PUBLICATION AND DISSEMINATION POLICY
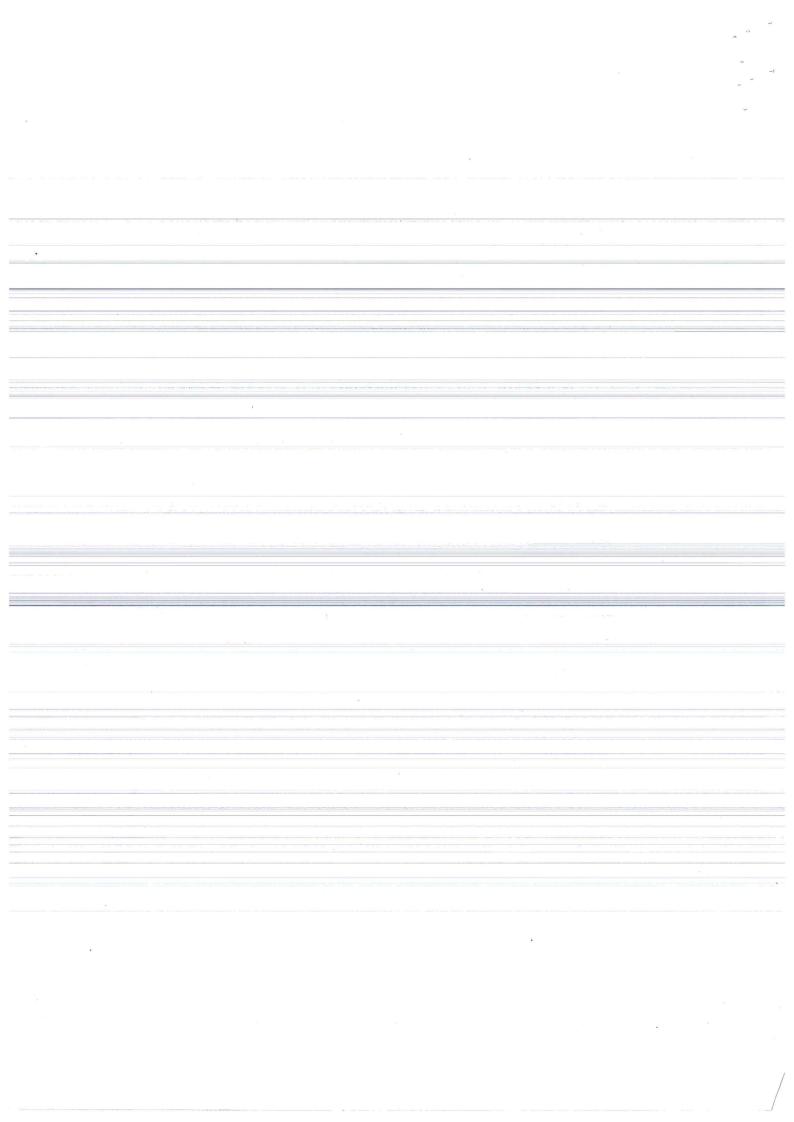
2018

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FOREWORD

Maseno University is committed to the highest standards in the collection, storing, linking and dissemination of research outputs. We recognize the benefit to the wider community from the dissemination of research findings and therefore encourage publications and supporting data resulting from research activities to be disseminated as promptly and broadly as possible.

This policy is aligned to the Maseno University strategic plan 2017-2022 and therefore defines the principles governing how the benefits of research outputs generated at the University are disseminated to other researchers, professionals in associated fields, sponsors and the wider community.

Prof. Julius Omondi Nyabundi, PhD, OGW
VICE-CHANCELLOR

APPROVAL AND COMMENCEMENT

This policy shall be known as Maseno University Publications and Dissemination Policy herein after also referred to as Policy No MSU/RPI/PO/ 003 and shall take effect on approval by Council.

