

Guidelines on Production and Dissemination of Information Products¹

January 13, 2018

As a CGIAR Research Center, these Guidelines have been developed in line with the CGIAR Principles on the Management of Intellectual Assets (“CGIAR IA Principles”), the CGIAR Open Access and Data Management Policy (“CGIAR OA Policy”), and the CGIAR Open Access and Data Management Implementation Guidelines (“CGIAR OA Guidelines”).

These Guidelines elaborate on conduct expected of all researchers pursuant to the Code of Conduct Policy and the Research Ethics Policy and should be read in conjunction with both of those Policies.

1. Purpose

The Information Products are intended to increase the visibility of ICARDA and its researchers and facilitate the dissemination and recognition of ICARDA’s research outputs and their delivery, noting that ICARDA’s research outputs are considered International Public Goods under the CGIAR IA Principles. These Guidelines aim to support the free flow of Information Products and to contribute to the sharing and verification of research findings.

The objectives of these Guidelines are to:

- Increase the dissemination of ICARDA’s research results, outputs and impacts;
- Reach audiences that have the potential to increase the impact of ICARDA research;
- Promote an open access approach and support open access principles through dissemination of the outputs deposited in the ICARDA institutional repositories and other open access archives; and
- Facilitate knowledge sharing between ICARDA and its partners.

2. Scope

These Guidelines apply to all information products that satisfy at least one of the following criteria:

- Published by ICARDA
- Authored by a Researcher² while they work for ICARDA

¹ Information Products are defined in the CGIAR Open Access and Data Management Policy as including these indicative types: peer-reviewed journal articles; reports and other papers; books and book chapters; data and databases; data collection and analysis tools (e.g. models and survey tools); video, audio and images; computer software; web services (e.g. data portals, modeling on-line platforms) and metadata associated with the information products above. For a complete list of publications types and definition, please see annex.

² The term “Researcher” is defined in ICARDA’s Research Ethics Policy. <https://dx.doi.org/20.500.11766/9131>

- Written by an ICARDA partner and is a result of a collaborative project/work
- Written by a consultant commissioned by ICARDA
- Written by research associates hired by ICARDA
- Edited by a Researcher
- Financed (partially or fully) by ICARDA³
- Co-published by ICARDA and partners or collaborators
- Has the ICARDA logo on its cover
- BSc, MSc, PhD students and Post-doc (where copyright permits, monographs may also be deposited)

3. Principles

3.1 Open Access

1. Researchers shall, as much as possible, publish in open access journals, which may be hybrid, delayed or fully open access. The journals must be reputable in the field of work, as validated by the supervisor and Deputy Director General of Research (DDG-R).
2. Project leaders must budget for the estimated cost of publishing, including any translation or open access costs, in their project proposals to donors. Open access related costs are considered a direct cost of a project and, as such, must be included as a budget line.⁴
3. Development of grant applications should include an open access publication fee. Where funding is not available to pay Article Processing Charges (ACP), Researchers shall publish their work in compliance with the table below.
4. Unless otherwise stated by the publisher, ICARDA's outputs will be published under a Creative Commons Attribution (CC BY-SA) license that allows others to reuse, redistribute, translate, and make an adaptation to the work subject to the publication being fully attributed. This license is chosen because of its "right to offer" nature, which ensures maximum dissemination.
5. Researchers are required to ensure that their peer-reviewed publications and other research outputs are freely accessible through the publisher's website or ICARDA's publication repository in accordance with the CGIAR OA Guidelines⁵:

³ When a new BUS is open, PDGMU will share the present guidelines in addition to the Memorandum of Agreement for the project. Project managers should follow this document in the event that Researchers and/or partners produce publications.

⁴ Finance should ensure that every research and development project has an allocation for publication with the assumption that any project may produce publications. The CGIAR standard is approximately 5% for communications, including publications. Such funds should be accrued by the Communications Unit and made available on a specific budget code to be used for Open Access Fees and related support defined in this document.

