



RESEARCH
PROGRAM ON
Dryland Systems

Open Access Explained

CGIAR Research Program on Dryland Systems

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Prepared by: Dryland Systems Capacity Development
Working Group

*Food security and better livelihoods
for rural dryland communities*

The CGIAR Research Program on Dryland Systems aims to improve the lives of 1.6 billion people and mitigate land and resource degradation in 3 billion hectares covering the world's dry areas. Dryland Systems engages in integrated agricultural systems research to address key socioeconomic and biophysical constraints that affect food security, equitable and sustainable land and natural resource management, and the livelihoods of poor and marginalized dryland communities. The program unifies eight CGIAR Centres and uses unique partnership platforms to bind together scientific research results with the skills and capacities of national agricultural research systems (NARS), advanced research institutes (ARIs), non-governmental and civil society organizations, the private sector, and other actors to test and develop practical innovative solutions for rural dryland communities. The program is led by the International Centre for Agricultural Research in the Dry Areas (ICARDA), a member of the CGIAR Consortium. CGIAR is a global agriculture research partnership for a food secure future.

For more information please visit:

drylandsystems.org



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List of Acronyms

CC	Creative Commons
CRPs	CGIAR Research Programs
OA	Open Access
SRF	Strategy and Results Framework
NC	Non Commercial
SA	Share Alike

OPEN ACCESS EXPLAINED

Purpose of this document

This document intends to give scientists, who conduct research under the framework of the CGIAR Research Program on Dryland Systems, a snapshot on the benefits of using Open Access mechanisms to publish their research outputs and results. It answers the most common questions that authors usually have on this topic and gives some easy steps to be taken to ensure that all Dryland Systems research outputs are Open Access published. Further supporting documents are provided by the Consortium Office in its "[Support Pack](#)".

The document is meant to be alive and will incorporate any further questions, and provide answers to them, that authors might have. Any questions shall be addressed to the contact details set out at the end of this document.

1. What is Open Access?

Open Access (OA), as defined in the CGIAR's Open Access Policy documents, refers to the *"immediate, irrevocable, unrestricted and free online access by any user worldwide to the information products produced by CGIAR, and unrestricted re-use of the content, subject to proper attribution."* Open Access can be achieved through two routes called "green" and "gold".

2. Why should I make my work Open Access?

Besides complying with the CGIAR Open Access and Data Management Policy, there are several benefits that derive from publishing Open Access.

a. Compliance with funder mandates

The CGIAR and the Consortium and its Centre members are subject to the CGIAR Open Access and Data Management Policy and as a result they must ensure that all outputs from the research are made Open Access.

b. Increased readership

Maximising access to your research increases its visibility and readership.

c. Acceleration of research and increased impact

The more people view your work the higher the impact, both within the research community and on society as a whole.

d. Increased citations

Making your work freely available can increase citations and improve the speed at which your work is cited. These advantages of open access for scientists are illustrated below:



Illustration: Advantages of open access for scientists

7. Why Open Access within the CGIAR?

With the spirit of making research results International Public Goods, namely products that can be freely and openly used by farmers in developing countries, and thus contributing to create an impact of our mission, on 2 October 2013 the CGIAR Consortium Board approved the CGIAR Open Access and Data Management Policy (the “Policy”).

Within the vision to improve the efficiency, efficacy, and impact of the CGIAR research, the object of the Policy is to make information products by 2018 (which includes spatial, crop, socio-economic and genomic datasets) fully and completely Open Access (“OA”).

Even though the Policy is not part of the Common Operational Framework of the CGIAR it is nevertheless a CGIAR Consortium Policy and therefore its implementation and compliance is expected not only the CGIAR Centres individually and as leading specific CGIAR Research Programs (“CRPs”) but also by its partners within the scope of the Strategy and Results Framework (“SRF”) and the CRPs.

