

OPERATIONAL POLICY ON DATA EXCLUSION FROM OPEN ACCESS

Approved Date of First Edition: 1 November 2019

Effective Date: 1 November 2019

Approved by: CIP Management Committee

Policy Type: Operating Policy

Accountable Officers: CIP DDG Research, RIU Head, IT Head

Relevant Regulations: CGIAR Open Data and Data Management Policy, CIP Open Data and Data Management Guidelines and Procedures, CIP Publication Policies, CGIAR Principles on the Management of Intellectual Assets

Subordinate Documents: IATI Standard

1. Introduction:

CIP's activities are guided by the principles of Open Access and Open Data. CIP, as a member of the CGIAR System Organization, implements *CGIAR's Open Access and Data Management Policy* through a series of documents such as *CIP Open Data & Data Management Policy*, *CIP Open Data and Data Management Guidelines and Procedures*, *CIP Publications Policy*, amongst others, to increase the visibility, accessibility and impact of the research of CIP and other agricultural research for development stakeholders. CIP believes that these principles will help increase knowledge and use of CIP's information products and consequently further its mission as a research center.

In this regard, CIP's agricultural research outputs and results, jointly or individually generated, are released into the public domain as international public goods to achieve global availability and maximum impact for agriculture, especially in developing countries. In this line, CIP publishes said outputs and results, as well as its organizational information, institutional goals, achievements,

activities about projects and programs, plans and annual reports on its webpage www.cipotato.org, CGSpace <https://cgspace.cgiar.org/handle/10568/51671>, and Dataverse www.datacipotato.org.

Although CIP actions follow the Open Access and Open Data principles, CIP may not be able to publish all its activity data due to contractual and/or legal obligations, or to protect commercial information. This policy regulates CIP data exclusions on the practice of Open Access and Open Data principles.

2. Application and Scope:

This policy applies to all data collected and/or generated by CIP and CIP partners and collaborators within the framework of CIP operations, including project specific, and as described in CIP's Open Data & Data Management Policy, starting **1 November 2019**.

3. The IATI Open Data Standard:

CIP's Open Access and Open Data principles are in line with IATI's Open Data Standard (ODS). In this regard, CIP supports ODS initiative through the publication of its organizational and activity data on three levels:

- I. General Requirements (requirements that IATI data sets need to meet to be published)
- II. Organization Standard (information regarding the publishing organization)
- III. Activity Standard (information related to the projects and programs developed by the organization)

4. General Principles for Data Exclusion:

All CIP data exclusions should be based in at least one of the following principles:

- 1) Commercial Sensitivity: CIP will not publish commercially sensitive information, including grant agreements, subgrant agreements, itemized budgets, staff salaries, commercial contracts, amongst others.
- 2) Legal and Contractual: CIP will not publish information that is forbidden to be published under national and international laws, agreements, or otherwise legally prohibited.

- 3) Safety and Security: CIP will not publish any information that could imply a risk to the safety or security of any person that works or performs an activity for CIP (under any form), beneficiaries, donors, partners, or subgrantees.
- 4) Privacy, Confidentiality, and Data Protection: CIP will not publish private nor confidential information as per the different international and national data protection laws as well as CIP's contractually agreed terms and conditions with donors, partners and subgrantees.
- 5) Temporary impossibility to provide data: If CIP is temporary not able to provide the required IATI information, a temporary exclusion will be filed.
- 6) Cost Effectiveness: CIP will not publish when the cost of providing that data in a form which would be of use to audiences exceeds available resources and the benefits would not reasonably be considered to justify such publication.

5. Procedure on Data Exclusion:

CIP Project Principal Investigators (PIs) have the responsibility for the exclusion of information (specific information, documents, forms, etc.) since they have direct access to the data and thus can assess it in detail. When PIs mark that specific information should be excluded from publication, the decision must be based in one or more of the General Principles for Data Exclusion of this Policy. Said action should be communicated to CIP's DDG Research who will approve or deny the exclusion(s).

6. CIP's Open Data Exclusion Policy Review:

This Operational Policy on Data Exclusion from Open Access will be revised on an annual basis and adjusted if needed based on its use.