⁵ <http://hdl.handle.net/10947/4489>

Types of Information Products	CGIAR OA Guidelines Deposit Schedule
Peer-reviewed versions of journal articles	<ul style="list-style-type: none"> • Ideally, at the time of publication • Latest: 6 months from publication
Self-published journals, books, reports, etc.	<ul style="list-style-type: none"> • Immediately
Reports and other papers	<ul style="list-style-type: none"> • As soon as possible • Latest: within 3 months of completion or in accordance with donor's requirements
Externally or commercially published books and book chapters	<ul style="list-style-type: none"> • As soon as possible • Latest: within 6 months of completion
Data and datasets ⁶	<ul style="list-style-type: none"> • As soon as possible, following consultation with partners and associated approval • Latest: within 12 months of completion of data collection or appropriate project milestone, or within 6 months of publication of the information products underpinned by that data
Video, audio, scientific images	<ul style="list-style-type: none"> • As soon as possible • Latest: within 3 months of completion
Photographs	<ul style="list-style-type: none"> • As soon as possible • Latest: within 3 months of completion or publication
Computer software/applications/code	<ul style="list-style-type: none"> • Upon completion of software development and final testing from the end-user side
Metadata	<ul style="list-style-type: none"> • As soon as possible • Latest: on publication of the information product
Core/corporate governance documents appropriate for public consumption (e.g. financial reports, board agendas and minutes, annual reports, as appropriate)	<ul style="list-style-type: none"> • As per "reports" category of information products (core/corporate governance documents are not currently addressed separately in the Policy). This excludes confidential specific matters • As soon as possible

6. Researchers and partners are encouraged to publish in peer-reviewed journals and papers describing the dataset or group of datasets. While limited access data may reduce citation, when open access is not possible, Researchers and partners should focus on sharing knowledge about

⁶ All information products made available for open access and re-used are subject to the legal rights and legitimate interests of stakeholders and third parties, including intellectual property rights, confidentiality, sensitivity (including price and politically-sensitive information), farmers' rights, privacy and the CGIAR IA principles. Subject to these precautions, research data generated by ICARDA will be made publicly available consistent with the OA Policy and these Guidelines.

the process undertaken for data design. This is supported by publishing data papers, acknowledging those involved in collection, curation, and management of data and ensuring better usability and visibility of data.

7. Researchers shall deposit their research outputs in ICARDA repositories⁷ along with the metadata using the Monitoring and Evaluation Platform (“MEL”) as a depositing interface. Some examples of outputs to be deposited include:
 - Post-print and/or published journal articles
 - Research datasets on which the publication is based
 - Conference papers and posters
 - Books, book chapters, unpublished manuscripts, manuals, presentations, reports, and working papers
 - Software
 - Photographs
8. Metadata should comprise the full bibliographic and/or descriptive data and should comply with international standards and agreements for harvesting, reporting and interoperability.
9. When available and required by donors, authors must comply with the donors’ policies relating to open access and research data management.

3.2 Acknowledgments

10. Authors must use the standardized institutional affiliation “ICARDA” and refer to ICARDA Lebanon as the temporary headquarters in all research outputs, to ensure clear affiliation with ICARDA.
11. Unless otherwise stated in a grant agreement, authors must acknowledge the source of grant funding, as well as the names of donors and partners associated with a research output in the publication or communication itself. Information about the grant should also be linked, by the author, to the record of the publication.
12. Acknowledgement should also be given to all those who provided non-direct technical assistance, such as farmers and technicians that have helped with, among other things, animals, cells, equipment, procedures, or techniques or provision of data, equipment, reagents, or samples.

3.3 Intellectual Assets

13. Any intellectual assets created within the framework of research collaborations and research partnerships with third parties will normally be owned jointly by ICARDA and the third party.

⁷ For example: D-Space, Dataverse, YouTube, Flickr, Slideshare, ICARDA Intranet.

Details of the ownership of the resulting intellectual property in the data must be reflected in a written agreement.

14. If the author has used external material tables, figures, maps, etc. taken from non-ICARDA publications and the article contains any of such material in substantially the same form as in its original outlet (whether in print or online), then the author must obtain permission to use those materials to avoid infringement of copyright and retain a written record of that consent from the copyright holder.
15. When co-publishing with external parties, ICARDA shall retain ownership of the copyright on all of its published materials whenever possible. This should be agreed at the outset of any negotiations with co-publishers. A minimum of joint copyright should be negotiated. The ownership of intellectual property must be specified in a contract (such as a Letter of Agreement, Consultancy Agreement, or Internship Agreement). The co-authors shall agree on the methods of publication to ensure that the CGIAR OA Policy and Guidelines are respected.

