

*REGULATIONS  
AND GUIDELINES  
FOR IIASA ASSOCIATES*

(WITH APPENDICES)

11 June 2002

International Institute for Applied Systems Analysis

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## CONTENTS

Preamble	1
I Duties, Obligations, and Privileges	2
II Classification of Posts and Staff	3
III Salaries and Allowances	3
IV Appointment, Promotion, and Transfer	4
V Social Security	4
VI Separation from Service	5
VII Disciplinary Measures	5
VIII Staff Relations	5
IX General Provisions	6
Appendices	6
• Copyright Policy	7
• Patent Policy	9
• Conflict of Interest Policy	11
• Scientific Publications Policy	14
• Software Policy	22

## Preamble

- (a) Staff Members of the International Institute for Applied Systems Analysis (IIASA) shall adopt the goals of the Institute, which include increasing international understanding and the use of applied systems analysis for the good of humankind. In pursuit of these goals, the staff should endeavor to maintain the highest standards of professional conduct and objective scientific inquiry.
- (b) The Staff Regulations embody the basic conditions of service and the rights, duties, and obligations of IIASA Staff Members and shall be approved by the Council of the Institute.
- (c) The Guidelines supplement and interpret the Staff Regulations as deemed necessary by the Director and constitute the only authorized interpretation of the Staff Regulations.
- (d) The Director shall make such amendments to the Guidelines as he\* considers necessary and shall report any such amendments at the next meeting of the Council.
- (e) The laws of the Republic of Austria shall bind the Institute and its Staff Members.

## Definitions

*Staff Members:* Persons holding appointments at the Institute who have assumed their duties. Staff Members may be either Employees or Associates.

- a. *Employees:* Persons holding a contract of employment, which may be for a fixed or indefinite term and for a full- or part-time job.
- b. *Associates:* Persons who have accepted an offer of association, that is, Guest Research Scholars, Guest Research Assistants, Scholarship Holders, Participants in the Young Scientists Summer Program (YSSP), Fee Contractors, and Honorary Scholars.

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\* The masculine pronoun is used here and throughout as a linguistic convenience.

*Note:* The Staff Regulations, which appear in roman type, were approved by the IIASA Council in June 2002. The Guidelines, which appear in italic type, were revised and approved by the Director of the Institute in June 2002.

*The Staff Regulations are applicable to all categories of Staff Members of the Institute.*

*The Guidelines (with Appendices) are applicable to Associates. Additional guidelines can be found in the IIASA Handbook.*

*Staff Members holding a contract of employment should consult the Staff Rules and Regulations.*

## **I Duties, Obligations, and Privileges**

1.1 Staff Members of the Institute shall carry out their official duties so as to promote the goals and best interests of the Institute.

*The Director may, in consistency with Austrian law, require a Staff Member to compensate the Institute for any financial loss suffered as a result of his negligence or violation of a Regulation, Rule, or administrative procedure.*

1.2 Staff Members are subject to the authority of the Director and to assignment by him, with due regard to their qualifications and experience, to any post in the Institute. They are responsible to him or to such persons as he may designate in the exercise of their functions.

1.2.1 The Director shall determine the hours of work in accordance with Austrian law.

*The normal working hours are 40 per week. Unless otherwise instructed by the Director or by their respective supervisors, Employees shall normally work from 8:30 to 17:30, Monday to Thursday, and from 8:30 to 15:00 on Friday, with half an hour for lunch each day. Exceptions may be made on an individual basis. The Institute observes Austrian public holidays. Unauthorized absence may lead to disciplinary action.*

1.3 In the performance of their duties, Staff Members of the Institute shall neither seek nor accept instructions from any national government, national or international agency, or any other authority external to the Institute without the prior approval of the Director.

1.4 During the period of appointment, a Staff Member shall not engage in any new regular outside occupation without prior approval from the Director.

He shall not hold a new office in any association whose aims or activities are closely related to those of the Institute without prior approval in writing from the Director. Any Staff Member who has occasion to deal in his official capacity with any matter involving a company, partnership, or other business concern in which he has an interest shall disclose the nature and measure of that interest to the Director (see relevant section in Appendices).

1.5 Publication of Staff Members' scientific results shall be in accordance with the IIASA Scientific Publications Policy (see relevant section in Appendices).

