

DRAFT POLICY ON PUBLICATION

SCHOOL OF GRADUATE STUDIES

**KWAME NKRUMAH UNIVERSITY OF
SCIENCE AND TECHNOLOGY
KUMASI**



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1. Preamble

The key aim of a university is to encourage and facilitate the pursuit of knowledge and scholarship. The attainment of this purpose requires the generation of new knowledge and sharing of such information relying on individual integrity of all members of the University community, including all graduate students.

Students practise knowledge sharing through intellectual honesty in the process of acquiring and extending knowledge. They do this by improving scholarly competence and by exercising critical thinking and self-discipline.

Academic dishonesty, in whatever form, is ultimately destructive to the values of the University. It is also unfair and discouraging to those students who pursue their studies honestly.

2. Related Policies

This document is to be read in conjunction with the following University policies and guidelines:

- a) Graduate Students' Handbook. The Graduate Students' Handbook addresses issues with respect to students' rights and responsibilities as well as students' governance during the research period (sgs.knust.edu.gh/download).
- b) "Guide for Preparation and Evaluation of Higher Degree Research Thesis (sgs.knust.edu.gh/download)."
- c) Cases of alleged extraction of other contents that involve plagiarism shall normally be governed by the procedures contained in the "Guide for Preparation and Evaluation of Higher Degree Research Thesis".
- d) "Intellectual Property Policy". Issues relating to intellectual property rights are subject to and governed by the KNUST Intellectual Property Policy (sgs.knust.edu.gh/download).

3. Intellectual Property

In accordance with the policy of KNUST SCHOOL OF GRADUATE STUDIES, intellectual property is created as a result of research, which in the case of graduate students, is often collaborative, and owned

by its creators, namely, student and supervisor(s) in the University. However, the University retains an irrevocable right to use for educational and research purposes any intellectual property created by students in relation to their research activities.

A graduate student should be aware of and adhere to the University policy on the ownership of intellectual property and the retention of any information relevant to the research programme by the University for educational and research purposes. A student is required to respect any contractual terms under which thesis research is conducted. At the outset, supervisor(s) should discuss with their students all issues related to intellectual property.

4. Publication

The Policy of the School of Graduate Studies on intellectual property has an overriding objective to make research results accessible through publication for wide utilisation and scrutiny. Students, supervisors and all other relevant stakeholders should note that:

- a) Dissemination of research results through publication in scholarly and research journals, presentations at conferences, seminars and workshops, and where appropriate, through protection (patent or copyright) enhances the education and training experience.
- b) Graduate students' research in most disciplines is a collaborative effort, and as such, all who have made significant intellectual contributions to the research activity are generally included as authors of the publication(s) arising from the research subject to Section 11 of this policy document. The authors should be able to vouch for the quality and integrity of their contribution to the work.
- c) Supervisors are required to discuss issues regarding publication (including authorship) with their students at the early stages of their programme. They are encouraged to have a written agreement to protect their own interests and that of the students. A written agreement serves to clarify responsibilities and expectations and can help to avoid problems later. Nevertheless, the written agreement is subject to Rights to Authorship in Section 11 of this document.

Supervisor(s) should also make sure that their students are aware of the implications and/or obligations with regard to intellectual property of research conducted under contracts.

- d) Prior to the submission of a thesis or a document co-authored with supervisor(s) for publication, the student must discuss a draft of the submission with the supervisor(s). The student must respect the request of the supervisor(s) to review any original data associated with the submission.
- e) Dissemination of information through scientific journals should be done as much as possible through Thomas Reuters Index Journals.
- f) A completed research thesis should be published subject to any agreements of the funding agency on the KNUST Thesis Repository.
- g) The theses of a Graduate student should be retained in the designated locations of the Department and the KNUST Central Library Repository for a reasonable period beyond the time of publication.

The School of Graduate Studies wishes that the original data should be held in trust for the scientific and academic community, and should normally be retained in the laboratory or department of the Principal Investigator.

