

GUIDANCE ON EXTERNAL ACADEMIC PUBLISHING

***For external academic publications by individual UNICEF staff members,
consultants, institutional contractors and partners***

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Manager: Sarah Cook, Director

Introduction

1. This note provides guidance on issues to consider when UNICEF staff members, consultants, contractors and partners engage in external academic publishing, whether in print or digital form. Academic publishing typically takes the form of research-based articles for academic journals and other contributions to academic literature, such as books or book chapters.
2. On the issue of academic publishing UNICEF's position has been clarified in the [Policy on Research](#) (CF/EXD/2016-003) which states, section 8:

“UNICEF encourages its staff and research partners to disseminate research findings through academic and professional publications, or other appropriate dissemination mechanisms. Academic publication contributes to global knowledge formation, provides a stamp of quality and credibility, and may provide additional incentives for UNICEF staff and partners to engage in high-quality research.”

3. UNICEF is also committed to making information about its programmes and operations available to the public in accordance with its Information Disclosure Policy (CF/EXD/2010-003). UNICEF considers that public access to information is a key component of effective participation of all stakeholders in the achievement of its mandate.
4. UNICEF welcomes and encourages high quality academic publishing. However, some restrictions and considerations, depending on the context, may need to be taken into account. These are further detailed in this guidance note.

Purpose

5. The purpose of this Guidance is to:
 - clarify the internal approval and vetting requirements for all external academic publications by staff members and consultants, institutional contractors and partners;
 - set out the considerations that should be taken into account in providing such approval;
 - serve as a reminder of UNICEF's duties and obligations in respect of third party rights, including confidential information and intellectual and other proprietary rights;
 - provide orientation on issues of copyright ownership;
 - provide additional sources of useful information and reference.

Scope

6. This Guidance applies to external academic publishing, in print or electronically, of work authored by UNICEF staff, consultants¹, contractors and implementing partners. Academic publishing typically takes the form of research based articles for academic journals and other contributions to academic literature, such as books or book chapters. UNICEF's definition of research² provides a reference point for what is to be considered as academic content.
7. This Guidance does not apply to:
 - Official UNICEF publications that are issued directly by UNICEF or through UNICEF platforms. Issues related to UNICEF publications are covered by the *UNICEF Publications Policy* (2014)³.
 - Use and sharing of UNICEF data generated outside of research activities. Disclosure of such data is governed by the UNICEF Information Disclosure Policy (2010). (At the date of this Guidance, a UNICEF Strategy on Data is currently under development and an official Data Policy is under consideration.)
 - External digital publishing and web-based content in the form of websites, blogs, discussion fora, social media etc. that does not involve academic publishing (as defined above). Guidance on publishing in such fora can be found in the *Guidelines for Digital Content and Communication at UNICEF (2015)*⁴. See also *UNICEF's Social Media Guidance* (2013) and *Blogging Guidance* (2014) available from <https://unicef.sharepoint.com/teams/DOC/Digitallabs/SitePages/homepage.aspx>
 - Sharing of research findings through internal communication channels such as Yammer, Teamsites and other Communities of Practice. For guidance on good practice here, seek advice from the Knowledge Exchange Team in the Division of Data, Research and Policy, New York.

Overview of the issues

8. A first question to ask when considerations are made on external academic publishing is who is engaging in it and in what capacity: Is it a consultant or a staff member? If a staff member, is it part of his/her official work duties or outside official work duties? If a consultant, is publishing already authorized by the contract or does it require subsequent approval? Depending on which category, different issues arise in relation to rules and procedures, approval processes and UNICEF attribution and disclaimers. The table below provides a brief overview which is further detailed in the following sections:

¹ The term "consultant", as used in this Guidance, covers individuals and institutions who are in a contractual arrangement with UNICEF, without being a staff member. (Individual consultants/contractors, institutional consultants).

² As per UNICEF's *Policy on Research*, research is defined as "the systematic process of the collection and analysis of data and information, in order to generate new knowledge, to answer a specific question or to test a hypothesis. Its methodology must be sufficiently documented to permit assessment and replication. Research at UNICEF should examine relevant issues and yield evidence for better programme and policy advice".

³ Searchable on ICON through the Document Library. The current version of the policy was updated on 4th December 2014.

⁴ Searchable on ICON through the Document Library. The current version of the guidance was updated on 2nd February 2015.

