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## 1. Preamble

At the core of ICIMOD's mandate as a regional knowledge development and learning centre serving the eight regional member countries of the Hindu Kush Himalayan (HKH) region is the dissemination of knowledge and information produced or gathered through its programme activities to those who can use it for purposes related to integrated mountain development in or outside the region. As a respected intergovernmental organization mandated to work on issues related to integrated mountain development, ICIMOD has a particular responsibility to ensure that any messages it transmits into the public domain are based on scientific integrity, are free of prejudice, are appropriate, and reflect the mandate of the Centre, and the concerns of its partners, its member countries, and especially of its beneficiaries – the people of the HKH region. Furthermore, in order to maximize the impact of these messages, ICIMOD needs to ensure that they are transmitted in the most appropriate form and by the most effective pathways for the target audience and purpose.

## 2. Publication Policy

### Policy statement

ICIMOD will ensure the reliability and high quality of its print and electronic publishing through a process of quality control comprising internal and peer review and formal editing of its research and communications products. The purpose of this publication policy is to ensure that:

- a. ICIMOD follows a policy of open access for all of its knowledge products;
- b. ICIMOD publications in the public domain have an ensured and reliable scientific quality, are

appropriate for their purpose, are a reliable source of information for the intended audience, and do not contain classified information or politically inappropriate or partisan statements;

- c. Publication ethics, authorship criteria and copyright are clearly defined for ICIMOD staff and ICIMOD's partners and funders, such that ICIMOD does not take credit for work of others, and is protected from the same; and
- d. Publishing with partners is encouraged through agreements, capacity building and joint ownership, with ICIMOD acknowledging partners and partners acknowledging ICIMOD in their publications where relevant.

### Area of authority

In this policy and in the companion ICIMOD Publication Procedures and Guidelines document, the term 'ICIMOD publications' is defined as information materials placed in the public domain and identified as originating from ICIMOD, regardless of the form, content, publisher, author, or language. It covers printed publications (journal articles, books, book chapters, research reports, working papers, brochures, newsletters, information sheets, publicity materials including posters and press releases, and others), formal electronic communications (website materials, maps, databases made available to the public, CD-ROMs, e-newsletters, certain PowerPoint presentations, and others), and audiovisual communications (DVD, VCD and video films, audiotapes, and others) intended for broad distribution. It excludes individual blogs by ICIMOD staff, social media and informal publications.

This policy covers all publications released by ICIMOD, by others on behalf of ICIMOD, by others with ICIMOD as co-publisher or with an ICIMOD contribution and bearing the ICIMOD logo, and in outside publications such as journal articles and book chapters by authors identified as staff members of ICIMOD.

Materials prepared by ICIMOD for limited circulation such as internal reports, donor reports, intranet documents, and others are not required to conform to the requirements for materials entering the public domain. However, such materials inasmuch as they are distributed to any parties outside the Centre should follow an agreed approval procedure and be centrally recorded and archived by the Strategic Planning, Monitoring and Evaluation (SPME) unit and the Knowledge Management and Communication (KMC) unit.

The Publishing and Outreach Committee (POUT) has the ultimate authority to determine whether and to what extent materials fall under the aegis of this policy.

### Publications and Outreach Committee

The POUT Committee is the ultimate authority for approval of all matters related to ICIMOD publications. POUT is empowered to formulate editorial, production, and distribution policies and procedures, and is responsible for the scientific quality of ICIMOD's publications.

1. The Committee will operate under the Chairpersonship of the Director General. The role of Chair will be delegated by the Director General to one of the Chief Scientists on an annually rotating basis. The Director General, in consultation with the Senior Management Committee, will determine the further composition of POUT.
2. The Knowledge Management and Communication Senior Manager will have principal responsibility to manage POUT.