5. Copyright Permission

In conformity with the Copyright Act of the Republic of Ghana (Act 690, 2005)¹ and the guidelines and policy on plagiarism,

- a) there must be no substantial amount of copyrighted material in the thesis subject to the "Graduate School Thesis Preparation Guidelines".
- b) a reasonable extract (defined as 5% or more from a single work/source as shown in "Graduate School Thesis Preparation Guidelines" (sgs.knust.edu.gh/download) from another person's work can be included in the thesis. If the extract is more than reasonable, written permission must be obtained

¹ <http://www.aripo.org/resources/2015-12-17-11-46-34/member-states-copyright-legislation?download=19:ghana-copyright-act>

from the copyright holder(s). A copy of the permission from the copyright holder(s) must be given to the student's supervisor(s) and included in the appendix of the thesis.

- c) if the thesis contains a chapter (or chapters) that the student has published as a journal article or as part of a book, permission must be obtained from the copyright holder(s) (i.e. publisher) to include the material in the thesis. In the light of this, a student should make sure that he/she does not concede full copyright to any publisher in the event of submitting an article from his/her thesis for publication.
- d) if part of the thesis was written in conjunction with another author (or authors), a statement from the co-author(s) permitting the inclusion of the material in the thesis must be obtained, unless the co-author(s) are supervisor(s) of the thesis.
- e) in the case of transcription of the entire or large parts of the thesis into a complete peer-reviewed article, technical report or textbook by a graduate student, prior written permission from the School of Graduate Studies should be sought.

6. Temporary Publication Restriction of Research Results

The provision of access to information and technology is a defining feature of KNUST. Therefore, the School of Graduate Studies supports the principle of academic freedom and free access to the results of the research of the University, which includes research conducted by KNUST students. In pursuit of this policy, dissemination of research results is a primary function of KNUST and is highly emphasised by the School of Graduate Studies.

It is the responsibility of the student's supervisor(s), in early discussions about the research topic, to advise:

- a) Against selection of thesis topics if the results cannot be published upon completion of all requirements for their degrees.

- b) On policies and regulations that will affect the publication of their theses, such as requirements of agencies from whom the students may have received funding for their research.

Anonymity and confidentiality of participants in data research is paramount. Approval from the KNUST Ethics Board will ensure that the anonymity of the sample (whether individuals, groups or organisations) is maintained. The principle and regulation of freedom of information and protection of privacy dictate that personal information is not to be included in documents that are considered to be public.

7. Criteria for the Restriction of Research Results

There may be specific situations in which the student and supervisor(s) are obliged to restrict the publication of the thesis or any part of it either in article form or in a report for a period of time. A request for approval must be made to the Dean, School of Graduate Studies, so that the student does not comply with the provision of evidence of publication for submission of a thesis. Valid reasons to restrict the publication of the thesis or dissertation may include but not limited to:

- a) Time required for submission of a patent application for a device or idea that might emerge from the thesis;
- b) Where the thesis describes something of considerable commercial potential which, if given an opportunity to develop, could benefit the student;
- c) Where funding for the research was provided by a sponsor who has requested a delay in publication;
- d) A case in which public interest is best served by a delay in publication; and
- e) Other reasons which must be clearly specified by the student and the supervisor.

A plan to submit chapters from the thesis for journal publication is not, by itself, grounds for withholding a thesis from publication in the KNUST Central Library Repository. Many journals and book publishers accept a thesis for traditional publication even if it is already available electronically on the website of an educational

institution. It is the responsibility of the student to become acquainted with the policies of a prospective publisher to determine if there is a publication restriction. If the publisher specifies a restriction period, this should be entered as a reason for temporary restriction under 'other reasons' category.

If the restriction is granted by the Dean of Graduate School, the thesis will not be available for students or the public until after the restricted period. Upon expiration of the restricted period, the thesis will automatically be released into the KNUST Repository.

8. Patenting

If there is a possibility that patenting issues could arise from the research thesis or project, the allocation of restriction rights should be decided and agreed upon by all stakeholders including an officer/office of the University appointed to handle such issues. The following should be taken into account in reaching an agreement on the restriction rights:

- a) The agreement ought to ensure that the criteria for restriction for publication should be invoked and adhered to.
- b) Where such an agreement of patenting does not exist at the outset of the project, a subsequent agreement about publication and secrecy should be reached, which should include addressing the patent issue subject to all members in Section 10 of this document, the University and funding organisations where applicable.

