

Bank Directive

Open Access Directive for Formal Publications

Bank Access to Information Policy Designation

Public

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Content

This Directive establishes the Bank's expectations relating to the public accessibility of knowledge resulting from (1) work carried out by Bank Staff members as part of their official duties and (2) outside research funded by the Bank.

Applicable to

IBRD,IDA

Issuer

Vice President & WBG Chief Information Officer, ITSVP

Sponsor

Director, ITSDO

SECTION I – PURPOSE AND APPLICATION

1. This Directive establishes the Bank’s expectations relating to the public accessibility of knowledge resulting from (1) work carried out by Bank Staff members as part of their official duties and (2) outside research funded by the Bank.
2. This Directive applies to the Bank.

SECTION II – DEFINITIONS

1. As used in this Directive, the capitalized terms and acronyms have the meanings set out below:
 - a. **An author or coauthor:** someone who writes, or contributes to the writing of, a manuscript. The use of the term *author* or *coauthor* in this Directive does not imply that a person is identified as such on the manuscript itself. For example, manuscripts resulting from economic and sector work are not attributed to individual authors.
 - b. **CC BY:** a Creative Commons “attribution” license—in line with libre OA—that allows third parties to distribute, reuse, and build upon the work, including for commercial purposes, without explicit permission from the copyright holder, provided that the third party attributes the work in the manner specified by the licensor (but not in any way that suggests that the licensor endorses the third party or the third party’s use of the work).
 - c. **CC BY-NC-ND:** the Creative Commons “attribution, non-Commercial, no derivatives” license—in line with gratis OA—that allows third parties to distribute the work without explicit permission from the copyright holder, but not for commercial purposes and without building upon the work, while the third party attributes the work in the manner specified by the licensor (but not in any way that suggests that the licensor endorses the third party or the third party’s use of the work).
 - d. **Creative Commons:** a Massachusetts-chartered 501(c)(3) tax-exempt charitable corporation dedicated to the idea of universal access to research, education, and culture via the Internet. Creative Commons provides a set of copyright licenses that facilitate open access to research content.
2. **Data sets:** data owned by the Bank and used by Staff members in carrying out research that results in a published manuscript.
 - a. **A final manuscript (or the final submitted version of a manuscript):** the last word-processed version of a document, in the form accepted for publication (the publisher could be the Bank or an external publisher), after completion of peer review, vetting, and/or approval process. A final manuscript includes all associated data sets.
 - b. **A formal publication:** a manuscript that results from research, analysis, economic and sector work, or development practice, and that has undergone peer review or has been otherwise vetted and approved for release to the public.

- c. **Gratis OA:** open access (see definition below) that allows content to be accessed without payment. There are some restrictions on the use of this content.
 - d. **Libre OA:** open access (see definition below) that both allows content to be accessed without payment and places no restrictions, other than proper attribution, on how content is used.
 - e. **Manuscripts:** include—in print or electronic form—monographs (e.g., books, research reports, and conference proceedings), contributed sections or chapters within monographs, working papers, journal articles, and economic and sector work results, along with associated data sets.
 - f. **Metadata:** information about knowledge content, such as the title; the author’s name; or the topic, region, or country being discussed.
 - g. **Open access (OA):** means that content is available online, is free to access, and is free of most restrictions on re-use. Nonetheless, an open access publisher retains the copyright to the content (i.e., open access is *not* the same as placing content in the public domain).
 - h. **The Open Knowledge Repository:** the Bank’s open access repository. It complies with open archives initiatives that promote interoperability standards designed to facilitate the efficient dissemination of content.
 - i. **Peer review:** the evaluation of a manuscript by experts in the same field as the author(s) for scholarly or professional integrity, rigor, accuracy, balance, relevance, and timeliness.
 - j. **Publishing Program (PP):** The formal publisher of record for the World Bank that acquires, edits, produces, and disseminates Formal Publications in accordance with the Bank’s Open Access Directive. PP is implemented by ITS and GCS.
3. **Staff:** Persons holding an appointment under Staff Rule 4.01, “Appointment”.

SECTION III – SCOPE

A. Rationale

1. The World Bank supports free online communication and exchange of knowledge as the most effective way of ensuring that the fruits of research, economic and sector work, and development practice are made widely available, read, and built upon. It is therefore committed to open access, which, for authors, enables the widest possible dissemination of their findings and, for readers, increases their ability to discover pertinent information.