3.4 Branding

16. Authors must adhere to the [ICARDA Brand Guidelines](#).
17. Ensure that all references include the following information:
 - Author
 - Year of publication
 - Title (article, chapter, book, report, presentation, etc.)
 - Title and editor of overall volume (where appropriate)
 - Journal title (where appropriate)
 - Journal volume, issue, and page number (where appropriate)
 - Conference title, date, and location (where appropriate)
 - City/(state)/country
 - Publishing agency/organization name
 - URL and access date (where appropriate)
18. Provide all tables, figures, maps, and equations in the correct form. For more information, please refer to [ICARDA's Style Manual](#).
 - All tables, figures, and maps should be comprehensible if rendered in black-and-white rather than color (color versions of the graphics can be posted on the web, if necessary).
 - All tables must be Word or Excel tables.
 - All maps must be either high-resolution EPS files (first choice) or high-resolution TIFF files (second choice).
 - All figures other than maps (graphs, bar charts, pie charts, etc.) must be either Excel files or high-resolution EPS or TIFF files.

- Equations must be created using MathType (first choice) or by simply typing them in as you would regular text, using numbers, math operators, sub/superscripts.
- Do not provide these elements as embedded images or in any other forms apart from those listed above.
- Make sure that each table or figure can be understood on its own, without reference to the main body of the publication: this means all symbols or abbreviations should be fully explained within the table or figure and proper caption is provided.
- All third parties' tables and figures used in publications must have notes identifying their source(s).
- Adhere to standard punctuation for table and figure titles: capitalize only the first word, any proper nouns, and the first word after a colon.

3.5 Authorship and Co-Publication

19. Researchers must address issues relating to publication and authorship, especially the roles of all collaborators and contributors, at an early stage of the design of a project, recognizing that, subject to legal and ethical requirements, roles and contributions may change during the time span of the research. Decisions on publication and authorship will be agreed jointly and communicated to all members of the research team.
20. The list of authors should accurately reflect who carried out the research and wrote the article. All multi-authored papers should include an "Authors' Contributions" section at the end of the paper.
21. Each proposed author must satisfy the following criteria (based on [ICMJE Guidelines](#), "Criteria"):
 - Substantial contributions to conception and design, or acquisition of data, or analysis and interpretation of data,
 - Drafting the article or revising it critically for important intellectual content,
 - Final approval of the version to be published, and
 - Agreement to be accountable for all aspects of the work in ensuring that questions related to the accuracy or integrity of any part of the work are appropriately investigated and resolved.
22. All authors must meet these criteria for authorship and, conversely, no one should be omitted from the list if he/she meets the Criteria.
23. All persons meeting the Criteria will be acknowledged as authors.
24. An individual who has not met the Criteria must not be listed as an author. Honorary authorship is not permitted.
25. Individuals who have contributed significant portions of the text should be named as authors or acknowledged in the final publication. Individuals who do not meet the requirements for

authorship but who have provided a valuable contribution to the work should be acknowledged for their contributing role as appropriate to the publication.

26. Authors must communicate their and their co-authors' unique identifiers (ORCID)⁸ to the publisher, even when the product is internal.

3.6 Ethics related to Publication

27. Authors are responsible for documenting that prior informed consent was obtained for all research activities in a manner consistent with the Research Ethics Policy. Research conducted without such a record of informed, express consent of the subjects and partners will not be published.
28. Most journals only consider article submissions which have not been published previously. Redundant publication, duplicate publication and text recycling is where authors reproduce verbatim content from their other publications. Duplication of a published article or major overlap/redundancy with another published article is not acceptable for a Researcher and may constitute misconduct. If it is published more than once, the scientific literature can be unjustifiably weighted by the appearance that one study has been replicated. It might also mean that the study is inadvertently entered twice into a meta-analysis, for example, or cause problems in systems which use the number of publications to assess an individual's or an institute's research output.
29. There may be situations where previously published work can be included in summary form, but it must be expressively stated in writing with the editor on submission that this is the case. Submissions containing material that has previously formed part of a PhD or other academic thesis which has been published according to the requirements of the institution awarding the qualification can also be considered. Minor overlap or a small amount of redundancy may be unavoidable, especially for the description of materials and methods. This must always be reported transparently. However any such overlap must be properly attributed and compliant with copyright requirements.