9. Commercialisation of Research Output

Students are required to advise their supervisor(s) of any work that may be commercially exploitable. Supervisors are then required to notify the Dean of the School of Graduate Studies of such opportunities and invoke criteria for restriction of thesis publication as enshrined in Section 7 of this document, not least for the protection of the interests of the student concerned. Students may also contact the Dean of the School of Graduate Studies through the Head of Department directly with details of their innovations, but this will not usually exclude the supervisor(s) from any subsequent discussions on commercial exploitation.

Where the student is sponsored by a commercial or other external organisation to which the University owes contractual responsibilities, the supervisor(s) will ensure that the research student receives and, where appropriate, signs a copy of the contract covering the research. An agreement requiring the commercialisation of the output or patent should be agreed upon before the outset of the thesis/project.

The University shall have a percentage of all revenues from the patent rights and commercialisation of research output as may be negotiated.

10. Authorship

Authorship is credited to those who make substantial intellectual contributions to a piece of work. All authors accept responsibility and credit for their work and ensure that the work conforms to the highest standards of academic and scientific integrity.

In cases where the work is done under the terms of employment of the student as a research assistant which is not part of degree requirements, the student is not normally entitled to claim co-authorship. The overall copyright of the completed thesis document is a shared authorship between the student and the University and governed by the University Intellectual Property Policy (sgs.knust.edu.gh/download). It is important that research findings are made accessible to society and are published in a timely manner. In cases where work must be kept confidential, this should be made clear to all involved from the outset and normally the period of publication restriction should not extend beyond one year from the date of final submission of the thesis subject to Section 7 of this document. Publications co-authored by graduate students and Faculty reflect the substantial contribution and guidance that resulted in the research and/or interpretation of the data.

All co-authors share responsibility for the content and ideas expressed in the publication and should agree on the time and place of presentation or publication.

No party should unreasonably suppress or delay presentation or publication of completed work. All reasonable efforts should be made to contact all contributors. However, the inability to contact and obtain the agreement of a co-author should not prevent dissemination of the work in a timely manner.

11. Right to Authorship

The right to authorship is acquired by creative efforts as described in the Vancouver Rules (www.icmje.org). A person has rights of authorship if he/she meets the three requirements below:

1. An authorship right is sought if the person has contributed to usually more than one of the following elements: ideas,

planning experimental work, collection of data, data analysis and interpretation.

2. An author must also have contributed to the preparation of the final article by participation in the preparation of the draft manuscript and or through critical revisions reflected in the appearance of the article.
3. An author must have approved the final version of the manuscript in writing and can duly take responsibility for the entire content of the article.

Individual instances in the form of Head of Institute's provision of framework conditions, specialist Departments' services of routine data or mere help in the collection of data as well as providing financial support for a student's thesis or research work are not in themselves sufficient grounds to warrant authorship. Individuals who fail to meet all the three requirements for authorship but have rendered services cannot claim right of authorship. Their efforts can be acknowledged in the manuscript. In all respects, the authors shall be able to indicate in detail their own contributions and must have participated to such a degree to the entirety of the work. The relevant party should be able to indicate the full contents of the article and be able to discuss the fundamental aspects of the remaining contribution.

12. Order of Authors

Following the Vancouver Convention, the order of authors should follow in the same line as the authors' contribution (most significant contributor as main author) in the manuscript. A corresponding author does not necessary mean 'main author'. In most cases, the first author is the main author. In cases where the corresponding author is different from the main author, the main author's name should appear as the first author. Therefore, as a matter of urgency, supervisor(s) must encourage their students to initiate the writing process. It is recommended that the order of authors should be agreed on during project planning, including how adjustments may be made after each participant's actual efforts are known.

13. Authorship and Publication by Means other than Journal Article

Other means of publication refers to the publication of thesis/research or part of it in newspapers, magazines, reports and reviews etc. In these instances, authorship should follow the same processes as outlined under Sections 11 and 12 of this document. There should be consistency in the principles applied and all authors in such publications should meet all the three criteria for right to authorship in Section 11 of this document.

