

International Food Policy Research Institute (IFPRI)
Research Data Management and Open Access Policy
May 2019

1. Purpose

In pursuit of its mandate to provide research-based policy solutions to sustainably reduce poverty and end hunger and malnutrition in developing countries, staff at the International Food Policy Research Institute (IFPRI) generate a wide range of publications, datasets, and other research-based information resources. IFPRI views the products of its research as international public goods and is committed to enabling their widespread distribution and use by providing unrestricted public access.

Increasing access to the data produced by IFPRI enhances IFPRI's ability to carry out its mandate. But increased access also requires that IFPRI safeguard the privacy of participants in, and subjects of, its research. This means ensuring the protection of confidential and sensitive personal data collected and used in research, while providing users with access to research and data in appropriate formats and in a timely manner.

This Research Data Management and Open Access Policy (hereafter referred to as the "Policy") supports these goals by codifying the Institute's priorities regarding the management of research data. This Policy serves as the umbrella under which IFPRI governs and manages research data, including the creation, storage, usage, description, transmission, publication, archiving, disposal, and dissemination of research data produced by IFPRI. This Policy endeavors to ensure consistent application of the [CGIAR Open Access and Data Management Policy](#) dated October 2, 2013 and the [CGIAR Open Access and Data Management Implementation Guidelines](#) dated July 23, 2014, and is aligned with commonly accepted "Findable, Accessible, Interoperable, Re-usable" (FAIR) principles that guide scientific data management and stewardship.

The Policy supersedes the IFPRI Policy on Dataset Management approved in 2000 and subsequently updated in 2010; and supersedes the IFPRI Open Access Statement issued in 2012, specifically as it refers to research data. The Policy is also consistent with the IFPRI Policy on Intellectual Property as approved by IFPRI's Board of Trustees on October 22, 2005. This policy should be read in conjunction with relevant policies (see in section 11) that address the classification of research data that is created, stored, used, described, transmitted, published, archived, or disposed of by IFPRI.

Procedures, systems, processes, and guidelines that accompany this Policy may be occasionally revised or updated to reflect changes in recommended practices, changes in the Institute, or for other reasons, as deemed necessary by the Institute.

2. Definitions

The following terms are defined as used in this document and adopted by the Institute.

Authorized User: An individual who has been given permission to use Research Data by a Principal Investigator or his or her designee before the Research Data are made open access.

Data manager: An individual who has been given permission to manage research data including collection, storage, transmission and sharing by a principal investigator before the Research Data are made open access

Data Management Plan: A formal document that describes how Research Data are to be handled in a research project; details on the management of Research Data from collection and creation to storage, usage, transmission between parties, depositing in an Open Access Repository, archiving, and disposal, and demonstrates that the Research Data will be managed in a manner that is compliant with all relevant IFPRI policies and procedures.

Funder: Those entities that contribute funding to IFPRI in support of the CGIAR Strategy and Results Framework and to the activities of the CGIAR System Organization, either through the CGIAR Trust Fund or through bilateral contributions.

Information Products: Materials resulting from the conduct of research. Information Products include, but are not limited to, the following: peer-reviewed journal articles; reports and other papers; books and book chapters; data, datasets, and databases; video, audio, and images; computer software, applications, and code; or metadata associated with any of these items.

The Institute: The term “the Institute” is used interchangeably herein with the term “International Food Policy Research Institute” or “IFPRI.”

International Public Goods: Goods evolving from international issues that affect everyone and should therefore be available to all.

Metadata: A structured set of data or keywords that describes and gives information about Research Data and can be used as a description of the resource or for establishing ownership rights, managing users, tracking usage, or other purposes.

Open Access: Irrevocable, unrestricted, and free online access to Information Products including, but not limited to, Research Data, via interoperable repositories that comply with commonly accepted standards, require full and proper attribution of the source of the Research Data, and adhere to contractual compliance requirements set forth under open licensing arrangements, for purposes that include, but are not limited to, the sharing, redistributing, citing, or adapting Information Products for any legal purpose.

Open Access Repository: A stable, permanent repository that uses international standards, protocols, best practices, and formats to maximize content discovery and sharing across different platforms in accordance with the definition and principles of Open Access, and for use by other websites, general users, and search engines, including application programming interfaces (APIs) or other automated mechanisms. See the 2014 [CGIAR Open Access and Data Management Implementation Guidelines](#) for examples of suitable general-purpose and data repositories.

Personally Identifiable Information (PII): Data or information that can be used, or can potentially be used, to identify, distinguish, locate, trace, or contact an individual, whether on its own or in combination with other information.

Researcher: An individual who conducts organized and systematic investigations on a subject in order to increase the stock of knowledge. At IFPRI, the term Researcher refers to individuals who directly engage

in research, or individuals who commission or oversee research performed by Research Partners. The Researcher is referred to as a **Principal Investigator or Project Manager** when he or she is directly responsible for leading a Research activity or project.

Research Data: Any data or information that has been collected, observed, generated, produced, or otherwise created to systematically test scientific hypotheses and produce original research findings. Research data can either be digital i.e. computer readable or in a physical format such as laboratory notebooks, laboratory specimens etc. Unless otherwise noted herein, the term Research Data refers specifically to **Digital Research Data**, which is any Research Data that is collected, created, archived, or exchanged in a digital medium. A research data set constitutes a systematic, partial representation of the subject being investigated.

Research Partner: All individuals and organization including Collaborators and Consultants engaged by IFPRI to assist in direct research activities and work regardless of whether under a subcontract, consultant/research agreement or a subgrant.

Research Subject: An individual who voluntarily participates in a research study.

Sensitive Personally Identifiable Information (SPII): Data or information that if lost, compromised, or disclosed could result in substantial harm, embarrassment, inconvenience, or unfairness to an individual.

