



International Hydrological Programme

43rd session of the IHP Bureau
(Paris, 3 – 5 June 2009)

REPORT OF THE IHP PUBLICATION COMMITTEE

Item 6.3 of the provisional agenda

SUMMARY

This document reports on UNESCO's new Publication and Distribution Policy and describes the observations, deliberations and recommendations of the IHP Publications Committee meeting (Paris, 2 – 3 December 2008).

The Bureau may wish to endorse the Publication Committee's recommendations and the draft IHP Publication Strategy (document IHP/Bur-XLIII/Ref.1) to allow IHP the required autonomy as an intergovernmental programme according to Director-General's Blue Note DG/Note/08/44.

BACKGROUND

1. In June 2008, the Director-General issued a Blue Note (DG/Note/08/22, see Annex I) containing UNESCO's new Publication and Distribution Policy. The development of the new policy was built upon the recommendations made by the External Auditor's report on UNESCO's publication activities in 2007, as well as conclusions of an IOS 2005 report, the ongoing review by the Committee on Communication and Public Information (CCIP), and the work by the Working Group on Publications Policy and Guidelines. The key features of the new publications policy relevant to the delivery of the IHP programmes are listed in the following paragraphs.

- (i) UNESCO's new policy defines publications in terms of the nature of the content, the audience, and the quality control as below:
 - All substantive material published for an external audience, whether in print or electronic form, free or for sale, is considered as a publication, carries an ISBN or ISSN and is subject to standardized quality control procedures.
- (ii) Other categories of content are considered as:
 - Documents (material produced mainly for the purpose of the Organization's governance);
 - Communication materials (material for raising visibility, e.g., flyers, brochures, information kits, posters);
 - Content destined for inclusion on the web portal; and
 - Databases and software.
- (iii) Author contracts are required for all types of publications even if no payments to authors are involved. To facilitate publication in as many languages and forms as possible, and to minimize exposure of the Organization to rights-related litigation, publishing projects must respect the following principles:
 - Standard author contracts established for all authors;
 - Comprehensive written permission obtained for any non-UNESCO copyright material; and
 - BPI's clearance obtained for any negotiations with co-publishers.
- (iv) Very detailed process for issuing centralized ISBN and ISSN numbers for all types of publications. Attribution of ISBNs/ISSNs is subject to respect of the procedures given in the guidelines, which cover all stages of the publication cycle:
 - Planning and project definition;
 - Content preparation;
 - Production;
 - Cataloguing and archiving;
 - Promotion and visibility;
 - Distribution and stock management; and
 - Evaluating impact.
- (v) The Director-General's Blue Note 08/44 (DG/Note/08/44, see Annex II) allows autonomy to intergovernmental programmes with detailed publications plans such as the IHP in the application of the policy and to issue ISBN and ISSN.
- (vi) A centralized database listing all publications.

GENERAL OBSERVATIONS OF THE IHP PUBLICATIONS COMMITTEE

2. An extensive brief on the BPI publications and distribution policy and draft IHP Publication Strategy (document IHP/Bur-XLIII/Ref.1) to the IHP Publications Committee meeting (Paris, 2 – 3 December 2008) highlighted the following issues:

- (i) Author contracts are required for all types of publications even if no payments to authors are involved. In order to simplify and expedite the process the committee recommends a simple copyright transfer when no payments are involved.
- (ii) The Committee recommends the existing IHP non-exclusive copyright assignment form would be suitable with the addition of paragraph 7(ii) for the use of non-UNESCO copyright material.
- (iii) The issuing procedure by BPI for the ISBN and ISSN numbers is alright for peer reviewed publications such as books. However, for the IHP technical documents series, it is recommended that ISBNs or ISSNs may be issued on the basis of the publication plan well in advance of the actual publications given the time-bound nature of these events. The publication will be sent to BPI shortly following the event for monitoring purposes. (Note: Following DG/Note/08/44, it is understood that ability to issue ISBNs and ISSNs will be decentralized to intergovernmental programmes such as the IHP).
- (iv) The Committee welcomes BPI's proposal to develop a centralized database and it is desirable that such database be accessible to the IHP National Committees.

