

# SCHOOL OF GRADUATE STUDIES

KWAME NKRUMAH UNIVERSITY OF SCIENCE AND  
TECHNOLOGY, KUMASI-GHANA

Dean: Prof. C. K. Kankam  
Secretary: Mr. M. K. Okrah  
Tel: +233 03220 62139, 62140  
Fax: +233 03220 60137



## **POLICY ON PUBLICATIONS**

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## INTELLECTUAL PROPERTY

In accordance with the KNUST SCHOOL OF GRADUATE STUDIES policy, intellectual property is created as a result of research, which in the case of graduate student research is often collaborative research, and is owned by its creators, namely student and supervisor(s). 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 program by the University for educational and research purposes and to respect any contractual terms under which thesis research is conducted. At the outset, supervisors should discuss with their students issues related to intellectual property.

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). Guidelines of the General Research Ethics Board and the Health Sciences Research Ethics Board should be followed as appropriate and in accordance with the procedure described in the ethics submission. It should be recognized that the theses should be retained in the designated locations of the Department and KNUST Central Library repository for a reasonable period beyond the time of publication and beyond the end of a grant period where applicable.

The supervisor(s) should play a significant role in guiding the development, direction and completion of the student's research project such that the supervisor and student are both considered to have contributed intellectually to the research. As an institution of intellectual enquiry, KNUST is committed to fostering intellectual inquiry and transferring results to society and making them accessible. The ownership of intellectual property must not be used to suppress or distort research work conducted by members of the University.

## **PUBLICATIONS**

The School of Graduate Studies' policy on Intellectual Property directs an overriding objective to make research results accessible through publication for wide utilization and scrutiny.

1. Dissemination of research results by publication in scholarly and research journals, by presentation at conferences, seminars and workshops, and where appropriate, by protection (patent or copyright) enhances the education and training experience. It is recognized that graduate students' research in most disciplines is a collaborative effort and as such all who have made a significant intellectual contribution to the research activity are generally included as authors of its publication(s) arising from the research. The authors should be able to vouch for their quality and integrity of their contribution to the work.
2. Supervisors are urged to discuss issues regarding publication (including authorship) with their students at an early stage of

their program and are encouraged to have a written agreement to protect their own interests and the interests of the student. A written agreement serves to clarify responsibility and expectations and can avoid problems later (see Appendix A). Supervisors should also make sure that their students are aware of implications and/or obligations, with regard to intellectual property, of research conducted under contracts.

Prior to the submission of a thesis or documents for publication co-authored by their supervisor, the student must discuss a draft of the submission with the supervisor. The student must respect a supervisor's request to review any original data associated with the submission. The School of Graduate Studies wishes that 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.

In case of transcription of the entire or large parts of the thesis into a complete peer-reviewed technical or text book by a graduate student, prior written permission from School of Graduate Studies should be sought.

## **COPYRIGHT PERMISSION**

In conformity with the copyright act and the guidelines and policy on plagiarism, there must be no substantial amount of copyrighted material in the thesis. Under the Copyright Act, a reasonable extract from another person's work can be included in

the thesis. If the extract is more than reasonable, written permission must be obtained from the copyright holder(s). A copy of the permission from the copyright holder(s) must be given to the student's supervisor and included in the appendix of the thesis.

Furthermore, 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.

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. This ensures that the work of all persons who have contributed to the theses duly recognized.

## **TEMPORARY PUBLICATION RESTRICTION OF THESES & DISSERTATIONS**

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 University research, 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 emphasized by the School of Graduate Studies.

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

- Against selection of thesis topics if the results cannot be published upon completion of all requirements for their degree.
- Of policies and regulations that will affect the publication of their thesis, such as requirements of agencies from whom the student may receive 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 organizations) 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.

## **CRITERIA FOR THE RESTRICTION OF THESES OR DISSERTATIONS**

There may be specific situations in which the student and supervisor are obliged to restrict the publication of the student's thesis for a temporary period of time. A request for approval from the Dean, School of Graduate Studies must be made. Valid reasons to restrict the publication of the thesis or dissertation include:

- Time is required for submission of a patent application for a device or idea that might emerge from the thesis;
- The thesis describes something of considerable commercial viability potential which, if given an opportunity to develop it, could benefit the student;
  
- Funding for the research was provided by a sponsor who has requested a delay in publication;
- Public interest is best served by a delay in publication;
- Other reason (this reason must be specified by the student and supervisor)

A plan to submit chapters of 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 the 'other' category.

The thesis will not be available for student or public access until after the restricted period. Upon expiration of the restricted period, the thesis will automatically be released into the KNUST repository.



## APPENDIX

Authorship is created to those who make a substantial intellectual contribution to a piece of work.

Providing financial support for a student's thesis or research work is not in itself sufficient to warrant authorship, but when the

student's research is part of a grant or contract on which the supervisor is a named investigator then the supervisor has contributed to the conceptualization of the project

Normally the order of author's names on publications should refer their relative intellectual contributions to the work, with the individual who made the greatest contribution being listed first. Where the major substance of a co-authored publication is based on a portion or all of a graduate student's work, the student is normally first author.

All authors accept responsibility and credit for their work and ensure that the work conforms to the highest standard of academic and scientific integrity.

In cases where the work done under terms of employment by a student employed as a Research Assistant is not part of the degree requirements, that students is not normally entitled to claim co-authorship.

In case where the work done under the terms of employment by

a student employed as a Research Assistant becomes part of the thesis, the student may be considered as co-owner of the data with their supervisor/employer. As the author of the thesis, overall copyright of the completed thesis document is granted to the student.

As a matter of the School of Graduate Studies policy, 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.

Publications co-authored by graduate students and faculty reflect their substantial contribution and guidance that resulted in significant development of 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 to the time and place of presentation or publication. No party should unreasonably suppress or delay presentation or publication of completed work. All reasonable effort should be made to contact all contributors; however, the inability to contact a co-author to obtain agreement should not prevent dissemination of work in a timely manner.