The Committee, thus constituted, shall be responsible for:

1. Receiving, reviewing, and approving all ICIMOD publications, including journal articles and book chapters
2. Prioritizing and selecting proposed and submitted publications with guidance from the online publication tracking system
3. Identifying target audiences for all publications and determining the most appropriate means for dissemination within the overall Knowledge Management and Communication Strategy
4. Establishing Terms of Reference guiding the appointment of reviewers for peer review.
5. Reviewing and revising the Publications Procedures and Guidelines.
6. Assessing, from time to time, the adequacy of ICIMOD's human and financial resources in publications and outreach including guidelines for budgeting.

A POUT Executive Committee (EC) will be constituted consisting of the appointed Chair (Chief Scientist), Knowledge Management and Communication Senior Manager, and the Knowledge Management and Communication Senior Editor for taking decisions on urgent matters.

The POUT Committee may invite other staff or experts as resource persons, if necessary, to deal with specific issues, e.g., setting standards, peer reviews of specific manuscripts, and quality control. The Committee will generally meet once every one month, and at least 10 times a year.

### 3. Categories of ICIMOD Publications

There are two broad categories of ICIMOD publications: scientific/technical and general. Scientific/technical publications are aimed at a specific audience and are generally more detailed and technical. They include most books, research reports, working papers, CD-ROMs, and DVDs, as well as technical information posted on the website. General publications are prepared for a broad public audience and include the ICIMOD NewsDigest, Annual Report, newspaper articles, posters, publicity material, promotional material, brochures, and general information posted on the website. Documents may be written or compiled by one or more ICIMOD staff members or by other authors/editors/compilers on behalf of ICIMOD.

#### 1) Scientific and technical publications

POUT will allocate categories, decide on a case-by-case basis whether internal or external review is appropriate, and select reviewers based on the following categories of ICIMOD publications:

- **ICIMOD Special Editions:** Book length manuscripts, including collections of commissioned papers, incorporating and synthesizing research outputs on a subject. High quality, external review, full substantive and language editing, attractive cover, layout and illustrations.
- **ICIMOD Research Reports:** A numbered series of peer-reviewed, high quality scientific reports presenting major ICIMOD research achievements (20 to 60 pages). High quality, external review, full substantive and language editing, standard series cover and layout with illustrations, registered with ISSN.
- **ICIMOD Working Papers:** The ICIMOD form of discussion papers – short presentations (20 to 50 pages) of ongoing work or position papers, or of case studies on themes of topical interest. Good quality, internal review, in general language editing only, standard series cover and layout, attractively illustrated.
- **ICIMOD Policy Briefs:** Rigorous policy messages based on peer-reviewed published material,

written in attractive language for a policy audience. Internal review, standard layout, language editing, two-colour, illustrated.

- **Manuals/Handbooks:** ‘How-to-do’ documents based on the study of practices and systems in different situations, relating to different programmes or themes. In general, manuals should have been developed in a consultative process and field-tested before publishing. Good quality, internal and/or external technical review as appropriate, language and substantive editing, appropriate layout as demanded by subject matter.
- **Proceedings (Workshop, Seminar, or Conference):** Compilations of invited papers for a workshop, seminar or conference, with an introductory/synthesis chapter and conclusions. Good quality, internal review, in general language editing only, appropriate layout as demanded by subject matter, in general no or low colour.
- **CD-ROMs/DVDs:** As prepared for any of the above categories.
- **Films and videos:** By definition films for public dissemination should be of high quality and relevant to ICIMOD activities.
- **Website material:** Technical papers and other full length publications prepared for web posting only and databases to be made available to the public.
- **Other:** The procedure to be followed for any other types of publication, such as maps and databases, will be decided by POUT on a case-by-case basis.

#### 2) General Publications

General materials will undergo language editing only and do not need to pass through POUT, but may need to be reviewed by the Directorate and KMC. This includes but is not limited to the *ICIMOD News Digest*, *Annual Report*, *brochures*, *press releases*, *website material*, *official ICIMOD social media postings*, *posters for bulk printing and single use*, *newspaper articles*, *promotional material*, and *PowerPoint presentations* made on behalf of ICIMOD to international gatherings.

