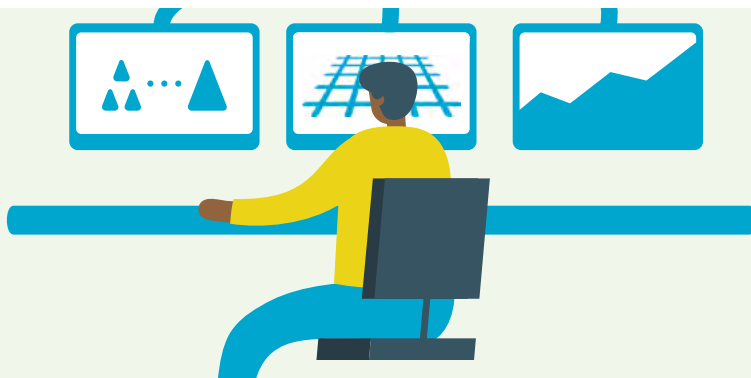**Policy**

Research Data and Information Product Management

**Policy number:
KMU-POL-02-2018**

January 2019

General Objective

To ensure that Research Data and other Information Products "RDIP" produced or acquired by CIMMYT are managed to enable further research, development and innovation, and lead to the best impact on target beneficiaries under CIMMYT's mission.

CIMMYT is aligned with the CGIAR Principles on the Management of Intellectual Assets and the CGIAR Open Access and Data Management Policy.

Scope

This policy applies to all persons working for or on behalf of CIMMYT in the broadest sense (i.e., CIMMYT staff, consultants, seconded staff, students, visiting scientists) and by all CIMMYT collaborators that use funds managed or administered by CIMMYT. CIMMYT staff involved in research projects (and contracts related thereto) with CIMMYT collaborators take all necessary steps to ensure collaborators adhere to the standards in this policy and/or allow CIMMYT to apply this policy to RDIP generated with those funds.

This Policy explicitly excludes non-research data, including but not limited to data related to personnel, budgets, facility management, and non-research related contracts.

This policy and related instructions and standards, as described in CIMMYT's RDIP Management Procedures, regulate:

- All data generated through research activities ("Research Data") and;
- "Information Products," which includes but it is not limited to:
  - Reports, papers (including working papers, workshop/seminar proceedings, books, book chapters, and journal papers), other documents, metadata, analyzed data (including data summaries, maps, indicators, etc.)
  - Software

- Pseudo-codes, codes and algorithms, statistical calculations
- Tables, databases, datasets
- Web based systems (e.g., data portals, modeling on-line platforms)
- Research related images, photographs
- Typographical arrangements of published editions
- Works of art
- Presentations, posters
- Training materials
- Protocols
- Factsheets
- Research related policy briefs, statements and working papers
- Audio files, videos and films
- Q&A sheets

Policy

1. **Principles**

   1.1. CIMMYT commits to generating and disseminating RDIP that can render benefits to CIMMYT's target beneficiaries and the global public at large.

   1.2. CIMMYT ensures that the outputs of its research and development activities are provided openly, and in line with FAIR principles (Findable, Accessible, Interoperable and Re-usable) to enhance innovation, impact, and uptake. Accordingly, CIMMYT ensures that RDIP are of good quality, properly documented and archived, available over time and usable.

   1.3. CIMMYT ensures that RDIP generated by CIMMYT staff and/or with CIMMYT administered funds, can be used, disseminated and further developed worldwide. At the same time, CIMMYT ensures that the outputs of its research and development activities are provided in a responsible way, to (1) safe-guard the privacy and data confidentiality of private, confidential or restricted information, and (2) respect any other restriction derived from legislation and/or internal policies.

2. **Practices**

   2.1. CIMMYT promotes the correct capture, entry, description, analysis and archival of the RDIP generated in its research. CIMMYT also ensures that CIMMYT collaborators adhere to the same standards.

   2.1.1. CIMMYT Staff must deposit all applicable RDIP in internal repositories in the timeframes provided in the RDIP Management Procedure.

   2.2. RDIP must be (1) described by CIMMYT-approved metadata, and (2) when required, aggregated, anonymized and/or codified (in an encrypted or processed form) to not reveal any personal, confidential or restricted data.

   2.3. Subject to considerations below, best efforts are made to ensure that RDIP are made Open Access and/or managed as International Public Goods, which implies the ability for third parties to use, further develop and disseminate RDIP worldwide and on a royalty-free basis, or at the actual cost of transaction.

2.3.1. RDIP may not always be of value to others, for example, because those outputs are draft, poor quality, incomplete or of limited potential reuse. Selection of RDIP made available considers the characteristics of the RDIP, their potential impact, the level of data processing required, and the financial, operational and technical resources available. CIMMYT therefore applies judgment over the RDIP made Open Access.

2.3.1.1. To the extent possible, CIMMYT ensures investments in RDIP in view of the needs of its target beneficiaries in the developing world and the realization of benefits by those target beneficiaries.

2.3.2. Making RDIP available is always subject to both 1) permitted restrictions under the CGIAR Principles on the Management of Intellectual Assets and CIMMYT Intellectual Assets Management Policy; and compliance with applicable legal frameworks[1] and 2) CIMMYT international obligations[2]. Accordingly, CIMMYT may limit or delay public release of some RDIP to preserve the legal rights and legitimate interests of stakeholders and third parties for reasons of confidentiality, to protect sensitive information (including confidential business information, or CBI, and politically sensitive information), and to uphold farmers' and privacy rights. In those cases, to the extent permitted, CIMMYT makes available RDIP metadata and gives access to RDIP upon request and conditioned to compliance with necessary safeguards.

2.3.3. CIMMYT allows authors of a dataset a 'first right to publish' in relation to the result of their research within the following 12 months after the generation of a complete dataset or appropriate agreed upon project milestone.

2.4. CIMMYT encourages Funders, Partners and other stakeholders to support the widespread diffusion and use of RDIP and to enhance the maximum access by the larger global public to increase the scale and scope of impact. CIMMYT disseminates the RDIP that it makes available in terms of this Policy, in the timeframes agreed with the funders and in alignment with the CGIAR Open Access and Data Management Policy.

2.5. CIMMYT gives due recognition and attribution to internal and external financial and technical contributors under several applicable CIMMYT policies to give credit for input and work, to build trust and to promote accountability and responsibility for the work.

---

[1]   For example, local legislation that regulates (i) privacy protection, (ii) farmers rights and/or (iii) access and utilization of genetic resources and fair and equitable sharing of the benefits related thereto.

[2]   For example, considering the International Treaty for Plant Genetic Resources.