Vendor: All individuals and organizations engaged by IFPRI to provide goods and services involving non-research work (i.e., administrative services, equipment and supplies).

3. Scope

This Policy applies to (a) all IFPRI staff ("Personnel"); (b) all IFPRI Research Partners; (c) all visiting scientists, visiting researchers, interns, and other individuals or organizations involved in IFPRI research; (d) any other Authorized Users; and (e) vendors who can access data collected or stored as part of Research conducted by IFPRI, information in any medium, and/or information systems at IFPRI. In addition, third parties may be subject to this policy through contractual obligations to IFPRI.

4. General Provisions

4.1. Openness: IFPRI shall endeavor to ensure that all Research Data are Open Access, subject to the legal rights and legitimate interests of Research Partners, Research Subjects, relevant Governments and Government agencies, or other relevant parties, particularly with respect to protecting PII and SPII of research participants and subjects, and with respect to other matters pertaining to intellectual property rights, confidentiality, sensitivity, and privacy.

4.2. Ownership: IFPRI has sole and exclusive ownership rights over Research Data produced by IFPRI Researchers, subject to any agreement, covenant, or provision between or among IFPRI and its Funders, Research Partners, Governments, or Government Agencies of the country in which the Research was conducted or Research Data were collected. Any rights and obligations with respect to Research Data and their release established by such individual contractual agreements shall take precedence over this policy.

4.3. Revisions: IFPRI retains the right to maintain and update this Policy when need arises to remain aligned or in compliance with policies, best practices, and standards set forth by IFPRI's Funders, Research Partners, the Governments or Government Agencies for or with which it conducts Research, CGIAR, or other relevant parties. All procedural documentation shall be updated to reflect such changes when and where necessary.

5. Research Data Management

5.1. General Research Data Management: IFPRI personnel and Research Partners shall use systems, products, and services approved by IFPRI for the purposes of managing Research Data including, but not limited to, software, hardware, repositories, portals, platforms, and websites that are designated by procedural documentation for collecting, storing, transmitting, and archiving Research Data collected, generated, or produced by IFPRI researchers and Research Partners.

5.2. Research Data Management Plans: Data Management Plans shall be prepared by the Researcher as part of the research project lifecycle. Said Plans are essential to documenting data management practices of a Research activity or project, seeking requisite approvals and exceptions, and ensuring compliance with principles adhered to and agreements entered into by the Institute. Such plans shall in particular, outline a strategy for managing research dataset(s) during and after the Research is completed including, but not limited to, collecting, handling, transmitting, storing, sharing, preserving, and making datasets open access.

6. Research Data Repositories: IFPRI Personnel shall deposit Research Data into Open Access Repository designated by the Institute according to the Research Data Timeline described below, notwithstanding any agreement, covenant, or provision to the contrary. IFPRI's designated Research Data Repository is Dataverse (<https://dataverse.harvard.edu/dataverse/IFPRI>). Said Repository shall be changed only by approval of the Director General, or his or her designee.

6.1. Research Data Timeline: Research Data shall be deposited into an IFPRI-designated Research Data Repository as soon as possible and no later than (i) one (1) year after data collection ceases, or (ii) within six (6) months of publication of a peer-reviewed Information Product that makes use of the Research Data, or (iii) upon the completion of Research project, whichever comes first and notwithstanding any agreement, covenant, or provision to the contrary. If necessary, a Project Manager or Principal Investigator may request an extension to this timeline by applying in writing to the Director General or his or her designee, stating the reason for the extension request and the expected date at which the Research Data will be deposited into a Research Data Repository.

6.2. Research Subject Protection: Research Data deposited into an IFPRI-designated Research Data Repository shall be fully de-identified and anonymized such that the privacy of Research participants and subjects is fully protected and no PII and SPII of Research Subjects is disclosed in any manner.

7. Storage and Preservation

Research Data need to be managed, curated, archived, and maintained. Research Data that are not deposited into Open Access Repository (for example, raw datasets, or datasets that are still works in progress) shall be stored in a manner that allows access to Authorized Users as well as preservation and protection against destruction or unauthorized access. The precise manner in which Research Data *not* deposited into Open Access Repositories are stored and preserved depends on the current state of technology and may require changes in management practices from time to time, as migration to new systems and platforms or other changes become necessary, as deemed appropriate by the Institute.

8. Copyright and Open Licenses

IFPRI shall seek and obtain the most appropriate licensing arrangement possible for all Research Data that reflects the aims and objectives of this Policy, and notwithstanding any agreement, covenant, or provision to the contrary. For Research Data deposited into an Open Access Repository, the most appropriate licensing arrangement at this time is the Creative Commons—Attribution License (CC BY 4.0) (<https://creativecommons.org/licenses/by/4.0/>). For other Research Data, alternative or more restrictive licensing may be sought, subject to the expressed written approval of the Director General or his or her designee, notwithstanding any agreement, covenant, or provision to the contrary.

9. Roles and Responsibilities

9.1. Oversight: The Director General may, at his or her discretion, designate an individual or entity to provide oversight and guidance on Research Data Management and Open Access in the Institute.

9.2. Compliance: Principal Investigators or his designee shall be responsible for compliance with this Policy, including compliance with any and all provisions pertaining to research data management and open access of Research Data.

10. Exceptions

Exceptions to this Policy or provisions set forth in this Policy may be sought by IFPRI Personnel in writing to the Director General, or his or her designee. Requests for exceptions will be granted on a case-by-case basis and shall be valid only for the circumstance described in the request and shall not constitute or be interpreted as a change to this Policy.

11. Relevant Policies

- [Data Authorship Statement](#)
- [IFPRI Policy on Intellectual Property](#)
- [Procurement and Assistance Policy Procedures](#)