In exercise of the powers conferred by section 23(1) and section 35(1)(a)(iii) of the Universities Act, Section 19(2)(q) of the Charter for Maseno University 2013 and Schedule I (1.2)(q) of the Maseno University Statutes, Maseno University Council certifies that this policy has been made in accordance with all relevant legislations.

Dated the ....12ᵗʰ..........day of ....October,.............2018

Signed .... Date 12/10/2018

Prof. Abdullah Naji Said
CHAIRMAN, MASENO UNIVERSITY COUNCIL

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UNIVERSITY VISION AND MISSION

VISION

The University of Excellence in Discovery and Dissemination of Knowledge

MISSION

To discover, harness, apply, disseminate and preserve knowledge for good of humanity

CORE VALUES OF THE UNIVERSITY

- **Relevance**
  The University is committed to ensuring relevance in its programs and activities
- **Excellence**
  Excellence shall be targeted in outputs of the university
- **Equity**
  The University shall ensure that there is equity in all the opportunities within its jurisdiction
- **Quality**
  All outputs and processes of the University shall ensure that quality is maintained
- **Integrity**
  The University shall ensure integrity in all their undertaking

QUALITY POLICY STATEMENT

Maseno University is committed to quality through teaching, research and development, providing timely services to foster and develop academic excellence in basic and applied research at all levels of study by training practice oriented manpower, who can contribute effectively to social, intellectual and academic development.

The University is internally engaged with its employees, to continually improve its services, products, processes, methods, and work environment to ensure each customer is receiving the highest quality service or product at the committed cost and on time. It is committed to quality through teaching, research and development; providing on time services to foster and develop academic excellence in basic and applied research at all levels of study by training practice oriented manpower, who can contribute effectively to social, intellectual and academic development in the community, nation and community of nations. The University is committed to communicating exhaustively with its customers, and internally with its employees, to continually improve its services, products, processes, methods, and work environment to ensure each customer is receiving highest quality service or product at committed cost and on time.

In order to realize this commitment, the University Management will monitor and review its quality performance from time to time through implementation of an effective quality management system based on ISO 9001:2015 standard.

1.0. PREAMBLE

Academic freedom and the freedom of scientific research is enshrined in the Constitution of Kenya (Article 33 (1) c). In addition, the strategic report by the National strategy for University education reform process, the strategic goal for quality and relevance is to improve quality and relevance of learning through research for socio-economic transformation of societies.

The objectives of University education are further emphasized within the Universities Act No. 42 of 2012, Article 3 (1). These roles *inter alia* are defined as:

(a) advancement of knowledge through teaching, scholarly research and scientific investigation;

(b) promotion of learning in the student body and society;

(c) support and contribution towards the realization of national economic and social development;

(d) promotion of the highest standards in the quality of teaching and research

(e) dissemination of the outcomes of the research conducted by the University to the general community.

Further to the Article 3(1) above, Article 3 (2) section (e) emphasizes that a University shall promote public-private partnership in University education and development.

As a University, we are committed to implementing all the relevant legislations spelt out above. In our 2017-2022 strategic plan, Maseno University identifies enhanced research output and consequently, dissemination of research output as a key strategy towards achieving its mission, "to discover, harness, apply, disseminate and preserve knowledge for the good of humanity".

2.0. LIST OF ABBREVIATIONS

MUERC - Maseno University Ethical Review Committee

ISBN - International Standard Book Numbers

ISSN - International Standard Serial Numbers

3.0   DEFINITION OF TERMS

Collaborator: A person, or institution working jointly with the research lead/institution in a project.

Dissemination: the communication of innovation, this being either a planned and systematic process or a passive, unplanned diffusion process.

Manuscript: The version of an article that has been submitted for review and then publication

Open access: Allowing research outputs to be freely accessible to the general public; problem and undertakes to discover facts or principles. For the purpose of this procedure, a researcher is any Maseno University staff or students undertaking

Repository: The University system for recording and promoting research publications and other non-research; traditional research outputs using software

Researcher: Someone who conducts an organized and systematic study of a given subject or field

Staff: All employees of the University or affiliated enterprises with which the University has a formal agreement and includes casual employees, clinical staff and unpaid members of the University such as Honorary and Adjunct appointments, all of which are registered on the HR system.