#### 3) Formal internal ‘documents’

These include materials prepared for limited distribution only, for example to meeting participants and donors, such as internal reports, project reports, unpublished manuals, and intranet documents. Such materials inasmuch as they are distributed to any party outside the Centre should follow an agreed approval procedure via KMC and be centrally recorded and archived.

## 4. ICIMOD as sole publisher

In general, publications intended for widespread dissemination in the public domain that are to be published by ICIMOD should follow the standard procedures outlined in the companion document 'ICIMOD Publications Procedures and Guidelines' to ensure that they meet ICIMOD standards for scientific quality, content and language.

All publications will be subjected to review by POUT, who will decide on internal and external review. All material will be edited for language and content unless otherwise decided by the POUT Committee. Aims of review and editing include ensuring that the language is of an acceptable standard, intelligible, and free from imprecision and ambiguity, and appropriate for the target group; that the technical quality is ensured; that material is consistent and scientific sources and citations are complete; that controversial material and preliminary and uncorroborated results are clearly flagged; and that political, cultural, and religious sensitivities of the regional member countries and the mountain peoples are carefully considered and balanced.

### Language

When published in English, UK English is the ICIMOD standard for spelling and use. ICIMOD will also strive to prepare publications in the languages of its member countries. As far as possible, these should be prepared by or through ICIMOD's partner organizations.

### Boundaries and maps

As a general principle, ICIMOD avoids depicting international boundaries unless there is complete agreement by all countries involved. In situations where it is necessary to include international boundaries, the standard maps used by the United Nations will be followed, with appropriate disclaimers included.

### Branding and use of logos

All ICIMOD publications will bear the ICIMOD logo in a prominent position, generally in ICIMOD colours, or where appropriate in white or black. Use of the ICIMOD logo in any other colour must be approved by POUT beforehand. In general, all scientific/technical publications will bear a short description of ICIMOD on the inside front cover, using the standard text developed by KMC for this purpose.

Partners' logos may be included on ICIMOD publications in recognition of a major contribution made by the partner on the advice of the submitting authors. The logo of the donor(s) should be included on all publications arising out of jointly funded projects. However, explicit agreement to use the logo must be obtained from the partner/donor and if requested KMC will send copies of the relevant parts to the partner/donor for review prior to publication. ICIMOD will send copies of the completed publication to the partner concerned.

### Recognition of initiative, programme, and core donors' contributions

The support of ICIMOD's core donors will be acknowledged explicitly in all scientific/technical publications and other publications where appropriate. The support of programme and initiative donors will be explicitly acknowledged in all publications arising out of jointly funded projects.

### Acknowledgement of sources

ICIMOD is bound to respect the copyright and intellectual property rights (IPR) of others. All materials reprinted or reproduced from other sources in ICIMOD publications, especially copyrighted material, and all original work or unpublished materials originating from partners or others and used in ICIMOD publications, must be properly acknowledged. The submitting author is responsible for acquiring written authority to use such material from the copyright holder, with advice from KMC if required.

### Copyright and Open Access

ICIMOD is fully committed to Open Access publishing and to making its publications fully accessible as an international public good at no cost. For journal articles ICIMOD will give preference to Open Access journals or make use of the Gold Open Access option in non-Open Access journals. For Gold Open Access many publishers waive the Author Publication Charge for countries in Band A of the Research4Life scheme, which includes Nepal. For publishers that do not, ICIMOD's programmes need to ensure they allocate sufficient budgets to publishing, also to cover Gold Open Access charges. In both cases ICIMOD will ensure that the Author Accepted Manuscript (AAM) version of all journal articles published by ICIMOD staff is made available in the ICIMOD institutional repository HimalDoc (Green Open Access).

