. <http://www.doaj.org/>
- The International Association for Social Science Information Service and Technology (IASSIST) is an international organisation of professionals working with information technology and data services to support research and teaching in the social sciences. Included amongst its goals is fostering and promoting a network of excellent for data service delivery. <http://www.iassistdata.org/>
- Open Archives Forum <http://www.oaforum.org/>
- OpenDOAR, the Directory of Open Access Repositories lists a wide variety of Open Access research archives globally: <http://www.opendoar.org/>
- The Programme for the Enhancement of Research Information (PERii) focuses on the needs of people in developing countries to support global research communication. PERii cooperates with publishers and library consortia to enable access to research materials for eligible institutions ([eligibility criteria](#) PDF 38kb) within developing countries.
- The Registry of Open Access Repositories (ROAR) based at the University of Southampton monitors the growth of eprint archives and maintains a list of such sites: <http://roar.eprints.org/>
- SHERPA (Securing a Hybrid Environment for Research Preservation and Access), investigates issues in the future of scholarly communications and is developing Open Access institutional repositories in universities to facilitate worldwide dissemination of research: <http://www.sherpa.ac.uk/>
- The British Library for Development Studies (BLDS) has been working with the World Health Organisation (WHO) to improve access to the full-text of economic and social development journals for researchers based in developing countries. HINARE and OARE members can access the full text of over 300 development journals online, including the African Development Review, Development and Change, Development in Practice, European Journal of Development Research, Gender and Development, Global Environmental Change and World Development. See also the [BLDS catalogue](#) which is a recommended database on HINARI and OARE.

Selected Publications on Open Access

- The RCUK (2008) commissioned a report on Open Access to Research Outputs : <http://www.rcuk.ac.uk/cmsweb/downloads/rcuk/news/oareport.pdf>
- The ESRC has designed a guide to provide a brief introduction to Open Access, particularly from an ESRC/RCUK perspective: [An Introduction to Open Access](#)
- The International Development Research Council (IDRC) has recently produced a new toolkit on knowledge translation for getting research into use. A whole chapter is devoted to Open Access with some very good resource links. http://www.idrc.ca/research-matters/ev-128908-201-1-DO_TOPIC.html and http://www.idrc.ca/uploads/user-S/1226605005112265959291Chapter_10_%5b1%5d.pdf
- The Joint Information Systems Committee (JISC) has useful information on Opening up Access to Research Results (Q & A) http://www.jisc.ac.uk/uploaded_documents/QandA-Doc-final.pdf
- The Joint Information Systems Committee (JISC) Legal Information Service has a useful overview on intellectual property rights: <http://www.jisclegal.ac.uk/ipr/IntellectualProperty.htm>
- UNESCO (German Commission for UNESCO) Handbook on Open Access. Directorate-General for Research, European Commission, 2008.
- Wellcome Trust's policy is to have the research it funds placed on the UK Pubmed Central data archive (see archives above). Wellcome has provided a position statement in support of open and unrestricted access to published research: <http://www.wellcome.ac.uk/About-us/Policy/Policy-and-position-statements/WTD002766.htm>
- OECD Principles and Guidelines for Access to Research Data from Public Funding: <http://www.oecd.org/dataoecd/9/61/38500813.pdf>

Department for International Development Leading the British government's fight against world poverty.

One in six people in the world today, over 1 billion people, live in poverty on less than one dollar a day. In an increasingly interdependent world, many problems – like conflict, crime, pollution and diseases such as HIV and AIDS – are caused or made worse by poverty. DFID supports long-term programmes to help tackle the underlying causes of poverty. DFID also responds to emergencies, both natural and man-made.

DFID's work forms part of a global promise to:

- halve the number of people living in extreme poverty and hunger
- ensure that all children receive primary education
- promote sexual equality and give women a stronger voice
- reduce child death rates
- improve the health of mothers
- combat HIV and AIDS, malaria and other diseases
- make sure the environment is protected
- build a global partnership for those working in development.

Together, these form the United Nations' eight 'Millennium Development Goals', with a 2015 deadline. Each of these Goals has its own, measurable, targets. DFID works in partnership with governments, civil society, the private sector and others. It also works with multilateral institutions, including the World Bank, United Nations agencies and the European Commission. DFID works directly in over 150 countries worldwide, with a budget of £5.3 billion in 2007/08.

Details of more than 5,000 DFID-funded research programmes and their results, can be found on the research portal <http://www.research4development.info>

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