1.6 Staff Members shall not make statements to or appear in the public media (e.g., press, radio, television, film) with regard to IIASA activities without first informing the Director, except where these pertain to their own areas of responsibility. They should in no case make statements representing Institute policy without the Director's approval. Statements made by Staff Members do not necessarily represent the views or opinions of IIASA, its National Member Organizations, or other organizations supporting IIASA activities.

1.7 All rights, title, and interest, including copyright and patent rights, in any material produced by a Staff Member in connection with his work at IIASA shall be regulated by the Patent and Copyright Policies approved by the Council (see relevant section in Appendices).

## **II Classification of Posts and Staff**

2.1 The Director shall make provision for the classification of posts and staff according to the nature of the duties and responsibilities required.

## **III Salaries and Allowances**

3.1 The salaries applicable to the various posts on the staff shall be determined by the Director. For this purpose the Director shall draw up a scale of salaries, which shall be reported to the Council annually.

### *Payments*

*Payments and other emoluments shall be paid in euros by the end of each month.*

## *Deductions and Contributions*

*The appropriate amounts under the following headings are deducted from total monthly payments due to Employees:*

- a. Contributions to the medical insurance scheme, where applicable*
- b. Payments for indebtedness to the Institute*
- c. Contributions to the Staff Association Fund*

3.2 The Director shall have the power to make special allowances to members of the staff for distinguished achievements during performance of their duties.

## **IV Appointment, Promotion, and Transfer**

### *Terms of Association*

*A candidate for association shall receive an offer of association specifying the effective dates signed by the Director or his authorized representative. A copy of the Regulations and Guidelines for IIASA Associates (with Appendices) shall be annexed.*

*The offer of association lapses unless accepted in writing within two months of the date of issue.*

*Candidates shall supply such personal details as may be required by the Institute to complete administrative arrangements in connection with their association.*

## **V Social Security**

5.1 The Director shall make arrangements for staff to participate in schemes for the preservation of health and for the payment of reasonable compensation in the event of accident, including accidental death, attributable to events occurring during the performance of official duties on behalf of the Institute.

### *Institute Social Security Scheme*

*Medical Care: Associates must participate in the Institute's Medical Benefit Scheme, unless they can produce satisfactory documentary evidence of membership in a scheme offering equal benefits. The recognized dependents*

*of an Associate who is a participant in the Institute's Medical Benefit Scheme may also be admitted to the scheme in accordance with, and subject to, its rules.*

## **VI Separation from Service**

6.1 The Director may terminate the service of a Staff Member in accordance with the terms of the appointment, or at any time, if the needs of the Institute require either abolition of the post or reduction of the staff, or if the services of the individual concerned cease to be satisfactory.

6.2 A Staff Member may resign from the Institute upon giving the Director, or his authorized representative, the notice required under the terms of the individual's contract.

### *Expiration of Association*

*An initial fixed-term contract shall expire automatically on the expiration date specified in the offer of association. For further details consult the relevant section of the IIASA Handbook.*

## **VII Disciplinary Measures**

7.1 The Director shall establish advisory committees and panels with staff participation to assist him in carrying out fair personnel practices, especially in respect to termination of a Staff Member.

7.2 The Director may impose disciplinary measures on Staff Members whose conduct is unsatisfactory. The Director may summarily dismiss a member of the staff for serious reasons, in accordance with Austrian law.

## **VIII Staff Relations**

8.1 The staff of the Institute shall be free to form a representative body (at present called the Staff Association Committee), which shall be governed by statutes approved by a general meeting or ballot of all staff.

8.2 This representative body shall be informed and consulted by, and have the right to make representation to, the Director or his authorized representatives on all Institute matters that directly affect the economic, social, health, and cultural interests of the Staff Members or their conditions of affiliation.

## **IX General Provisions**

9.1 These Regulations may be supplemented or amended by the Council subject to the maintenance of the acquired rights of the Staff Members.

9.2 The Director shall make such amendments to the Guidelines for IIASA Associates as he considers necessary. He shall inform the Council of any such amendments at the next meeting of the Council.