8. What is the difference between Green Open Access and Gold Open Access?

Green Open Access is where the author makes their article available for free, usually in an institutional repository. Often it is a post-print version (also called Author’s Accepted

Manuscript) of the article that is deposited, as most publishers do not allow their final version to be put into a repository.

Gold Open Access is where a fee is paid to the publisher to ensure that they make the final published version of the article freely available. This may be to an Open Access publisher (such as BioMed Central) or a subscription-based publisher such as Elsevier (often referred to as Hybrid publishing). Fees are usually in the range of £1500 -£3000 per article.

With Gold Open Access authors publish in an open access or hybrid journal that makes the paper freely available immediately via the journal's website and permits deposit of the published version in an institutional repository allowing the content to be re-used, including for commercial purposes, under a Creative Commons CC BY Licence (Attribution), as long as the author is credited.

9. How can I check that I am publishing in a reputable Open Access Journal?

There are Open Access publishers who do little more than placing your article up on their website for a fee, which is unlikely to do a great deal to enhance your academic reputation. There are various ways of identifying these publishers - here are a few tips:

- a. **Look at the website thoroughly** – for example, check the names and institutions of the editorial board for legitimacy and publishing record. Are several journals in different subjects edited by the same person? Does the publisher claim to offer peer review at remarkable turnaround speed? Read the existing articles and decide for yourself about quality.
- b. **Is the publisher a member of the Open Access Scholarly Publishers Association?** Publishers in this organization should adhere to a code of conduct.
- c. **Google the title and/or the publisher** – do you get blog entries discussing whether the journal is reputable or not?

10. What is a Creative Commons License?

A Creative Commons (CC) license is one of several public copyright licenses that enable the free distribution of an otherwise copyrighted work. A CC license is used when an author wants to give people the right to share, use, and build upon a work that they have created. CC provides author flexibility (for example, they might choose to allow only non-commercial uses of their own work) and protects the people who use or redistribute an author's work from concerns of copyright infringement as long as they abide by the conditions that are specified in the license by which the author distributes the work.

11. What does CC-BY NC SA mean?

A CC-BY NC SA licence gives the right to remix, modify, and build upon the author's work non-commercially (NC), as long as they credit the author (BY/acknowledgement) and license their new creations under the identical terms (SA/share alike). This is the license that CRP-DS uses for its publications and website content.

12. What is a pre-print?

A pre-print is the paper an author initially submits to the publisher, before peer-review and revisions.

13. What is a post-print?

A post-print is the final author's version that is submitted to a publisher, after peer review and subsequent revisions. It won't have the publisher's brand and appearance, but the text should be identical or near identical to the final publisher's version. A post-print might also be referred to as an Accepted Author Manuscript.

14. When submitting my journal to the publisher, I'm asked whether I wish to pay for open access, assuming it is accepted. Do I have to pay for open access?

If the publication arises from [xx] grant you must make the article Open Access. Although you can use the Green OA route and deposit a version of the article in DR-Repository, grants are given to Dryland Systems for Open Access publications from these funders, so if you want to use the Gold route and pay, this can be done.

If the publication arises from another grant funder, then check their Open Access policies – they may provide funding for Gold Open Access payments.

If you do not have funding, then you may be able to deposit a version of the paper in Dryland System Repository. Find your journal on the [Sherpa RoMEO](#) website to see what your publisher's policy is on Green OA.

The database of SHERPAROMEIO displays the terms of use of most of the commonly used journals for research dividing them into four categories: Green, the author can archive pre-print and post-print or publisher's version/PDF; Blue, the author can archive post-print (i.e. final draft post-refereeing) or publisher's version/PDF; Yellow, the author can archive pre-print (i.e. pre-refereeing); and White where archiving is not formally supported.

Therefore scientists should avoid all those journals, which do not support archiving as this means the embargo period exceeds what is allowed by the CGIAR Open Access & Data Management Policy.