	Who engages in academic publishing?		
	Staff member, outside of official work duties	Staff member, as part of official work duties	Consultant/contractor/academic partner for work related to contract/agreement with UNICEF
Which UNICEF regulations, procedures or policies are applicable?	UNICEF Outside Activity Policy	Staff Regulations Chapter XII/112.7: All rights in work by staff member in official duties shall be vested in the United Nations	General Conditions of Contracts for Services: UNICEF entitled to all property rights with regard to material created by the Contractor.
		UNICEF Policy on Research UNICEF Quality Assurance and Ethics procedures	
	<p>If using UNICEF research data:</p> <ul style="list-style-type: none"> -UNICEF Copyright and Intellectual property rights -UNICEF Information Disclosure Policy 		
Whose approval is needed?	Director DHR approves on outside activity compliance (international staff), in consultation with the Principal Advisor Ethics, as deemed necessary based on recommendation by head of office/division; for locally recruited staff, approval is given by the Head of Office and Division director in consultation with the Principal Advisor Ethics, as deemed necessary.	Approval needed by Head of Office/Division. Exceptions are if publishing is already specified as a deliverable or permitted under the contract terms, see section 12 below.	
Attribution and disclaimer?	See Policy on Outside Activities (section 3.3 and 3.4). The staff member may be asked to delete any references to an affiliation with UNICEF or to insert a disclaimer. Staff members have to ensure that the confidentiality of UNICEF information is not compromised	Individual(s) appear as author with UNICEF affiliation and attribution stated. A disclaimer is normally used.	
Who owns the copyright?	Staff member/consultant owns rights in the publication. UNICEF retains all rights in the underlying data/research.	UNICEF owns all rights in the publication and in the underlying data/research (unless otherwise specified in contract/agreement).	
Other considerations?			What is stipulated on publishing and intellectual property in the contractual arrangement with the consultant/institution (i.e. any change made to the general conditions of contracts)?

Approval Process - when and by whom

Staff Members and Individual Consultants

9. External academic publication by a UNICEF staff member or individual consultant, as part of the staff member's official work duties or the consultant's work duties under a contract with UNICEF, is subject to approval of the director of the relevant office/division. All UNICEF-generated research proposed for publication is also subject to quality assurance review in accordance with the [UNICEF Procedure for Quality Assurance in Research](#).
10. External academic publication by a staff member which is not as part of his/her official work duties is governed by UNICEF's Policy on Outside Activity (CF/EXD/2012-009), which specifies the applicable approval process:
 - for international staff, the Policy requires approval of the Director, DHR, based on recommendation by the Head of Office/Division;
 - for locally recruited staff, the Policy requires approval by the Head of Office/Division.
11. External academic publication by a UNICEF individual consultant using information accessed as part of his/her work for UNICEF is subject to approval of the Head of the relevant office/division. Note that this approval is required even if the consultant is no longer under contract to UNICEF if the information accessed by the consultant is not public and was accessed while the consultant was under contract to UNICEF.

Institutional Contractors and their personnel

12. If external academic publication by a UNICEF institutional contractor is specified as one of the deliverables under the contract, then the review and approval process stipulated in the contract will apply. This should normally include a quality assurance review in accordance with the UNICEF Procedure for Quality Assurance in Research. However, if the proposed external academic publication by a UNICEF institutional contractor (including any personnel of the contractor) uses information accessed or generated as part of the work for UNICEF under the contract, but is not one of the deliverables under the contract, the relevant process may differ depending on the terms of the particular contract.
 - In most cases, the contract stipulates that UNICEF owns all the intellectual property in the research collected or generated as part of the contract and does not give the contractor any right to use the research materials. In such cases, the Contractor can only issue an external academic publication with the prior written consent of UNICEF. (This consent would be from the Head of the relevant office/division, based on the advice of the relevant programme manager). UNICEF can veto the publication if it determines that it is appropriate to do so.
 - In some cases, UNICEF may have given the contractor the right to use the research generated as part of the contract for non-commercial academic or educational purposes. In such cases, UNICEF generally requires that the contractor share the proposed draft with UNICEF at least thirty days before sharing it with the third party publisher to allow UNICEF (a) to ensure that no confidential information is included and (b) to provide comments. (This review would be done by the relevant programme manager, who should also notify the Head of the relevant office/division of the imminent publication). The contractor must delete confidential information but is not required to address UNICEF's comments. UNICEF cannot veto the publication.

Implementing Partners

13. The approval process for external academic publication by a UNICEF implementing partner involving research generated through the UNICEF-supported programme is governed by the arrangements set out in the Programme Cooperation Agreement (PCA) signed between UNICEF and the implementing partner. In general, any proposal for an external academic publication would need to be jointly agreed by UNICEF and the implementing partner and, depending on the context (e.g. use of government data), may need the consent of government counterparts.