### *Effective Date of Guidelines*

*These Guidelines for IIASA Associates are effective as of 11 June 2002.*

### *Amendments and Exceptions*

- a. The Guidelines for IIASA Associates may be amended by the Director in a manner consistent with the Staff Regulations and Austrian law.*
- b. The Director may make exceptions to the Guidelines for IIASA Associates in specific cases provided that such exceptions do not constitute a breach of the offer of association, prejudice the acquired rights of Associates, or infringe Austrian law.*

## **APPENDICES**

## **Copyright Policy**

*(Approved by the IIASA Council, November 1979.)*

In accordance with IIASA Charter Article XVII/e, the Institute must establish Copyrighting Procedures to be approved by the Council. The Procedures should serve the needs of the National Member Organizations, the Institute, and its staff. The Procedures must take into consideration the practices of international scientific journals and publishers. They must be designed to facilitate the widest possible dissemination of results obtained by IIASA and the opportunity for translation into different languages. Where commercial book publication is involved, the Institute must be able to claim ownership.

In light of these considerations the following Copyrighting Procedures will be established:

### **I IIASA Publications**

All finished IIASA work published by IIASA will be copyrighted by the Institute. Only the Director may authorize the assignment of copyright.

### **II Commercial Books**

Copyrighting commercial books containing work funded primarily by IIASA, and closely related to its research program, is done by the publisher in the name of the Institute. Authors or editors of such manuscripts may not negotiate with commercial publishers; only the Director or his designated representative may do so (see also the Scientific Publications Policy). The publisher is granted exclusive rights to the English-language version of the book, but the Institute retains the rights for translation and publication in other languages.

### **III Journal Articles**

Because of IIASA's international character, the Institute must ensure that its research can be widely disseminated and translated into different languages. In view of existent practices of scientific journals and to facilitate access to journal outlets for the staff, the Institute does not propose to copyright journal contributions. IIASA will, however, make every effort to ensure that reprints of journal articles receive wide distribution in National Member

Organizations and that, if desired, these articles are translated into other languages.

In order for IIASA and its NMOs to be informed of articles stemming from IIASA-supported research, authors are to inform the Director or his designated representative of manuscripts that have been accepted for publication in journals.

### **Patent Policy**

*(Approved by the IIASA Council, November 1979.)*

- I. The policy of the Institute with regard to patents and licenses shall be to ensure that
  - a) any invention made in the course of the research activities of the Institute is used to bring about the widest possible benefit;
  - b) the Institute shall gain financially from the commercial exploitation of patents resulting from the use of its resources;
  - c) favorable terms shall be applied in granting licenses to organizations and citizens of NMO countries.
- II. Inventions made by Research Scholars and Visiting Associates of the Institute shall be the property of the Institute, provided that such inventions were conceived or first supported by the Institute and that the Institute has claimed them. The Director shall notify the Council of any inventions claimed by him under this Regulation.
- III. Where the Institute elects not to claim an invention as defined in Regulation 2, it shall nevertheless be entitled to use such invention for purposes of noncommercial research and development without payment of royalty.
- IV. Research Scholars and Visiting Associates of the Institute shall immediately notify the Director of every invention they make other than those that clearly are not covered by the terms of Regulation 2. The Director shall, within 60 days of receiving such notice, inform inventors whether the invention is claimed or not.
- V. Inventors shall be entitled to fair and separate remuneration with respect to inventions claimed by the Institute, provided the Institute itself gains financially from the exploitation of such inventions.
- VI. Where an invention is claimed by the Institute, the Director shall file a patent application in Austria and in such other countries or groups of countries as he considers appropriate. He shall inform the Council of all such applications and of any patents granted.
- VII. The Director will grant nonexclusive or exclusive licenses in NMO countries in consultation with the NMO of that country. He may further grant licenses in non-NMO countries. The Director shall, in consultation with the Finance Committee, set an equitable royalty for organizations and



citizens of NMO countries, which shall be no greater than for those in non-NMO countries. No royalty shall be payable for the use of an invention in NMO countries for purposes of noncommercial research and development.

VIII. The Director may for appropriate consideration

- assign patents granted to the Institute;
- waive patents granted to the Institute in favor of the inventor.

He shall, however, ensure that the obligations of Regulation 7 are preserved in any agreement of assignment or waiver.

IX. The Director is empowered to conclude agreements with individual inventors regulating all obligations of the Institute and of the inventor with regard to patents and licenses, provided that such agreements conform to the Regulations enumerated above and take due account of the relevant laws of the inventor's home country.