IHP PUBLICATION NEEDS

3. The Committee observed that there is a large variation in the layout, copyright declarations, use of logos and standard disclaimers. Therefore there is a need to follow standard guidelines and adopt the newly developed IHP corporate identity.

4. The Committee supports IHP's intention to provide standard proformas and updated guidelines with a view to a more consistent production of communications material and technical documents.

5. The Committee notes that there is a need for training IHP programme specialists as well as to create awareness among the IHP National Committees for the implementation of the publications policy and guidelines. The Committee recommends that IHP engage at the earliest opportunity with the proposed training programmes by BPI on a cost-sharing basis.

6. The Committee recommends that IHP use a template for paper submission and standard forms on the transfer of copyright of authors' contributions as part of the paper submission process while advertising events. This will help streamline production of standard technical documents.

7. There is a need for categorizing the 13 types of publications into four categories to help devise standard implementation flowcharts by updating existing checklists, e.g., Appendix 2 of the BPI publication guidelines:

- (i) Publications co-published with external professional publishers (e.g., International Hydrology Series with Cambridge University Press, Urban Water Series with Taylor and Francis – CRC, IAHS, WWDR);

- (ii) Publications internally published by or in association with UNESCO or through its IHP National Committees (e.g., Technical Documents in Hydrology, Studies and Reports in Hydrology, Humid Tropics series, Groundwater series, Water and Ethics series, PCCP series, Essays in Water History, IHP-non serial publications, FRIEND reports);
 - (iii) Documents and administrative reports from IHP sessions; and
 - (iv) Communication documents (web documents, brochures, flyers and leaflets).
8. All programme specialists should consider submitting selected category 2 documents to appropriate journals for book reviews for wider dissemination of IHP products.
9. The Committee recommends that programme specialists and IHP National Committees consider publication of programme results in special issues of (preferably ISI listed) journals to help recognition of IHP products and wider dissemination at an early stage of events planning.
10. There is an entering grey “text delivery service” for example similar to the one used by ICID to help ready access to grey literature. The Committee recommends that BPI consider such a system as part of its public information systems.

HOW TO HARMONIZE IHP PUBLICATIONS NEEDS WITH UNESCO’S OVERARCHING POLICY

11. BPI expressed satisfaction with the general setup of the draft IHP publications strategy and committed to work closely with the IHP Publications Officer in the finalization of this document to allow the delegation of responsibility to IHP for the validation of the publication processes.

IMPLEMENTATION ISSUES

12. The Committee notes and welcomes the identification of the restructuring and staff training needs in association with the new publications and distribution policy (DG/Note/08/22 – paragraph 17). In order to effectively implement this policy there is a need in IHP for a full time communications officer to work closely with the science publications officer and IHP programme specialists. The Committee therefore recommends that IHP take the necessary steps to secure a communications position as a matter of priority.
13. The Committee recommends incorporation and coordination of publication plans of the IHP programme specialists as part of formulating biennial activities.
14. There is a need to establish a baseline and regular monitoring by using a suite of web and non-web based matrices (including consultation with IHP National Committees) to evaluate IHP products and their impact. This activity needs to be undertaken on a biennial basis.
15. It is recommended that the IHP Publications Officer ensure that the recommendations of the Committee are embedded within existing IHP-VII plans.

SUMMARY OF RECOMMENDATIONS

16. In order to simplify and expedite the publication process use the simple copyright transfer forms when no payments are involved. The existing IHP non-exclusive copyright assignment form is suitable with the addition of paragraph 7(ii) for the use of non-UNESCO copyright material.
17. For the IHP technical documents series the ISBN or ISSN may be issued on the basis of the publication plan well in advance of the actual publications given the time bound nature of these events.
18. Follow standard guidelines and adopt the newly developed IHP corporate identity.
19. IHP to engage at the earliest opportunity with the proposed training programmes by BPI on a cost-sharing basis.
20. IHP programmes use a template for paper submission and standard forms on the transfer of copyright of author's contributions as part of the paper submission process while advertising events.
21. The programme specialists and IHP National Committees to consider publication of programme results in special issues of (preferably ISI listed) journals to help recognition of IHP products and wider dissemination at an early stage of events planning.
22. For BPI to consider using grey "text delivery service" system as part of its public information systems.
23. IHP to take necessary steps to secure a communications position as a matter of priority.
24. IHP Publications Officer to ensure that the recommendations of the committee are embedded within existing IHP-VII plans.