4. Internal Procedure for publication

The internal review process for information products publication will help ensure that ICARDA's authors submit the best manuscript to increase the likelihood of acceptance, and to support in the selection of the most appropriate journal.

⁸ <https://orcid.org>

30. Prior to external submission, authors must submit their peer-reviewed product⁹ (together with the associated data and metadata) to his/her Supervisor.
31. Once the Supervisor approves the product, the author shall submit the product to the Program Director who shall either approve or refuse. If he/she approves, the author will pass the product to the DDG-R for review and approval.
32. For scientific papers, the Researcher must provide to the DDG-R the name of the target Journal and also the publisher, so that these can be vetted for Open Access and predatory journal¹⁰ compliance. If needed, the DDG-R's office will provide to the Researcher relevant open access information regarding the proposed journal, including open access guidelines/options and associated fees.
33. The DDG-R shall involve the Geoinformatics Unit (GU) to assess the accuracy and quality of all maps to be used in publications and may involve GU with respect to certain data.
34. If the author, with permission from the DDG-R, has decided not to publish in an open access journal, but via a traditional non-open access publication, the author shall submit to the Legal Counsel the publishing agreement for review.
35. When the publication has been accepted by a journal, it should be uploaded under MEL in its final version if it is an open access publication and as the proofreading version if it is a non-open access publication.
36. In case the submitted paper is rejected, the author should inform his supervisor, the program director, the DDG-R, and the Legal Counsel on his/her intention to quit the process or re-submit to another journal.
37. No scientific paper may be published unless they have followed the above procedure.
38. The Communications Unit will ensure further communication of the papers accepted and uploaded in MEL.

⁹ The Researcher must check the list of peer-reviewed journals under the Institute for Scientific Information (ISI) and currently managed by Clarivate Analytic with the Science Citation Index (SCI) : <http://mjl.clarivate.com/cgi-bin/jrnlist/jlsearch.cgi?PC=MASTER&Error=1> . Impact factors of those Journal are published yearly on the Journal Page and updated in MEL.

¹⁰ The Open Access and predatory compliance check consists of three parts: (1) checking the list of Predatory Journals listed by Beall (as updated) at <https://beallist.weebly.com/#>; (2) checking the website at <https://predatoryjournals.com/journals/>; and (3) checking the White list for Journals website at <https://doaj.org/> .

5. Implementation of these Guidelines

39. These Guidelines are issued by the Director General and are effective on the date specified below the title of the Guidelines. Any amendment to these Guidelines shall be issued by the Director General in writing. The Annex to these Guidelines may be amended by the DDG-R.
40. The implementation of these guidelines is supervised by the DDG-R and is the individual responsibility of ICARDA scientists involved in the production and/or dissemination of information products.

Annex:

Information Products Types and Definitions

1. Blog

Digital documents other than an e-book, networked audio-visual document or electronic patent (e.g., report, pre-print, cartographic or music documents, exhibits, etc.) in electronic format.

[Blog](#) | *Source:* [NISO](#)

2. Book

Non-serial publication that is complete in one volume or a designated finite number of volumes. (There are two types: books published by ICARDA or books edited by Researchers.)

Source: [COAR](#)

3. Book Chapter

Defined chapter or section of a book, usually with a separate title or number.

Source: [COAR](#)

4. Brief Series

Brief description of important new research, also known as “communication.” (Research briefs showcases new research initiatives; policy briefs provide concrete policy recommendations.)

[Research and Policy Brief](#) | *Source:* [COAR](#)

5. Science Impact

Science Impact showcase success story related to an ICARDA initiative and underscores impact.

[Impact Stories](#)

6. Fact Sheets

Gives information about a particular issue or topic.

[Fact Sheets](#)

7. Working Paper

This is a separately published record of research findings, research still in progress, or other technical findings, usually bearing a report number and sometimes a grant number assigned by the funding agency. Also, an official record of the activities of a committee or corporate entity, the proceedings of a government body, or an investigation by an agency, whether published or private, usually archived or submitted to a higher authority, voluntarily or under mandate. In a more general sense, any formal account of facts or information related to a specific event or phenomenon, sometimes given at regular intervals.