X. The Director shall apply for a patent in a country in the manner provided by the patent regulations of that country.

### **Conflict of Interest Policy**

*(Approved by the IIASA Council, November 2001.)*

IIASA recognizes that while an IIASA Employee's primary and dominant professional commitment, in his role as Employee, is to the Institute, outside consulting and other forms of independent work could be accepted activities under certain circumstances. Involvement in outside professional activities, both public and private, often serves not only the participant but also the Institute and its fields of endeavor. This policy is to ensure that an individual's activities are in concert with the interests and mission of the Institute and that the Institute has sufficient information to arrive at a reasonable decision as to the appropriateness of proposed activities. This policy applies equally to all Institute personnel at all levels.

Conflict of interest arises for example, in situations where an individual might influence the Institute's activities in improper ways; where personal gains may be involved related to external connections; or where there exist issues about giving improper advantage to associates. Conflict of commitment arises in situations where an individual's outside activities, however valuable in themselves, interfere or appear to interfere with the obligations to the Institute.

It is important that the Institute avoid conflicts of interest that could influence the judgment of an individual in conducting the work of IIASA. Therefore, acceptance of remunerative outside employment requires prior approval of the Director or at his decision the Deputy Director (or Council Chair in the case of the Director), except when such employment is in activities unrelated to the work of IIASA and does not infringe on the overall time spent on IIASA activities.

Individuals are not to hold office in any organization whose aims or activities are closely related to those of the Institute unless approved by the Director or at his decision the Deputy Director (or Council Chair in the case of the Director).

Individuals having occasion to deal officially with matters involving a company, partnership, or other business concern in which they have an interest must disclose the nature and degree of that interest to the Director or at his decision the Deputy Director (or Council Chair in the case of the Director).

Individuals are required to report on their interests in or affiliations with other organizations immediately upon assuming a position with IIASA so that potential conflicts of interest may be addressed. It is the responsibility of individuals to update such information as changes occur. In situations requiring approval for continued participation with an outside affiliation, a Staff Member should submit a memo to the Director or at his decision the Deputy Director (or Council Chair in the case of the Director), stating such information as

- relationship of the organization to IIASA;
- amount of time devoted to the outside organization;
- possible direct or indirect cost to IIASA and provision for cost sharing, remuneration, and reimbursement;
- benefit to IIASA and the individual of the outside affiliation.

All information disclosed shall be treated as confidential.

Any intentional inaccuracies in the information provided by the individual, or failure to comply with this Regulation, will lead to disciplinary action within the framework of IIASA internal Regulations and in accordance with Austrian law. The individual can protest the disciplinary action to the Director. In situations where no agreement can be reached between the individual concerned and the Directorate, the case is to be brought to the attention of the Council Chair for final arbitration.

### **Employment of Members of the Same Family or Household**

The essential and basic employment policy of the Institute is to hire the best-qualified person available for a particular position. In no case will a job be created just to provide employment for a particular individual. Hiring of members of the same family or household is generally discouraged; however, the Director may approve the hiring of a member of an Institute Employees' immediate family or household, provided a written statement justifying the selection of the individual concerned is placed in the personnel records. No individuals shall be placed in the position of being involved in (including being present at) making evaluations, hiring decisions, or salary recommendations for members of their own immediate families or households. In the case of the Director's family or household, approval for hiring and other personnel actions must come from the IIASA Council Chair.

### **External Governmental Influence**

Individuals shall neither seek nor receive instructions from any government or other authority external to the Institute and shall refrain from any action which might reflect on their affiliation with the Institute.

## **Scientific Publications Policy**<sup>1</sup>

### **Introduction**

*This Scientific Publications Policy* sets forth the principles governing the various types of publications<sup>2</sup> used by the institute to communicate its research results to outside audiences. Its approach to scientific publishing and publication copyright aims to facilitate the widest possible dissemination of results obtained by IIASA, including the opportunity for translation into different languages, at the same time as serving the interests of the National Member Organizations, IIASA and its staff that invest their resources into the production of the research and models and tools. In setting these procedures, the policy takes into consideration the practices of international scientific journals and publishers.

### **Scientific Publications**

All publications by IIASA researchers are entered into [PURE](#), IIASA's institutional publication repository. Please note that this only applies to scientific publications related to work carried out at IIASA with the IIASA affiliation.