ANNEX I

**BLUE NOTE OF THE DIRECTOR-GENERAL
ON THE PUBLICATION AND DISTRIBUTION STRATEGY
(DG/Note/08/22)**



United Nations
Educational, Scientific and
Cultural Organization

Organisation
des Nations Unies
pour l'éducation,
la science et la culture

Organización
de las Naciones Unidas
para la Educación,
la Ciencia y la Cultura

Организация
Объединенных Наций по
вопросам образования,
науки и культуры

منظمة الأمم المتحدة
للترقية والعلم والثقافة

联合国教育、
科学及文化组织

The Director-General

DG/Note/08/22
25 June 2008

Deputy Director-General

Assistant Directors-General

Directors of Bureaux, Offices and Divisions at Headquarters

Directors and Heads of Established Offices and Institutes away from Headquarters

Subject: **Publication and Distribution Policy**

1. In the Blue Note that I issued on 26 June 2006 (DG/Note/06/31), I provided the general orientations for a revised Publication and Distribution Policy and Guidelines, after the thorough review conducted by the Committee on Communication and Public Information (CCPI) established in January 2006. The External Auditor's report on UNESCO's publication activities presented to the 179th session of the Executive Board (179 EX/31) and the related debate and Decision of the former, has provided further input to this reform process.

2. Building on the Directives on UNESCO's Publication Policy, approved by the General Conference at its 19th session (19C/Resolution 6.51), and taking into account that publication activities are important tools for conducting the functions of UNESCO and increasing its visibility, the following decisions aim at establishing:

- a clear publication and distribution policy, including quality control, promotion, monitoring and evaluation; and
- a decision-making and coordination mechanism to ensure its implementation in the most cost-efficient way.

Definition

3. The term 'publication' applies to various types of media, and not only to books. Therefore, all substantive material published for an external audience, whether in print or electronic form, free or for sale, will be considered as a publication, carry an ISBN or ISSN and be subject to quality control procedures. A revision of Chapters 8 (Documents) and 13 (Publications) of the Administrative Manual will be issued in September 2008, reflecting this broader definition of the term "publication".

4. Other categories of content will be considered as documents (material produced mainly for the purpose of the Organization's governance); communication materials (material for raising visibility e.g. flyers, brochures, information kits, posters); content destined for inclusion on the web portal; and databases and software. The revised version of the Administrative Manual will give more detailed information on the types of content which shall be categorized, as a whole, as 'UNESCO Information Materials'.

Publication and Distribution Plan

5. All publications are to be integrated into the programming and planning exercise for the following biennium. The resulting Publication and Distribution Plan will be part of the Work Plans, and a preliminary list of the publications planned for the biennium will be presented to the Executive Board in the spring session following each General Conference. This year, as the first year of implementation, the plan should be completed and made available on-line for Member States prior to the 180th session of the Executive Board. Planning must address objectives, relevance to programme priorities and target readership, and provide estimated production and printing costs, as well as cost efficiency, distribution strategies, expected impact and evaluation.

6. The Committee on Communication and Public Information (CCPI) will act as a publications board, whose main responsibility is to consolidate and review the biennial Publication and Distribution Plan, as well as monitor and evaluate the publication and distribution policy. All contributions to the Publication and Distribution Plan should be validated and presented by the ADGs, the Directors of Central Services, and the Director of UIS according to their respective responsibilities. Field Offices and Institutes should present their contributions to the Plan through the appropriate programmatic channels. The Publication and Distribution Plan will be submitted to the Director-General for his approval.

7. The Internal Oversight Service (IOS) will include in its audit plans, on a regular basis, a selection of individual publications from Headquarters and Field Offices.