Publications prepared by ICIMOD or on ICIMOD's behalf that derive from projects or activities implemented by or through ICIMOD, or are prepared by authors commissioned by ICIMOD, are considered to be ICIMOD publications. ICIMOD retains the copyright on material so produced and published. In this, ICIMOD will follow the Creative Commons BY-NC (Non-Commercial) license and will clearly indicate this in all its publications. This license entails that the user is free to copy, distribute, and transmit the work for non-commercial purposes and requires that the user attributes the work in the manner specified by ICIMOD.

In the case of commissioned authors, this is included in the terms of the contract (i.e., by terms of the assignment) the author sells the copyright to ICIMOD and this sale is comprehended in the fee paid.

Copyright may be held jointly with another institution (usually the donor or partner organization), in which case both institutions retain full rights over the material and may use it in any form without reference to the other, but may not sell or donate the copyright to a third party.

ICIMOD's claim on copyright will be waived in the case of papers submitted by ICIMOD authors to international or national journals that retain sole copyright.

All ICIMOD publications should bear an ICIMOD copyright line mentioning the Creative Commons BY-NC license together with the year of publication, with the exception of ephemeral items such as brochures and leaflets which should contain an indication of the place and year of printing.

### **International Standard Book Number (ISBN) / International Standard Serial Number (ISSN)**

ICIMOD is a member of ISBN Group 92. The ICIMOD identifier is 9115. All printed books and CD-ROMs intended for world-wide circulation and sale are given an ISBN number, with a separate ISBN number allocated for each format (print, CD-ROM, web posting, and so on) as laid down in the ISBN regulations. Publications prepared by partners with ICIMOD as co-publisher, including translations of ICIMOD books, may also be allocated an ISBN number by ICIMOD.

Serial publications, which include journals, magazines, and certain monograph series, are assigned an ISSN. The ISSN remains the same for each issue of the publication.

### **Disclaimers**

One or more of the following disclaimers, as appropriate, will be included on the copyright page (printed, electronic, or film) of all ICIMOD publications. Standard texts for disclaimers are provided in the companion 'Publications Procedures and Guidelines'. The suggested disclaimer should also be included in journal articles and book chapters, in addition to acknowledgement of funding sources and ICIMOD's core donors.

**Copyright** – ICIMOD's aim is to disseminate information as widely as possible. In general, ICIMOD documents may be quoted, reproduced, or used in any form for education, research, and development purposes without special permission from ICIMOD provided acknowledgement of the source is made (Creative Commons BY-NC license). No use may be made for resale or other commercial purposes without prior permission in writing from ICIMOD.

**General/ Geographical/ Commercial** – All printed publications intended for world-wide circulation will bear a printed disclaimer referring to the attribution of views, boundaries, and endorsement of products. The disclaimer may be modified as appropriate for the specific contents of the publication, and/or to include the requirements of a co-publishing organization. The precise wording may be reviewed and modified by POUT.

**Language** – Translations of ICIMOD documents into other languages will bear a disclaimer of responsibility for accuracy of the translation.

**Suggested disclaimer (for authored publications)** – “The views and interpretations in this publication are those of the authors. They are not necessarily attributable to ICIMOD and do not imply the expression of any opinion by ICIMOD concerning the legal status of any country, territory, city or area of its authority, or concerning the delimitation of its frontiers or boundaries, or the endorsement of any product.”

**Suggested disclaimer (for non-authored publications)** – “This publication does not imply the expression of any opinion by ICIMOD concerning the legal status of any country, territory, city or area of its authority, or concerning the delimitation of its frontiers or boundaries, or the endorsement of any product.”

## 5. Publishing by, with, and for other organizations

### Publication in journals and books with multiple contributors

ICIMOD authors are encouraged to submit articles to open access peer-reviewed journals and to other journals that have an open access option and to contribute chapters to books with multiple contributors. To ensure consistency of ICIMOD information, and especially statements related to policy, such contributions are also subject to this policy, and must be submitted and approved by POUT before submission to the journal/publisher/book editor. The online POUT registration system must be used to both register the draft title, abstract and proposed authors of the journal article or book chapter and to submit the final draft for approval by POUT before it is submitted to the journal or edited book. All journal articles and book chapters should also include the ICIMOD disclaimer and acknowledgements to funding sources (both specific programme and initiative donors and core donors).