#### *Major Forms of Dissemination*

##### **1. Journal Articles**

Peer-reviewed Journal Articles are the favored form of scientific publication of IIASA results. Scholarly papers from scientists working at the institute should be submitted for review and publication by professional journals. Researchers are responsible themselves for managing the submission and publication process.

##### **2. Books**

Arrangements for publication of IIASA research results or IIASA-coordinated research results in the form of commercial books are coordinated by the researchers themselves, in consultation with co-authors and the relevant Program Directors. IIASA researchers intending to publish research carried out at IIASA in a commercial book, are requested to negotiate a copyright agreement in the following order of preference:

<sup>1</sup> Approved by the IIASA Executive Team in July 2020 following internal consultation with the Science Leadership Committee and the Operations Committee to update and merge the IIASA Scientific Publications Policy (1991) and the IIASA Copyright Policy (1979).

<sup>2</sup> Publications comprise all kinds of scientific output: articles, books, book chapters, working papers,

1. The agreement allows the book's content to be made freely available by applying a CC BY-NC license or similar to the work.
2. The agreement allows the book's contents to be made freely available within 12 months of its online publication date into the IIASA publications repository, PURE.
3. The agreement transfers the copyright to the publisher as a "work for hire" prepared within the scope of the researcher's employment at IIASA.

The Library can provide additional advice in negotiating the contract with the publisher and guidelines for book proposals.

##### **3. IIASA Working Papers**

Working Papers provide IIASA researchers and their collaborators with an informal means of communicating preliminary results and concepts for discussion which have not been previously disseminated. They are made publicly available via the IIASA publications repository PURE. Working papers require the approval of the appropriate Program Director who will be named on the cover page of the report; if a Program Director is an author, the Working Paper will be approved by the Deputy Director General for Science. The report should use the [IIASA template](#) which includes the IIASA logo and relevant disclaimer information. A [workflow](#) in the IIASA Management Information System (MIS) supports this.

##### **4. IIASA Reports and IIASA Reports to Funders**

IIASA Reports disseminate information on IIASA research, IIASA meetings, proceedings of IIASA conferences, reviews of previous IIASA research or collections of papers on a theme within the institute's strategy.

IIASA Reports to Funders disseminate research related to external contracts and are for the principal benefit of the funder, although they will be published via the IIASA publications repository if their funder agreements permit such distribution.

Before publication, all reports must be reviewed and approved by the relevant Program Director, and reports to funders are also reviewed and approved by F&G to ensure compliance with the contract. A [workflow](#) in the IIASA Management Information System (MIS) supports this.

*interim) reports, posters, datasets, software, code, and any other type of scientific product generated in the research process.*

IIASA reports must also prominently include the IIASA logo and relevant disclaimer information. If not using an [IIASA template](#), the IIASA authors must consult with the communications team prior to the report being finalized.

## 5. IIASA Policy Briefs

[IIASA Policy Briefs](#) are prepared specifically for use by policymakers, and other non-scientific audiences. They provide the essence of research findings, conclusions, and recommendations in a clear, concise form using nontechnical language. Policy Briefs are prepared jointly by the relevant researchers and communications team; and before publication must be reviewed and approved by the relevant Program Director and [Communications Manager](#).

## 6. Other publications

IIASA researchers may also publish in other forms of scientific publications including book chapters, conference and workshop proceedings, monographs, and theses.

### *Environmentally friendly Dissemination*

In the dissemination of scientific publications, IIASA staff and researchers are requested to minimize printing of hard copies and maximize digital dissemination.

## Principles

### *Attribution*

Any material produced by researchers while working with or at IIASA must be attributed to the institute by the appropriate mention of IIASA as the researcher's affiliation. The affiliation should be stated as: International Institute for Applied Systems Analysis (IIASA). In the affiliations section IIASA should be indicated with the name of the program, and in the acknowledgement, it should state that the research was partially or wholly conducted during the time at IIASA. This also applies to publications by participants of the YSSP or postdoc program, guest researchers, or visitors. In case IIASA is no longer the author's affiliation but the publication is based on work carried out at the institute, then IIASA should be

indicated as secondary affiliation. We encourage authors to discuss the appropriate acknowledgement with their supervisor or host at IIASA.

### *Authorship in Scientific Publications*

Any scientist who has made a substantial scientific contribution to the design, implementation, and publication of a scientific project is entitled to co-authorship in the resultant publication. The nomination as author of a scientific work is conferred for the active intellectual and practical or procedural cooperation in a research project.