Considerations for Approval

14. In reviewing a request for approval for an external academic publication by a staff member or consultant (as per paragraphs 9-12), the Head of Office should have regard to the following considerations:
 - (a) The data protection and attribution considerations outlined in paragraphs 15-19 below.
 - (b) A request for use of research data may include a request or an expectation that the staff member or consultant has the exclusive right to use the data (either in whole or limited to the particular area of research) for the period until his/her work has been published. In general, this will not be in the interests of UNICEF and should be avoided.
 - (c) In the case of a proposed publication by a staff member as part of official duties or by a consultant under a UNICEF contract, the Head of Office will verify that the work has been reviewed and cleared in accordance with the UNICEF Procedure for Quality Assurance in Research. Wherever possible, and depending upon the journal/book house style, it is good practice to disclose any actual or potential conflict of interest by the researchers and to outline the type of review (e.g. internal review, external peer review, etc.) that was undertaken. The relevant Research Manager, Advisory Board or Research Steering Committee should also check all facts and citations for accuracy prior to publication. (This paragraph 14(c) does not apply to publishing by a staff member outside of official work duties or to publication by a consultant outside the UNICEF contract.)
 - (d) In the case of a proposed publication by a staff member outside of official duties, the Policy on Outside Activity states that *“UNICEF recognizes staff members’ engagement in outside activities as enhancement of their professional development, skills and competencies as long as they do not inhibit the staff member’s performance and create conflicting loyalties or conflict of interest.”*
 - (e) A determination as to whether additional disclaimers to those outlined in paragraphs 20-23 below are required for a specific piece of work should be made by the Head of Office.
 - (f) Consideration of any copyright issues related to the publication agreements required to be signed as outlined in paragraphs 24-28 below.

Data Protection; Third Party Rights

15. Confidential information, as defined in [UNICEF’s Information Disclosure Policy](#), is not subject to disclosure and cannot be included in any publication. If there is any doubt as to whether data or other information is “confidential” within the meaning of the Information Disclosure Policy, the relevant Head of Office should seek guidance from the UNICEF Legal Counsel in the Office of the Executive Director, New York Headquarters.

16. Personal data (i.e. data relating to an individual who is or can be identified either from the research data or from the data in conjunction with other information) held by UNICEF cannot be used or disclosed without the express consent of the subject of the personal data. Disclosure of personal data should always be avoided.
17. Use and presentation of research data (including any images or recordings) should be in compliance with UNICEF's regulations, rules, policies and guidelines, including the [UNICEF Procedure for Ethical Standards in Research, Evaluation, Data Collection and Analysis](#). This Procedure outlines explicit requirements for data privacy and confidentiality, as well as ethical evidence generation more broadly.
18. Research data derived from UNICEF programmes and in UNICEF's possession may be subject to obligations to country partners, implementing partners or other third parties. The Head of Office will verify whether the data is subject to any such obligations and may impose conditions on the use of the relevant data to ensure compliance with such obligations. Appropriate attribution of the source of the data may be necessary.
19. Authors must ensure that their work does not infringe on the copyright or other proprietary rights of any third party. When necessary, written permission for the use of third-party content must be obtained before the work is published. The permission should allow the material to be used in all forms and media, including, without limitation, in publicly accessible electronic repositories.

Acknowledgements, Disclaimers and Use of the UNICEF Logo

20. In the interests of transparency, the following items should ideally be prominently disclosed in all external academic publications: (a) the author's role and relationship with UNICEF; (b) any actual or potential conflict of interest by the researchers; (c) all funding sources for the research.
21. Appropriate attribution of the source of the research data should be included.
22. In external academic publications by third parties (i.e. work not published as part of official duties), the UNICEF logo is not normally used. If the author or publisher wishes to use the UNICEF logo, approval should be sought from the Head of Office. This is generally unlikely to be granted unless the external publication meets all the required standards of a publication developed as part of official duties for UNICEF.
23. In the case of publication by staff members as an outside activity or by consultants outside the contract with UNICEF, the staff member or consultant may be required to delete any references to affiliation with UNICEF or to add disclaimers. A disclaimer may read: "*The information of this document expresses my personal views and opinions and does not necessarily represent UNICEF's position*", see the Policy on Outside Activities (CF/EXD/2012-009) for further guidance (similar disclaimers may be used for publications by consultants).

