



CIP Publications Policy

1. Purpose

This operations policy regulates the publication of scientific research generated by the International Potato Center (CIP). It aims to facilitate a key facet of CIP's mandate: the production of high quality, accessible research outputs that achieve maximum impact for people in developing countries.

All published research will be accurate, legally compliant, timely and available to the public. **Intellectual Assets** will be managed in accordance with the principles of free, immediate and unrestricted Open Access.

2. Scope

This policy applies to all CIP staff, visiting scientists, consultants paid or hired by CIP, interns and students (hereinafter 'CIP Personnel') generating and developing publishable works solely or jointly with CIP.

3. Objectives

- 3.1** CIP will make every effort to publish research in high quality peer-reviewed channels, allowing for free availability and unrestricted use of published Materials.
- 3.2** To maximize the accessibility of outputs, CIP requires CIP Personnel to choose open access publishing options where available.
- 3.3** The CIP library will maintain an updated list of credible journals appropriate for CIP outputs, including information on Open Access options and the last date of verification of the information.

3.4 If the preferred journal is not on this list, the author must verify its reputation and credibility with the CIP library prior to submission.

3.5 CIP Personnel and CIP as an institution will aim for pre-empting IP claims by third parties that may restrict public access over CIP's research results and findings by promptly publishing research results and depositing them in an Open Access repository with an unambiguous publication date.

4. CIP Outputs

Published research outputs created by CIP Personnel (**'Publications'**) can be broadly summarized in the following main categories:

- a.** Research articles and conference papers (**'Manuscripts'**) for publication in peer-reviewed scientific journals, books and book chapters.
- b.** In-house publications (e.g. proceedings of conferences and workshops, monographs, teaching materials and multi-media output including audio and video).
- c.** Public outreach material (e.g. posters, brochures, news releases).

5. Before Publication

Project Formulation Phase

5.1 Potential Publications must be identified during a project's planning phase (Project Notification Memorandum)

5.2 Project leaders must budget for the estimated cost of publishing, including any translation or open access costs, in the project proposal submitted to donors. Open Access related costs are considered a direct cost of a project, and as such, must be included as a budget line. Please refer to Annex 3 of the CIP Open Data and Data Management Guidelines & Procedures. **[NOTE: insert link]**

Some projects that are on-going at the time of approval of this policy, that did not budget for Open Access of the publication(s), must contact the office of the DDG-RD to submit a

request for funding support. The office of the DDG-RD will determine the feasibility of this type of financial support to the project.

Project Management Phase

- 5.3 All new inventions¹ must be disclosed to the office of the DDG-RD verbally or in writing prior to publication.
- 5.4 Authors must forward a copy of a Manuscript they deem ready for submission to [<the Project Leader>], who may initiate an internal peer review. If a Manuscript is not suitable for external publication, it will be published in-house.
- 5.5 Authors must inform Library of an intention to publish and identify the name of the Journal and the publisher for initial Open Access compliance check.
- 5.6 Library provides relevant Open Access information regarding the proposed journal, including Open Access policy/ options and associated fees.
- 5.7 A Manuscript will not be published in more than one Publication unless the content is substantially different, or it's accepted as a compilation of previous publications.
- 5.8 Sources of funding: Published Materials must acknowledge significant sources of research funding, and list relevant competing interests.

6. Authorship

6.1 Authorship is an explicit way of assigning responsibility and attributing intellectual work. It applies to all knowledge Materials, such as research articles, photos, datasets, maps and software programs. Authorship is central to CIP's reputation and the integrity of the research conducted by the center.

6.2 Criteria

- a. Authorship requires a significant and original contribution to the intellectual process. This may include, but is not limited to, the following **Criteria**: defining the research question; formulating the project's conception and design; developing models, methodologies,

¹ An Invention is a discovery with a technical character. It must be a novel and inventive product or method with potential industrial application. This includes, but is not limited to: processes, improved or genetically modified plant varieties, machines, manufacture or compositions of matter, design, or software. These need to be disclosed internally via the invention disclosure mechanism in order to evaluate its value for CIP and its strategic management for achieving impact.

techniques, instruments for data collection or mathematical and statistical programs; providing technical inputs; carrying out experimental work; analyzing and interpreting data; and drafting or revising the article.