Quality control

8. All publications shall meet established standards, including through peer review and workflow requirements. The assignment of UNESCO ISBN/ISSN numbers by the Bureau of Public Information will only be granted if these standards are respected.

9. A set of guidelines for publications are being prepared by the CCPI, which will be distributed throughout the Organization as of September 2008. They will be accompanied by tools, standard contracts and rosters of contractors, as well as clarification of respective responsibilities for Programme Specialists, Publications Officers or focal points, and Heads of Publishing Units.

10. ADGs and Directors of Central Services, Field Offices and Institutes have the overall responsibility for the implementation of these guidelines.

Monitoring and distribution

11. Dissemination of publications for external audiences should be given the utmost attention. Both traditional and modern distribution methods shall be exploited, including direct sales, UNESCO networks, the Internet, sales distributors, co-publishing and licensing agreements to favour different language versions and local editions.

12. BPI shall be responsible for the monitoring and distribution of publications for sale. ADGs and Directors of Central Services, Field Offices and Institutes shall be responsible for monitoring and distributing all other publications.

13. A Publications Management and Monitoring Tool shall be developed to monitor the planning, production and distribution of all publications, whether at Headquarters or in Field Offices and Institutes, each ADG or Director having the

responsibility for ensuring that this tool is properly used for the implementation of their respective publication plans. This tool will centralize information on stocks and distribution. Any eventual destruction of unsold or undistributed works after a certain period of time must be subject to prior assessment that takes into consideration all alternatives, particularly free and complete distribution. These assessments and decisions shall be taken in the first instance by the ADGs, Directors of Central services, Field Offices and Institutes responsible for the publications concerned, be approved by the Director of BPI, and registered in the Publications Management and Monitoring Tool. BPI shall be responsible for the development of this tool and its application across the Organization as well as for reporting to the Director-General on its effective use as a publications planning tool.

14. Furthermore, print runs shall be carefully tailored to target audiences. New printing technologies will be employed to reduce initial print runs to a minimum so that the cost of stock management is reduced. Print-on-demand will provide an additional means of reducing stocks and maintaining the availability of UNESCO publications, including their back catalogue.

15. Concerning the policy of statutory free distribution of publications, BPI will organize a survey, to be addressed to Member States, to take stock of their requirements.

UNESCO's intellectual rights

16. In order to facilitate publication in as many languages and forms as possible, as well as minimize the exposure of the Organization to rights-related litigation, all publishing projects should respect the following principles:

- **Author contracts:** No work shall be published by UNESCO unless author contracts (Form 408, applicable also to editors of works) have been concluded for the production of the work by all authors and editors who are not employees of UNESCO at the time the work is produced.
- **Use of non-UNESCO copyright material:** No work shall be published by UNESCO unless written permission has been obtained by the responsible Programme Specialist to use any non-UNESCO copyright material (whether texts or illustrations) in such work, granting to UNESCO, for the entire term of copyright, the non-exclusive right (1) to reproduce, translate, adapt, re-illustrate, publish, and communicate to the public, worldwide, in any language and for all future editions and revisions, in printed and electronic format, the whole or any part of such material; and (2) to authorise other publishers or co-publishers to exercise any or all of these rights, no matter whether the work to be published by UNESCO is to be distributed free of charge or commercialized by UNESCO or other publishers.
- **Negotiation and conclusion of publishing contracts:** No publishing agreement of a licensing or co-publishing nature shall be negotiated or concluded with any publishing partners for UNESCO-copyright material without the clearance of BPI. All such agreements are to be signed by the Director of BPI.
- **Authorizations:** All authorizations for the translation and/or reproduction of UNESCO publications by any publishing partner, either in whole or in part, and in any form whatsoever, shall be visaed by the Director of BPI.

Respect of these principles is the responsibility of supervisors and those working on publications in the sectors, central services, Institutes and field offices. BPI's role is to provide support from initial planning to final implementation and evaluation, by providing proper training, monitoring and advice.