Copyright and Intellectual Property Rights

24. The copyright and other intellectual property rights in all data generated and work produced by staff members as part of their official work duties belongs to UNICEF in accordance with their terms of

service⁵. This is also true of data generated and work produced by individual consultants⁶ and institutional contractors⁷ as part of their service under a contract with UNICEF.

25. The copyright and other intellectual property rights in all work created by a staff member outside his/her official duties, or by a consultant outside the contract with UNICEF belongs to that staff member or consultant, but the ownership of the underlying data and research belong to UNICEF.

26. The ownership of copyright and other intellectual property rights in all data generated and work produced under partnership arrangements is governed by whatever the parties have agreed in the PCA or partnership agreement.

27. Academic journals have different practices in terms of the publication agreements they require submitters to sign, which may give rise to different copyright issues:

(a) The journal/book publisher allows the copyright to remain with the submitter, as is the case with many open access journals: There are no copyright issue in this case. For this reason, the recommendation is that whenever possible, authors should select journals that allow UNICEF to retain the copyright.

(b) The journal asks for copyright to the article, but the research has already been, or is simultaneously, made publicly available in a different format in a UNICEF publication (could be a working paper or a report): Such a publication agreement - where no limit is put on UNICEF's copyright, use or sharing of the original research and the UNICEF publications the article is based on – may be acceptable to UNICEF.

(c) The journal will not publish the article without sole copyright and limits UNICEF's copyright, use or sharing of the research: This may, for instance, be the case with some top-ranking and high impact journals which will not accept prior publication of research results in any form and may also have other conditions that restricts UNICEF's use/sharing. Prior to approval, these cases require careful considerations by the head of office/division, where the benefits of disseminating via such journals have to be weighed against its disadvantages in terms of free access. In cases which are difficult to assess, consultations with UNICEF Legal Office is recommended. It should be noted that this will only ever be acceptable in the context of a publication as part of official duties or work. The assignment of UNICEF rights in underlying data and research will never be acceptable in the context of an external academic publication by a staff member, consultant, contractor or partner.

⁵ See Staff Regulations Chapter XII, Rule 112.7 "All rights, including title, copyright and patent rights, in any work performed by a staff member as part of his or her official duties, shall be vested in the United Nations"; Paragraph 3 (Title Rights) of the General Conditions of Contracts for the Services of Consultants / Individual Contractors "UNICEF shall be entitled to all property rights, including but not limited to patents, copyrights and trademarks, with regard to material created by the Contractor which bears a direct relation to, or is made in order to perform, this contract. At the request of UNICEF, the Contractor shall assist in securing such property rights and transferring them to UNICEF in compliance with the requirements of the law governing such rights".

⁶ See the Administrative Instruction on Consultants in the DHR Electronic Handbook.

<https://intranet.unicef.org/Corp/EHandbook.nsf/a635567617817e8d8525737f004b780a/c199c1d2e5bc58a3852573fe005f83bc?OpenDocument>

⁷ The UNICEF Supply Manual is available on the UNICEF intranet under 'UNICEF Manuals: Policies and Procedures' <https://intranet.unicef.org/policies/dhr.nsf/Manual%20/Supply%20Manual?OpenView&Start=1&Count=999&Collapse=15#15>

28. Staff members, consultants, contractors and partners never have the authority to sign publisher assignment forms or agreements for the transfer or limitation of UNICEF copyright. Such agreement must be authorized at the level of head of office/division.

Open Access

29. As stated in the *UNICEF Policy on Research*, for ethical reasons as well as for the reasons above, “wherever possible and appropriate, UNICEF-supported research should be published in open access journals”⁸. Open access journals commonly require a fee, usually called the article processing fee (or APC). Fees range from around \$1200 to \$3000 and may be on top of any standard article processing fees charged by the journal. This cost should be budgeted into a research communication plan from the outset.

- (a) In instances when an open access fee is paid, UNICEF requires that the final published version be made freely available without restrictions on use other than the requirement for attribution. A freely accessible, easy-reference directory of high quality, open access, peer-reviewed journals is available at <https://doaj.org/>.
- (b) When not publishing via open access, individuals may wish to consider publishing in a journal for which UNICEF already has a direct subscription or which can be viewed via an institutional subscription to a research database. See here for further information https://teams.unicef.org/sites/NYHQ01/DPS/SitePages/Research_Database_Subscriptions.aspx. Further information on Open Access is also available in Annex 1.
- (c) Whichever publishing route is chosen, all published research outputs must also be saved in UNICEF’s [Evaluation and Research Database \(ERDB\)](#) and in other formats that increase knowledge sharing, learning and collaboration across the organization, preferably without delay. If an external academic publisher requires an embargo period UNICEF will respect the requirement, but every effort should be made to limit the duration of the embargo (ideally, no more than 18 months). Unless otherwise agreed by UNICEF with the external publisher, the version of the manuscript made available by UNICEF would be the final manuscript as accepted for publication, not the final published version.