15. Where an article has multiple authors who pays the Open Access fee?

Any institution can pay the OA fee, but it is usually the institution of the corresponding author who will pay, provided that the corresponding author's institution has received money holds grant money.

16. Do I need to publish Open Access also for books?

Yes, the requirements for OA from the CGIAR also apply to books as peer reviewed journal articles (including review articles) and published conference proceedings. There is no obligation to publish other forms of peer reviewed or non-peer reviewed work in an OA form, although authors are encouraged to do this where possible.

17. My publisher doesn't offer an Open Access route. Is there anything I can do?

You can negotiate with your publisher for the rights to deposit your paper in the Dryland Systems Repository. Publishers usually offer a standard contract, but they may be prepared to negotiate terms with individual authors, particularly if this is a funder requirement.

For any assistance please contact Dryland Systems Legal & IP Expert, Francesca Re Manning at f.remanning@cgiar.org.

18. What is the timeframe required by the Open Access & Data Management Policy

The Open Access & Data Management Policy requires a specific timeframe within which information and data must be released and shared. For example:

- **Articles:** no later than 6 months from publication
- **Reports and papers:** no later than 3 months of completion
- **Books and book chapters:** as soon as possible after publication
- **Data:** no later than 12 months of completion of the data or within 6 months of publication of the information products underpinned by the data
- **Metadata:** at the latest before or on publication

19. Can exceptions be made to the above timeframe?

Exceptions to the above time frames might be made but only for limited cases but the rule is that information and data must be made available as soon as possible without restrictions. If this happens at the time of the assessment carried out by the Consortium Office a negative score will be given and communicated to the Fund Council.

It is true that there are a number of open access online journals that fail to meet the required standards of peer review and which enable researchers to publish research in exchange for modest page charges and a potentially less rigorous review process. Information products of poor quality are not useful international public goods. Thus, a blanket approach to place all data in open access repositories may therefore unnecessarily impose high costs on research institutions without achieving any real benefits. Thus, Centers and CRPs should monitor what researchers are doing, weigh up the costs and benefits of their Open Access options and set priorities.

However, the Consortium Office neither prescribes the journals where authors should publish nor the repositories where articles should be stored; what matters is that the work can be harvestable and indexed.

20. What happens if the CGIAR Open Access & Data Management Policy is not complied with?

Whenever information products produced by the CGIAR Consortium its members and their partners fall within the scope of the SRF, the Open Access & Management Policy applies. Lead Centres, being accountable for the management of the funding and the running of the research activities of the CRPs, are responsible for the implementation of the Policy not only for themselves but also for their partners.

The Consortium Office will carry out an annual review of the implementation of the Policy and write reports on what a Centre should do to improve its internal mechanisms to ensure compliance with the Policy. If measures recommended are not taken and the Policy is not fully observed the Consortium Office will make a note and eventually report back to the Fund Council; non-compliance could lead to sanctions in the projects' funding allocations (Window 1/2) in the subsequent year.

External links for consultation

- [Support Pack prepared by the Consortium Office](#)
- [Peter Suber's brief introduction to OA publishing](#) and [Peter Suber's very brief introduction to OA publishing](#)
- [Open Access Explained!](#): video from PhdComics.com
- [Directory of Open Access Journals \(DOAJ\)](#)
- [Directory of Open Access Books \(DOAB\)](#)
- [OAPEN](#): publishing platform and library of academic OA books with a focus on the humanities and social sciences
- [OpenDOAR](#): directory providing a [list](#) of OA repositories from around the world and search screens to search either the [contents of all](#) these repositories or to find repositories by [country or subject area](#)
- [SHERPA RoMEO database](#): lists publishers' policies on OA
- [SHERPA JULIET database](#): lists funders' policies on OA
- [OAPEN Guide to Creative Commons \(CC\) Licensing for Humanities and Social Science Monograph Authors](#): includes FAQs

For further information, please contact:

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For more information, please visit
drylandsystems.cgiar.org

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