A mere technical cooperation in the sense of data collection, the procurement of financial means, or the general leadership of the research unit carrying out the research project do not justify coauthorship. The same applies to proofreading of a manuscript without substantially contributing to its contents.<sup>34</sup>

If individual scientists are not named as co-authors in a publication although they have made a substantial scientific contribution, they shall approach the first or corresponding author, and if this is not successful, the leader of the respective research unit of the institute.

### *Open Access*

As a signatory of the Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities, IIASA is committed to advancing sustained open access to scholarly publications. To this end, the IIASA [open access policy](#), introduced on 1 January 2016, requires and supports all IIASA researchers to deposit a complete version of each peer-reviewed research article that they author into the IIASA publications repository, PURE, in order to make it freely accessible within 12 months of its online publication date. To ensure good data management and open access to IIASA research data products, IIASA researchers are also required to transfer research data to the Library for long-term preservation and open access sharing through the IIASA Data Repository (DARE).

<sup>3</sup> *The consent to coauthorship entails the responsibility of the coauthor to ensure that the publication meets scientific requirements. This applies primarily to the area to which the coauthor has contributed. The coauthor shall be responsible for the correctness of his or her own contribution and for ensuring that this contribution has been included in the publication in a scientifically justifiable way. Each coauthor is required to agree to the contents of a manuscript's final and published version.*

If the lead author/corresponding author is affiliated with IIASA, the open access article processing charges should be covered by available external funding or by applying for the internal OA fund in case external funding is not available. In case the lead/corresponding author is from a different institution/organization costs for open access should be covered by them. Alternatively, splitting costs between several organizations is also a negotiable option. Authors should also take care not to be deceived by predatory publishers of poor quality or fraudulent journals that charge publication fees to authors without providing the editorial, publishing, and peer-review services that legitimate academic journals provide, whether open access or not ([List of Predatory Journals](#)).

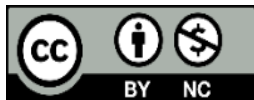
#### **Other Payments for Publishing**

In addition to article processing charges that researchers pay to make their journal articles openly accessible, some reputable journals offer to fast-track publishing of journal articles in exchange for a fee. IIASA researchers should carefully consider all factors related to such payments (reputation of the journal, cost, benefits of publishing early, reader audience, influence/impact of the journal, funder requirements), examine alternative, equivalent publishing venues (existing agreements with publishers, preprint servers) and only proceed if the payment is in the best interest of disseminating IIASA's research and can be therefore fully justified. The same applies when submitting to or selecting journals which do not offer any other alternative than the payment of a fee for publishing an article. Approvals (even if tentative) must be taken before submission from the relevant supervisor. Any publishing costs must be covered by the relevant research program cost center(s).

#### **Disclaimers and Copyright**

Books, reports or working papers published by IIASA should include the below disclaimer and publication copyright information, which is already included in the IIASA templates.

*IIASA Working Papers/Reports/Policy Briefs report on research carried out at IIASA and have received only limited review. Views or opinions expressed herein do not necessarily represent those of the institute, its National Member Organizations, or other organizations supporting the work.*



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#### **Records**

Programs must keep a regularly updated record of all publications published in journals, books, and other external outlets. In addition, upon acceptance the [repository manager](#) has to be informed in order to include the publications in IIASA's publications repository PURE. The digital copies of all archived IIASA publications are stored in the IIASA publications repository PURE. Hard copies of books, working papers, and reports are kept in the Library.

#### **Funding Acknowledgment**

For IIASA Working Papers/Reports/Policy Briefs funded by the IIASA core budget we ask the authors to include the full acknowledgement that can be found on the [IIASA intranet](#). The acknowledgement is already included on the [IIASA templates](#).

For research funded by an external third party we ask the authors to include the full name of the funder, the title of the project and the grant number, e.g.