The Publications Committee

30. The Publications Committee will be responsible for interpreting this Guidance and for resolving disputes concerning its interpretation and application. The Publications Committee will review this Guidance 18 months after it comes into effect.

⁸ UNICEF Policy on Research, CF/EXD/2015-

Annex 1: Useful External References/Sources of Additional Information

31. This guidance note is complemented by other policies, procedures and reference materials which together contribute to a unifying framework for UNICEF research, including:
- (a) The *UNICEF Policy on Research (CF/EXD/2016-03)* which seeks to provide an operational definition of research relevant to UNICEF; set out the purpose of different types of research within the organization; establish principles and standards that should guide research undertaken by UNICEF staff or in collaboration with partners, and clarify the mandate and role of different parts of the organization undertaking or managing research and in implementing the policy.
 - (b) *A Framework for Research 2014-17*, which sets out the key thematic priorities for UNICEF research under the period of the present Strategic Plan ([link](#));
 - (c) The *UNICEF Procedure for Quality Assurance in Research* and the *UNICEF Procedure for Ethical Standards in Research, Evaluation and Data Collection and Analysis*, which provide further details on the principles and standards established by the UNICEF Policy on Research;
 - (d) *The Evaluation and Research Database, PRIME⁹* (the online version of the integrated monitoring, evaluation and research plan) and related tools and guidance, which serve to assure an adequate internal sharing and dissemination of research (Links: [ERDB](#); [PRIME](#)).

Open Access Archiving

32. Individuals may also wish to consider broadening open access beyond open access publishing and also depositing data and papers in repositories. If an academic author wants to put their research articles on-line, they are faced with an increasingly complex situation. Evidence shows that citations to articles made openly accessible in this way are taken up and cited more often than research that is simply published in journals. Also some funding agencies require open access archiving for their research, to increase the use of the information generated. However, some publishers prohibit authors from using their own articles in this way. Others allow it, but only under certain conditions, while others are quite happy for authors to show their work in this way. Authors can be left confused. RoMEO helps to clarify the situation.
33. RoMEO is a searchable database of publisher's policies regarding the self- archiving of journal articles on the web and in Open Access repositories. It covers over 22.000 journals. RoMEO contains publishers' general policies on self-archiving of journal articles and certain conference series. Each entry provides a summary of the publisher's policy, including what version of an article can be deposited, where it can be deposited, and any conditions that are attached to that deposit. You can use RoMEO to search for a publisher or a journal to see rights which are assigned to publishers and rights which are retained by the author. This information is organized by publisher and includes an indication of how much it might cost.

⁹ PRIME is the online version of the Integrated Monitoring, Evaluation and Research Plan (IMEP/IMERP). At time of writing, the PRIME is still in a pilot phase, but will soon become available to all offices and divisions, making it possible to check UNICEF research plans across countries and regions.

Subsidized Access to Publications

34. When publishing in a closed access journal, (not preferred), individuals are also encouraged to use publishers that enable free or reduced cost access to journal content for developing countries. There are several UN schemes that negotiate with publishers to provide this access, with lists of participating publishers and journals are on their websites, including:

[AGORA](http://www.fao.org/agora/en/) for food, agriculture, environmental science and related social sciences
<http://www.fao.org/agora/en/>

- [HINARI](http://www.who.int/hinari/en/) for biomedical and health literature <http://www.who.int/hinari/en/>
- [OARE](http://www.unep.org/oare/) for environment research <http://www.unep.org/oare/>

INASP

35. In a similar vein, [INASP](#) works with publishers to enable their online resources to be made available to researchers in developing and emerging countries, freely or with deeply discounted access. The full list of publishers is available [here](#). INASP also runs two related schemes which may be of general interest. The [Journals Online](#) project aims to improve the accessibility and visibility of developing country research (developed world outputs are often privileged by current publishing and indexing models) by supporting national and regional platforms for online publication of journals, over 80% of which are freely available in full-text format. A second initiative, [AuthorAID](#), aims to increase the success rate of developing country researchers in achieving publication and to increase the visibility and influence of research in the developing world.