- b. All persons meeting sufficient Criteria will be acknowledged as authors.

6.3 Ethics

Authors have three main ethical responsibilities in presenting their work for publication:

- a. To engage in honest and full reporting, which provides an accurate and complete description of the observations made and data collected.
- b. To obtain written consent to reproduce copyrighted external material from the copyright owner, and acknowledge the source through proper citation.
- c. To obtain prior informed consent from those who participate in the research activity either as subjects or as partners. Authors are responsible for documenting that prior informed consent was obtained for research activities at all times. Research conducted without the relevant consent of subjects and partners will not be published.²

6.4 Implementation

- a. Project leaders are responsible for initiating discussions about Authorship during the planning phase.
- b. Agreement on Authorship requires researchers to allocate tasks clearly, to identify the individuals responsible for deliverables and how each will contribute. Authorship may change as a project develops.
- c. The Authorship order should accurately reflect the magnitude of individual contributions based on the Criteria in 6.2(a). Alternatively, authors may be listed in alphabetical order.

² CIP is developing an informed consent letter template for researchers. In the meantime, researchers are encouraged to use a letter such as the one prepared by the U.S. Department of Energy, available at: <http://humansubjects.energy.gov/doe-resources/files/generic-sample-informed-consent-form.doc>

- d. Lead authors must secure the agreement of all co-authors before submitting a Manuscript to a Publication.
- e. Contributors who do not qualify as authors, including donors, administrative or logistical supporting staff, editors and supervisors, will be mentioned in the acknowledgements.
- f. Honorary Authorship (a named author who has not met sufficient Criteria) is not permitted.
- g. The <Project Leader> will undertake to resolve disputes over Authorship, and if necessary initiate mediation with a competent internal third party.

7. Copyright

7.1 Copyright of all Materials created by CIP Personnel during the course of their employment or service is vested in CIP. Unless otherwise specified, CIP will adopt the 'Creative Commons – Attribution – Non-Commercial - License' (**CC BY-NC**) or 'Creative Commons – Attribution License' (**CC BY**) for its copyrighted materials. Refer to funding agency policy to check whether it defines or not the type of license that is required.

7.2 Subject to the legal rights and legitimate interests of stakeholders and third parties, CIP's published Materials may be reproduced, in whole or in part, by any method for non-commercial purposes without the need to contact CIP for additional approval, provided the source is acknowledged through proper citation.

7.3 In case of commercial reproduction, where this is not permitted under the original CIP license (such as CC-BY-NC) the publication agreement must be submitted to the Compliance and Intellectual Assets Manager for approval and signature.

7.4 Wherever possible, all agreements and contracts between CIP and its research partners, including partnership, development and collaborative research agreements, will identify and define ownership, joint ownership and licensing of IP Rights to any prospective Intellectual Assets generated under the relevant agreement for the duration of the research project.

7.5 Under certain circumstances, limited exclusivity rights over CIP copyrighted Materials may be granted (such as peer-reviewed articles in non-open access journals). These circumstances will be evaluated on a case-by-case basis to ensure compliance with the CGIAR IA Principles and any additional CIP policies or donor requirements.

7.6 As the copyright owner, CIP has the sole authority to enter into any agreement which has the effect of assigning the copyright of any Material created by CIP Personnel during the course of their employment. Any such agreement should be submitted for approval and signature by the Director General or relevant CIP personnel under a delegation of authority].

7.7 If limited exclusivity rights are granted to a Publication, CIP will use reasonable efforts to obtain a license to post the peer-reviewed, ‘accepted’ version of the Material in Open Access repositories, subject to an embargo period of **no more than 6 months**.

8. Affiliation

8.1 Attribution to CIP as entity affiliation must be included in all published research outputs in the form: © International Potato Centre (CIP), Lima, Peru.

8.2 Where research used in CIP Materials is conducted wholly or in part at a different institution by a CIP employee in the course of past employment, author affiliation will include the former employer as well as CIP (e.g. If a CIP scientist conducted the relevant research while previously employed at CIMMYT, author affiliation of any resulting publication will include both CIP and CIMMYT).