*"The authors gratefully acknowledge funding from the European Research Council for the research project 'Forecasting Societies Adaptive Capacities to Climate Change' (FUTURESOC, FP7 230195)."*

For research funded by both IIASA core budget and an external third party we ask the authors to include both acknowledgements (whenever possible according to the rules and regulations of the publishing venue). For publications that have limited space for funding acknowledgement, it is acceptable to use the following shortened version to acknowledge IIASA core funding:

*The authors gratefully acknowledge funding from IIASA and the National Member Organizations that support the institute.*

If the publication is of special interest to a specific NMO/country (e.g. Brazil), please include the following statement:

*"The authors gratefully acknowledge funding from IIASA along with the Brazilian Federal Agency for Support and Evaluation of Graduate Education (CAPES), and the other National Member Organizations that support IIASA."*

### ***Language***

IIASA Working Papers/Reports/Policy Briefs are always published in English. Staff members are requested to inform the [repository manager](#) of publications in other languages in order to be included in the [IIASA publications repository PURE](#). When informing the repository manager please include a valid link to the relevant publication where possible. Translation of IIASA publications into languages other than English are also possible if it is expected to significantly increase the uptake and impact of the research.

### ***Royalties and Other Payments***

Payments for materials produced as a result of IIASA work (royalties, sales income, author's fees, etc.) are the property of the institute and must be reported to the Library Manager. Any deviation to such arrangements must be discussed and agreed before publication with the Library Manager, who will consult internally within IIASA as appropriate.

### ***Copyright and Sponsored Research***

Research projects undertaken at IIASA that is funded by third-party funders must have no restrictions on the full and complete publication by IIASA of results of such projects (IIASA Charter Article XIII, Section 3), unless otherwise authorized by the DG/DDGS.

### ***Permissions to Use IIASA Copyrighted Material***

Re-use of IIASA copyrighted material is automatically permitted for educational purposes and does not require written permission. Re-use of IIASA copyrighted material for commercial purposes (e.g. in a book that is commercially sold) requires written permission from IIASA. Copyrighted material can include figures, illustrations, charts, tables, photographs, and text excerpts. Requests for re-use or reproduction should be addressed to [permissions@iiasa.ac.at](mailto:permissions@iiasa.ac.at)

Re-use of any copyrighted material must be properly acknowledged. Suitable acknowledgement to the source must be made, either as a footnote or in a reference list at the end of the publication, as follows:

“Reprinted from Publication title, Vol /edition number, Author(s), Title of article / title of chapter, Pages No., Copyright (Year), with permission from IIASA.

### ***Infringement of Copyright***

Please notify the Library Manager of any infringement of copyright, and we will investigate. If copyright infringement is found, the Library Manager will request the offender to address the infringement or risk IIASA taking legal action.

### ***Scientific Misconduct***

IIASA's policies related to scientific misconduct in scientific publications can be found in the IIASA Policies on Good Scientific Practice and on Conflicts of Interest and Commitment available at:

[http://webarchive.iiasa.ac.at/Admin/PE/docs/handbuch/12a\\_good\\_scientific.html?sb=15](http://webarchive.iiasa.ac.at/Admin/PE/docs/handbuch/12a_good_scientific.html?sb=15)

## **Software Policy**

*(Approved by the IIASA Council, November 1991.)*

### **I. General Policy Statement**

The prompt and open dissemination of the results of IIASA's research and the free exchange of information among researchers are essential to fulfilling the Institute's objective of providing timely applied research that meets the quality standards of the relevant scientific and policy-making communities. In pursuit of the goals of dissemination, quality, and the efficient use of resources, IIASA recognizes that the market is sometimes the best mechanism for disseminating, applying, and improving software. For the market to be effective, intellectual property rights must be defined and protected. This document defines IIASA's policy to that end. However, research progress remains IIASA's primary goal. The dissemination of information must not be delayed beyond the minimal period necessary to define and protect the rights of the parties in those cases where software has potential commercial value.

### **II. Intellectual Property Rights**

For IIASA software, intellectual property is most likely to take the form of *copyrights*. Nonetheless, this policy covers *all* forms of intellectual property relevant to software developed with significant input by IIASA.

The owner of a copyright has the exclusive right to do and to authorize others to do the following:

- To reproduce the copyrighted work
- To prepare derivative works based upon the copyrighted work
- To distribute copies of the copyrighted work to the public by sale, rental, lease, lending, or other transfer or ownership

Copyright protection extends only to the tangible form of a work. It does not extend to ideas, procedures, methods, systems, processes, concepts, principles, discoveries, or devices.

Intellectual property rights for software developed in connection with IIASA fall into two categories: *author owned*, and *IIASA or third-party owned*.

### *2.1 Author Owned*

Authors will own software that is

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