B. Scope and Constraints

1. Paragraph 3.2 of the Principles of Staff Employment stipulates that all rights in any work produced by Staff members as part of their official duties belong to The World Bank (“Bank”) unless such rights are explicitly relinquished. The Open Access Directive for Formal Publications establishes the Bank’s expectations relating to the public accessibility of

knowledge resulting from (1) work carried out by Bank Staff members as part of their official duties and (2) outside research funded by the Bank.

2. For work carried out by Bank Staff, the Directive applies to manuscripts and all accompanying data sets (a) that result from research, analysis, economic and sector work, or development practice; (b) that have undergone peer review or have been otherwise vetted and approved for release to the public; and (c) for which internal approval for release is given on or after July 1, 2012.
3. For external research funded by the Bank, for which funding was approved on or after July 1, 2012, the Directive applies to the final report provided by the researchers to the funding unit within the Bank. The Bank owns the rights to this work, as stipulated in paragraph 3.2 of the Principles of Staff Employment, unless it has chosen to relinquish those rights. External research funded through trust funds that are administered by the Bank is subject to the rules of the trust fund.

C. Statement

1. In keeping with its commitment to unrestricted online access to knowledge, the Bank
 - Requires electronic copies of complete, final manuscripts, as defined above, as well as the associated metadata, to be deposited in the Open Knowledge Repository as indicated below:

Monographs being published through the Bank are deposited in the repository when the manuscript is final and managerial approval for publication has been obtained.

Monographs being published through an external publisher are deposited in the repository upon acceptance for publication.

The final submitted version (in the form accepted for publication; not the final published version) of **contributed sections/chapters to monographs being published through an external publisher is** deposited in the repository upon acceptance of the manuscript for publication.

The final submitted version (in the form accepted for publication; not the final published version) of **journal articles is** deposited in the repository upon acceptance of the article by a peer reviewed journal for publication.

Manuscripts resulting from economic and sector work are deposited in the repository when the manuscript is final and approval for release has been obtained.

Reports by outside researchers who received Bank funding are deposited in the repository upon acceptance of the report by the Bank unit that provided the funding.

- Requires that manuscripts published through the Bank, be both free to access online through the Bank's Open Knowledge Repository and free of restrictions on their use (libre OA) from the time of deposition of the content. These manuscripts are published under the CC BY license.
- Requires that manuscripts published through external publishers be free to access online, but with restriction on use (gratis OA), through the Bank's Open Knowledge

Repository, preferably without delay. If an external publisher requires an embargo period, the Bank respects the requirement, but every effort is made to limit the duration of the embargo (ideally, no more than 18 months). Unless otherwise agreed with the external publisher, the version of the manuscript made available is the final manuscript as accepted for publication, not the final published version. An exception to the Open Access Directive may be requested from the Sponsor of this Directive, but only when required by the external publisher and after other options have been explored. Such an exception applies to external access only and does not negate the requirement for manuscripts to be deposited in the Open Knowledge Repository upon acceptance for publication, which ensures that they can be accessed by Staff.

- Requires that manuscripts published through external publishers be published under the CC BY-NC-ND license unless the publisher accepts that the manuscript be published under the more liberal CC BY license. Unless otherwise agreed with the external publisher, the version of the manuscript made available would be the final manuscript as accepted for publication, not the final published version. In instances when an open access fee is paid, the Bank requires that the final published version be made freely available without restrictions on use other than the requirement for attribution.
- Expects authors to maximize the opportunities to make their content available for free and unrestricted use and strongly encourages authors, when they are publishing through an external publisher, to retain the Bank's ownership of the copyright.
- Requires that the metadata (e.g., title, authors, publisher) be freely accessible from the time of deposition of the content.
- Contracts for book publishing are negotiated and signed by the Publishing Program, which has the fiduciary responsibility to ensure that the Bank's interests are protected. For articles submitted to external journals, the Publishing Program is available to assist authors in their negotiations with publishers to ensure that the final manuscript, as accepted for publication, can be included in the Open Knowledge Repository and to negotiate a limited embargo if one is required.