### Co-publishing with ICIMOD as the primary publisher

ICIMOD may prepare publications under a joint publishing arrangement with partner organizations. Such publications will be prepared according to ICIMOD standard procedures. Copyright will be held jointly. ICIMOD will allocate an ISBN number; the partner organization may allocate a second ISBN number. Co-publishing agreements will not be made with private individuals or for books intended for sale for profit.

### Co-publishing with a partner as the primary publisher

ICIMOD may agree to a partner organization preparing a publication using material that derives from projects or activities supported by, or jointly implemented with, ICIMOD. In general, copyright will be held jointly. Co-published publications will be classified according to the same system and following the same criteria as used for ICIMOD publications. Such a publication should meet ICIMOD editorial standards but without conforming to ICIMOD style or procedures. The ICIMOD disclaimer should be included in an agreed form on the copyright page. Agreement to act as co-publisher and use of the ICIMOD logo will be subject to ICIMOD internal review of the print ready publication and approval by POUT.

### Preparation of publications to be published by other organizations

On occasion, ICIMOD may prepare and produce publications for other (partner) organizations who retain the IPR (or ownership) and sole copyright, and who request that the publication be prepared according to the rules and regulations of the other organization. The decision to undertake such preparation must be approved by POUT. In such cases, the costs of KMC and of any Thematic Area or Regional Programme involved in the preparation must be met in full by the commissioning organization or the relevant project. Any monies so paid will be used to reimburse the budget of KMC and involved TAs and RPs where possible.

### Publication by others on behalf of ICIMOD

ICIMOD may commission others to prepare publications on its behalf. These publications should meet ICIMOD editorial standards. They must be reviewed by KMC and POUT prior to printing. Books written by ICIMOD staff may also be published by outside publishers for other reasons. ICIMOD will decide on copyright and royalty sharing arrangements, if relevant, but staff will be able to have work published by commercial publishers.

### Translations of ICIMOD publications

Partners are encouraged to prepare and publish translations of existing ICIMOD publications. The final edited English text should be used for the translation. Responsibility for ensuring the quality and accuracy of the translation lies with the partner and with KMC. In general, published translations should follow the format of the original text and should contain a note on the copyright page in English and/or the language of the translation with the original title, ISBN number, and publication date of the original publication. If ICIMOD is named as co-publisher then KMC may allocate an ISBN number to the book. If the book is solely published by the partner, then ICIMOD cannot allocate an ISBN number. In either case, the ICIMOD logo should appear on the front cover.

## 6. Use of ICIMOD logo by other organizations

ICIMOD's logo may be included on publications by others following recommendation by the concerned authors to KMC in recognition of a major contribution made by ICIMOD. Permission to use ICIMOD's logo must be requested formally in writing. The publication

should meet ICIMOD's standards for content and presentation, to be verified by KMC, without necessarily meeting full editorial standards. Use of the logo must be approved by POUT, subject to ICIMOD internal review of the print ready publication. At least one copy of the publication, and preferably more, should be submitted to ICIMOD after completion.

## 7. Publication ethics and authorship

All ICIMOD staff have ethical obligations with regard to the publication of ICIMOD research, in particular concerning authorship. All individuals who have made a substantial contribution to the research and at the minimum meet two of the following four criteria: inception, data collection, analysis and writing, should be considered as co-authors on a publication. Every effort shall be made to be inclusive in authorship and ICIMOD staff should ensure that deserving authors, also from partners, are not omitted, while at the same time ensuring that only those individuals who meet authorship criteria are rewarded authorship.

ICIMOD strongly discourages the practice of including guest authors (those who do not meet authorship criteria but are listed due to their seniority, reputation or supposed influence) and gift authors (those who do not meet authorship criteria but are listed as a personal favour or in return for payment) and excluding ghost authors (those who meet authorship criteria but are not listed) on ICIMOD publications, including journal articles and other publications with partners.