[Working Paper](#) | *Source:* [COAR](#)

8. Discussion Paper

Informal documents that present unpolished results of research or country analysis. They are circulated to encourage discussion and comment. Papers for which rapid publication is particularly important are often issued in this series. Opinions stated in discussion papers are those of the author(s) and are not necessarily representative of or endorsed by ICARDA. Copyright remains with the authors. The authors are free to proceed, without further ICARDA permission, to publish the paper(s) or any revised version of it, in outlets such as journals, books, and other publications.

[Discussion Paper](#)

9. Tools and Guidelines

Also known as Manual, this refers to any type of technical documentation that describes handling, functionality and architecture of a technical product or a product under development or use.

[Tools and Guidelines](#) | *Source:* [COAR](#)

10. Brochure

Pamphlet, booklet, leaflets and other pocket, foldable graphic and informative products containing summarized or introductory information or advertising.

11. Conference Paper

This is a paper that is submitted to a conference and presented to the audience. The conference paper is published in proceedings.

[Conference Paper](#) | *Source:* [COAR](#)

12. Donor Report

Report to a funding agency is a document written by beneficiaries of project grants. The reporting documents can be e.g. periodic reports about progress of scientific and technical work and final report. For deliverables use 'Project deliverable.'

[Donor Report](#) | *Source:* [COAR](#)

13. Internal Document

Internal report is a record of findings collected for internal use. It is not designed to be made public and may include confidential or proprietary information.

[Back-to-the-Office Report](#) | [Internal Meeting Report](#) | *Source:* [COAR](#)

14. Dataset

Collection of related facts and data encoded in a defined structure.

Source: [COAR](#)

15. Journal Article

Article by an author or a team of authors published in an academic or scholarly journal or another periodical.

Source: [COAR](#)

16. Manuscript-Unpublished

Pre-print describes the first draft of the article – before peer review, and even before any contact with a publisher. This use is common amongst academics for whom the key modification of an article is the peer-review process. Another use of the term pre-print is for the finished article, reviewed and amended, ready and accepted for publication – but separate from the version that is type-set or formatted by the publisher. This use is more common amongst publishers, for whom the final and significant stage of modification to an article is the arrangement of the material for putting to print.

Source: [COAR](#)

17. Map

Any material representing the whole or part of the earth or any celestial body at any scale. Cartographic materials include two- and three-dimensional maps and plans (including maps of imaginary places); aeronautical, navigational, and celestial charts; atlases; globes; block diagrams; sections; aerial photographs with a cartographic purpose; bird's-eye views (map views), etc.

Source: [COAR](#)

18. News Item/Press Item

Articles in a daily, weekly or monthly publication reporting on news and social issues aimed at the public. May entail critical analysis based on expertise in the field. (In case of press release, refer specifically to press release and not news item, as this is already covered by blog.)

Source: [CASRAI](#)

19. Poster

Opaque (e.g., two-dimensional) art originals and reproductions, charts, photographs or materials intended to be projected or viewed without sound, e.g., filmstrips, transparencies, photographs, posters, pictures, radiographs, slides, and collections of such materials.

Source: [NISO](#)

20. Presentation

Expositions and dissertations delivered by Researchers given through Microsoft Power Point or other presentation software.

21. Software

Computer program in source code (text) or compiled form.

Source: [COAR](#)

22. Thesis

Thesis or dissertation is a document submitted in support of candidature for an academic degree or professional qualification presenting the author's research and findings.

Source: [COAR](#)

23. Training Material

Reference materials providing proper knowledge and instructions to carry out the implementation of specific technologies, practices, and interventions.

24. Video

Moving display, either generated dynamically by a computer program or formed from a series of pre-recorded still images imparting an impression of motion when shown in succession.

Source: [COAR](#)

25. Audio

Resource primarily intended to be heard. Examples include a music playback file format, an audio compact disc, and recorded speech or sounds.

Source: [COAR](#)

26. Image

Recorded static visual representation. This class of image includes diagrams, drawing, graphs, graphic designs, plans, photographs, and prints.

Source: [COAR](#)