8.3 CIP reserves the right to publish research conducted by departed employees. Author affiliation will include both CIP and the departed employee’s current employer.

8.4 Where research is the result of a CGIAR Research Program (CRP), author affiliation will include both CIP and the CRP (e.g. International Potato Center (CIP), CGIAR Research Program on Roots, Tubers and Bananas (RTB)).

9. Open Access

9.1 CIP is committed to making its research publications freely available online, immediately upon publication according to the FAIR principles of “findability, accessibility, interoperability, and re-usability.”

9.2 CIP authors may comply with the Open Access policy by publishing

- (a) in an fully Open Access journal, or
- (b) in a subscription based journal by choosing the Open Access option for the Article;

These journals must allow for the published article to be freely available for others to access upon date of publication without any restriction.

9.3 The library will deposit the published version of the article in the CIP Open Access repository immediately upon publication.

9.4 Open access fees: Many journals require an “Open Access” or “article processing charge” (APC). Upon payment of a fee, if the authors are asked to choose a license for further use of its copyrighted materials, they should choose a ‘Creative Commons – Attribution – Non-Commercial - License’ (**CC BY-NC**) or ‘Creative Commons – Attribution License’ (**CC BY**). Refer to funding agency policy to check whether it defines or not the type of license that is required.

10. Institutional Repository

10.1 CGspace – CIP facilitates the curation, dissemination and preservation of CIP Publications, maximizing their visibility and allowing access and use by others.
(<https://cgspace.cgiar.org/handle/10568/51671>)

10.2 All Publications should be added immediately to the CGspace - CIP.

10.3 Authors are responsible for ensuring that Publications are sent to the library for their deposit in the CGSpace-CIP. Authors must also provide links to the final publishers’ hosted version of the article, identify if any pending data sets will be connected to the article, and suggest appropriate keywords to ensure discoverability.

10.4 If an article cannot be deposited due to a publisher’s restrictions, a metadata record will be entered, including a link to the publisher’s website. This should be the last

resort and as it is considered an exception to this policy, it will require on a case by case basis, the approval from the Library.

10.5 After a manuscript is deposited into the repository and is openly accessible, the Library will be responsible for helping to increase the visibility of the article for instance by posting announcements to social media, enhancing metadata, linking to open data sets, and ensuring the article is harvested by other repositories.

11. Compliance

This policy is compliant with the CGIAR IA Principles and the requirements of major research funding bodies. It should be implemented in conjunction with the *CIP Framework Policy on Intellectual Assets*, the *CIP Copyright Policy* and the *CIP Open Data and Data Management Policy*.

12. Roles and accountabilities

12.1 Authors

- Plan for and budget for Open Access and Open Data during a project's planning phase through the Project Notification Memorandum (PNM) and include such costs in the project proposal submitted to donors.
- Disclose new inventions to management before a manuscript is submitted to a journal.
- Submit all publication/copyright transfer agreements to <the Director General or relevant CIP personnel under a delegation of authority>] for approval and signature.
- Select an appropriate license (preferably CC-BY or CC-BY-NC) to ensure the necessary legal rights are retained to allow for immediate deposit of articles into CGspace-CIP.
- Inform CPAD and Library of upcoming publications before date of publication in order to maximize potential promotion of published, openly-accessible articles.
- Ensure that publications are sent to the library for deposit in CGSpace – CIP.
- Provide links to the final publishers' hosted version of the article, identify if any pending data sets will be connected to the article, and suggest appropriate keywords to ensure discoverability.

12.2 Legal Department/Compliance and Intellectual Assets Manager

- Consult with researchers to determine the best mechanism for publishing information about new inventions.
- In a timely fashion, approve and sign publication/copyright transfer agreements.
- Track instances where publications are not able to comply with this policy.

12.3 Library

- Maintain and disseminate information for vetted journals' Open Access policies, fees, waivers, embargo periods, license options, and other relevant details.
- Deposit publications and metadata into CGspace – CIP.
- Announce and help increase the visibility of new publications when they are openly accessible.

13. Effective Date: October 19 2015

Publication Process