D. Responsibilities

- 1. Bank lead authors, publishing through the World Bank.** When publishing through the World Bank, staff who are functioning as lead authors are responsible for informing any external coauthors of the Bank's Open Access Directive and for obtaining written permission from them for the release of their content (libre OA, as defined above) through the Open Knowledge Repository. Standard permissions request and copyright assignment forms can be obtained from the Publishing Program. The Bank lead author can request an exception to the Open Access Directive from the Sponsor of this Directive, but only after exploring options for immediate deposit but delayed release and/or gratis OA.
- 2. Bank lead authors, publishing externally.** When publishing through an external publisher, Bank Staff who are functioning as lead authors do not assign the Bank's copyright to the external publisher (the Bank's standard practice is to retain its rights). The Publishing Program can assist in negotiating an agreement with the publisher.

Bank lead authors are responsible for informing any external coauthors of the Bank's Open Access Directive and for obtaining assignment of their copyright to the World Bank. A

standard copyright assignment form can be obtained from the Publishing Program. The Bank Staff lead author can request an exception to the Open Access Directive from the Sponsor of this Directive, but only after all other options have been explored.

- 3. Bank coauthors, publishing externally.** When publishing through an external publisher, Bank Staff who are functioning as coauthors are responsible for providing to lead authors a grant of permission to reproduce the Bank's content. A standard grant of permission form can be obtained from the Publishing Program.

Bank coauthors are responsible for informing lead authors of the Bank's Open Access Directive, which would be applicable to any content developed by the Bank coauthor. The Bank Staff coauthor can request an exception to the Open Access Directive from the Sponsor of this Directive, but only after all other options have been explored.

- 4. Re-use of third-party content.** Bank Staff ensures that their work does not infringe on the copyright of any third party. When necessary, written permission for the use of third-party content is obtained before the manuscript is deposited into the Open Knowledge Repository. The permission allows the material to be used in all forms and media, including, without limitation, in publicly accessible electronic repositories. A standard permission request can be obtained from the Publishing Program.

E. Publishing Program

1. The Publishing Program stores, preserves, and makes freely accessible in digital form the Bank's formal publications using an open access repository, which
 - is open to harvesting and indexing by search services such as OAlster and Google Scholar.
 - is capable of making deposited content accessible (open) immediately (the standard) or after a specified period of delay (an embargo), during which time the metadata is accessible; or, in exceptional circumstances, keeping the content permanently closed in keeping with publication agreements with external publishers, and making only the metadata accessible.
 - identifies peer-reviewed content.
 - for content published through the Bank, replaces or supplements the originally submitted version with the final published version.
 - for content published through an external publisher, provides an acknowledgment of the final published version and either replaces the originally submitted version with the final published version (if permitted by the publisher) or provides a link to the final published version or to the publisher's content portal.
 - has the backing of the Bank to ensure its availability, longevity, and functionality.
2. The Publishing Program establishes and maintains systems for the deposition of manuscripts in the Open Knowledge Repository. These systems include a process for harvesting manuscripts resulting from economic and sector work from the Bank's archival repository (Documents and Reports).

3. The Publishing Program assists with all aspects of the Open Access Directive, including making templates available for permissions requests, grants of permission, and the like; offering guidance on the proper acknowledgment of source material; and providing advice on forming publication agreements with external publishers.
4. The Manager, ITSLP, is the designated signatory on any contract for publication with third parties except for those pertaining to individual articles/chapters that are written, with managerial approval, for publication in external peer-reviewed journals or edited volumes. The signatory for the latter is the author's manager at director level or above.

SECTION IV – EXCEPTION

The Sponsor of this Directive delegates to the Manager, ITSLP, the granting of exceptions for provisions of this Directive.

SECTION V – WAIVER

Provisions of this Directive may be waived by the Issuer of the Directive.

SECTION VI – OTHER PROVISIONS

N/A

SECTION VII – TEMPORARY PROVISIONS

N/A

SECTION VIII – EFFECTIVE DATE

This Directive is effective as of the date on its cover page.

SECTION IX – ISSUER

The Issuer of this Directive is as stated on the cover page.

SECTION X – SPONSOR

The Sponsor of this Directive is as stated in the cover page.

SECTION XI – RELATED DOCUMENTS

N/A

SECTION XII – REVISION HISTORY

June 2024 – This is a retrofit from legacy AMS document to P&P document. Title of the document changed from ‘AMS 14.40 – World Bank Open Access Policy for Formal Publications’ to ‘Open Access Directive for Formal Publications’.

ANNEX(ES)

N/A

Questions regarding this Directive should be addressed to the Sponsor.