Additional publication ethics include the following:

- The research being reported should have been conducted in an ethical and responsible manner, should comply with all relevant legislation, and should benefit or promote and not harm the wellbeing of research participants.
- The use of personal and identifying information of research participants is discouraged and may only be allowed if explicit approval has been given by the research participants.
- Researchers should present their results clearly, honestly, and without fabrication, falsification, or inappropriate data manipulation.
- Researchers should strive to describe their methods clearly and unambiguously so that their findings can be confirmed by others.
- Researchers should adhere to publication requirements that submitted work is original, is not plagiarized, and has not been published elsewhere.
- Authors should take collective responsibility for submitted and published work.

- Funding sources and relevant conflicts of interest should be disclosed.

## 8. Publication resources and distribution

ICIMOD will strive to develop and maintain, on its own or in partnership, the state-of-the-art resources needed to prepare diverse types of publications for a broad range of audiences and thus ensure that the information developed and acquired by ICIMOD can be used for maximum impact. Access to these resources will be made available to ICIMOD staff, and insofar as possible to partners. Resources include adequate human resources; up-to-date hardware and software for production, dissemination, and archiving of all types of multimedia materials; and development and adaptation of new methodologies for knowledge management.

ICIMOD will make every effort to ensure widespread distribution of published material in order to maximize the impact of the knowledge and information contained therein. Publications will be distributed free-of-charge to partners and other appropriate organizations and individuals to the extent possible. Publications will be publicized as widely as possible using multiple pathways, including, for example, email announcements, website information, book releases, book fairs, and others. Publicity fliers will be prepared for all technical documents.

## 9. Monitoring and evaluation

It is essential for any publishing operation to have up-to-date information on what is planned, what is being produced, and what is available. KMC will maintain a database – the publications pipeline – covering these aspects. This data will be made available to all staff via the intranet. In general, the records will be updated at monthly intervals. The purpose of the database is to aid monitoring of the process, provide easy identification of materials, and ensure that all partners in the publishing process have access to up-to-date information concerning publications. The database will include a separate section with records of unpublished 'internal' documents prepared for limited distribution (training materials, reports, and others).

A feedback mechanism will be developed to enable assessment of appropriateness and impact of publications, and to support the activities of the POUT committee in guiding publications development. Full details on the submission of planned publications and drafts to POUT for approval are provided in the companion Publication Procedures and Guidelines document.

## 10. Archiving

A single hardcopy of all publications prepared by ICIMOD, including unpublished documents prepared for limited distribution, will be kept in a permanent archive. An additional copy of all scientific and technical publications will be kept in the ICIMOD library. To the extent possible, all ICIMOD publications will be archived digitally in ICIMOD's institutional repository HimalDoc. An annually updated list of ICIMOD publications will be made available to the general public on the internet. Internal documents prepared for limited distribution will also be centrally archived.

## 11. Contractual agreements

Contractual agreements made with partners and outside bodies relating to any of the publications and communications materials covered under this Policy must be reviewed by KMC before signing. All Memorandums of Understanding (MoUs) and Letters of Agreement (LoAs) with partners must include a section explicitly detailing agreements on publications and authorship, making reference to this policy. This section must be approved by the senior manager of KMC and may be brought to POUT for discussion if deemed necessary.

## 12. Disclosure Policy

ICIMOD receives numerous queries concerning its publications and programme initiatives. The Centre recognizes transparency as a good governance practice and recognizes the importance of increasing awareness of ICIMOD's activities, and thus seeks to provide information about its work in a clear and timely manner. ICIMOD will continue to expand the range of publicly available documents especially through its website. The list of documents to be made available will be reviewed periodically by POUT and in principal will include all publications falling under categories 1 and 2 as described in section 3.

ICIMOD recognizes, however, that full disclosure of information is not always possible. Documents that will not be made available to the general public include, for example, drafts of project proposals, results of internal reviews, personal information of staff, and information that would violate copyright law.