Restructuring services and staff training

17. The success of planning, implementation and follow-up all depend on the existence of trained and dedicated staff responsible for ensuring appropriate quality control and proper distribution of publications. A Communication, Public Information and Publication Unit (CIP), including a Publications Officer, shall be established in each of the Programme Sectors at Headquarters, in Field Offices and Institutes, as well as in Central Services. Where there is a lower level of publishing activities, the following options may be adopted: in Central Services, Field Offices and Institutes, a focal point; in Sectors, a Publications Officer. Sectors and Bureaux may also opt for joint or shared services and facilities.

18. BPI will organize adequate training on a regular basis for all concerned staff, including Programme Specialists, as part of the internal training programme of the Organization.

19. These decisions take effect immediately.

Koïchiro Matsuura

ANNEX II

**BLUE NOTE OF THE DIRECTOR-GENERAL
ON THE OPERATIONALIZATION OF THE PUBLICATION AND DISTRIBUTION
STRATEGY FOLLOWING DG/NOTE/08/22
(DG/Note/08/44)**



United Nations
Educational, Scientific and
Cultural Organization

Organisation
des Nations Unies
pour l'éducation,
la science et la culture

Organización
de las Naciones Unidas
para la Educación,
la Ciencia y la Cultura

Организация
Объединенных Наций по
вопросам образования,
науки и культуры

منظمة الأمم المتحدة
للتربية والعلم والثقافة

联合国教育、
科学及文化组织

The Director-General

DG/Note/08/44
28 November 2008

Deputy Director-General

Assistant Directors-General

Directors of Bureaux, Offices and Divisions at Headquarters

Directors and Heads of Established Offices and Institutes away from Headquarters

Subject: **Operationalization of the Publication and Distribution Policy
following DG/Note/08/22**

One of the main goals of the Publication and Distribution Policy, set out in my Blue Note (DG/Note/08/22) of 25 June, is to build capacity in each of the programme sectors, the Institutes, and the larger Field Offices, thus allowing them to ensure a high level of quality control in line with the guidelines established by BPI.

It is understood that the units in the Organization that already have well functioning publication mechanisms (which in many cases includes Editorial Boards) and trained, dedicated staff responsible for ensuring appropriate quality control and proper distribution, will continue to enjoy a degree of functional autonomy. This is the case for Category I Institutes.

ISBN and author contract validation processes will be the responsibility of these Institutes as well as Field Offices and Intergovernmental Programmes that meet the requisite standard. This requires that such entities have documented their mechanisms for ensuring that the publications they produce meet required standards. The Governing Bodies of Institutes and Intergovernmental Programmes will continue to play their role in determining, within the parameters of their mandates, the policies for the content and distribution of publications produced by those Institutes. BPI is responsible for the negotiation and conclusion of authorizations and co-publishing and licensing agreements for "for sale" publications. All other granting of rights shall be reported regularly to BPI.

In order to accelerate the process of ISBN and author contract validation delegation where appropriate, I invite you to send to Director BPI a report on your quality control framework, including peer review processes for different types of publications, internal validation mechanisms and a mapping of dedicated publication staff. It is, however, important that all entities report to BPI regularly on planning and production so as to facilitate the global monitoring and implementation of UNESCO's Publication and Distribution Policy. A specific template for regular reporting will be provided to you by BPI, along with the Publishing Guidelines for books.

Koïchiro Matsuura

ANNEX III

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ANNEX IV

RELEVANT DOCUMENTS PRESENTED TO THE COMMITTEE

- DG/Note/08/22 – 25 June 2008, Publication and Distribution Policy
- DG/Note/08/44 – 28 November 2008, Operationalization of the Publication and Distribution Policy following DG/Note/08/22
- Publications and Distribution Policy Chapters 13 and 8 of the Administrative Manual
- Appendix-2 UNESCO Publications Guidelines – Appendix-2 checklist for publications
- IHP-VII corporate identity layouts and recent communication material
- PowerPoint presentation on the “Implementation of Publications and Distribution Policy”- BPI, 16 September 2008
- Sample agreements for the Cambridge University Press
- International Hydrology Series Cambridge University Press Guidelines to Authors, Paris, March 2005,
- List of CUP Editors
- Examples of previous IHP Publications
- Presentation on science web portal