14. Duty of Authorship and its Deviation

1. The following groups do not merit the rights of authorship to published items and should be discouraged. Supervisor(s) who fall(s) within the following categories should, in a true and fair manner and in line with the spirit of scientific integrity, excuse themselves from the list of authorship.
 - a) **Gift Authorship:** This occurs when a person receives and accepts an offer to be included in the list of authors of an article for publication even though the conditions for rights of authorship, in Section 11 of this document, have not been met.
 - b) **Planted Authorship:** This is similar to gift authorship. However, in this case the authorship is granted without the knowledge or acceptance of the person in question.
 - c) **Renounced Authorship:** A person with the right to authorship but who declines or has not complied with the duty to enter as an author. An example is employees from a pharmaceutical industry who contribute to clinical pharmaceutical studies but agree to let the participating doctors stand alone as authors. This leads to the misguided information about who has performed the work resulting in the cover-up of entirely legitimate matters of interests.
 - d) **Ghost Writing:** A person with the right to authorship but who has declined to enter such a right and gifts authorship to another person.

15. Duty to Publish Research Results

Completed research projects are to be published subject to any agreements of funding agencies, patents or any other restrictions as may be requested from the Dean of Graduate School.

15. Several Publications of the Same Results

Concealed double publication must not take place. However, secondary publications or instances in a different language (say English and French) may take place when done openly with respect to the rules to this effect.

17. Unacceptable Practices

Under no circumstance should an article emanating from the work of a postgraduate students have the main author other than the student himself/herself.

Supervisor(s) should take note that their contributions in such articles for publication does not merit the 'main authorship right'. However, he/she could be a co-author. Any article(s) sent to the School of Graduate Studies in order to meet the publication submission policy for any student in which the student is not the main author shall not be accepted by the School of Graduate Studies.

18. Publication of Data

Notwithstanding Sections 11, 12 and 13, several journals (e.g. Elsevier's Journal Data in Brief) publish data as a stand-alone article, where only the data generated can be published. In such cases, the results from the data itself can also be published.

19. Data and Storage

Original data should be retained in the laboratory or the department of the Principal Investigator and accessible to those involved in the research (supervisor and student). The following should guide data storage:

- a) Where the data originates from an interdisciplinary work that involves several institutions or departments or laboratories, a central information bank should be appointed to hold such data and store it.
- b) There must be an agreement on where such a central data bank should be cited before the research begins. If the University has a *data bank* for all research work then a copy of the data should be placed in the University Data Bank.
- c) Upon completion of the project, the central data bank should be transferred to the University Data Repository. However, interested stakeholders may store a copy of such data subject to any agreement of secrecy and disclosure agreed upon at the beginning of the research/project.
- d) A postgraduate student or any participant in the project or laboratory work shall not erase any part of the data or remove biological material from the central information bank even if the results emanating from such data are wrong or negative, but shall have unlimited and unimpeded access to the data at all times.
- e) Disposal of all or part of data that a student himself/herself has produced by his/her own efforts or as part of collaborative research needs approval from the supervisor(s) or Principal Investigator or any other stakeholders who might have interest in the said data and should be agreed upon by all stakeholders subject to the rules and guidelines of data protection of the laboratory or institution from which the data were generated.

20. Confidentiality of the Use of University Data for Research

The purpose of this confidentiality is to:

- 1) ensure that an appropriate level of non-disclosure is maintained in line with arrangements with research sponsors;
- 2) facilitate scientific and study group discussions and promote the beneficial exchange of data and results;
- 3) facilitate steps to protect potentially valuable research output; and

- 4) protect University information which may be made available to postgraduate research students.

Obligations of confidentiality shall not apply to any information which is in the public domain.

21. Penalties or Punishment for Non-Compliance and Misconduct

Non-compliance of this policy and any matter relating to academic dishonesty on publication for graduate work as enshrined in this policy document shall be dealt with according to University regulations and international best practices on academic misconduct.

References

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