4.0 SITUATIONAL ANALYSIS

Dissemination is now acknowledged as a continuous and an important component of the research process. Consequently, appropriate distribution of research findings is viewed as an ethical obligation of researchers and research institutions. However, there are many barriers to effective communication between researchers and users. These include: funding structures, institutional barriers, ownership issues, language, barriers relating to the protracted process of publishing in academic journals, technical barriers and problems related to secrecy and lack of trust.

5.0 SCOPE OF POLICY

This Publication and Dissemination Policy provides a framework for the publication and dissemination of research outputs by University staff, students and collaborators. Maseno University will share information about its research activities, and accomplishments with the communities through its publications. The intention of this policy is to ensure responsible use of public and donor funds, deliver benefit to participants/their cohorts/the public, make contributions to evidence-based knowledge and practice that maximize benefit.

6.0. OBJECTIVES

The Publication and Dissemination Policy seeks to meet the following objectives:
  i.   Promote a general awareness and understanding of new technologies, information and advancement in knowledge that benefits humanity, science and the environment.
  ii. Motivate those concerned with science and technology and enhance the level of knowledge and the ability to achieve sustainable development.
  iii. Ensure high standards of writing, editing, and production consistent with the international standards.
  iv. Encourage, guide, and provide mechanisms for University staff, students and their collaborators to disseminate their research outputs through appropriate channels.
  v.   Achieve an uninterrupted flow of information through publications in the major languages, other than English.
  vi. Promote co-publication with collaborating researchers and private sector publishing enterprises.

7.0   GUIDING PRINCIPLES
  i.   University shall endeavor to provide an enabling research environment for its staff, students and collaborators within the confines of its core values.

ii. University shall acknowledge the intricate balance of time between teaching, research and outreach activities.

iii. The University shall promote scholarly output generation and dissemination in accordance with international ethical standards.

8.0 IMPLEMENTATION FRAMEWORK

8.1. Committee Membership

The University Research, Publications and Dissemination Committee shall comprise of the following:

- The Deputy Vice-Chancellor (Partnerships, Research and Innovation)
- Deputy Vice-Chancellor (Academic and Student Affairs)
- The Director, Research & Innovations
- Dean, School of Graduate Studies
- University Librarian
- Director, Information and Communication Technology

8.2. Role and Responsibilities of the Publications and Dissemination Committee:

i. Encourage commitment to the highest standards and principles in disseminating research findings at all stages of the research.

ii. Formulate guidelines for authorship of publications. Update guidelines as necessary.

iii. Assure implementation and compliance with Maseno University publication policies.

iv. Arbitrate authorship conflicts of Maseno University publications when necessary.

v. Adjudicate emerging publications issues.

vi. Maintain an up-to-date bibliography and repository of all publications and presentations pertaining to its studies.

vii. Provide and maintain records of ISBN for University publications.

viii. Facilitate the acquisition of ISSN for University publications.

ix. Organize for conferences and dissemination of conference proceedings.

9.0. STRATEGIC FOCUS AND INTERVENTIONS

9.1. Classification of Scholarly Publications

Publications and related scholarly works are categorized as follows:

i) Refereed research outputs (journal article, books and monographs, book chapter, book reviews, conference proceedings, patent).

ii)   Non-refereed research outputs including brief case reports, brief articles, discussions, letters or comments, manuscripts.

iii)   Training publications like theses, project reports.

iv)   Publication intended for professional communities including technical/scientific reports.

v)   General-audience publications including newspaper, magazine columns, blogs and other forms of online writing.

9.2. Guidelines for Authorship and Editorship

(a) Authors should ensure they are comfortable with any agreement conditions proposed by an editor or publisher regarding review and subsequent publication of their work. It is specifically important to note that default agreements often favour the publisher and assign very limited and reduced rights for authors. These agreements can restrict access to an author's research

(b) Authors have a responsibility to disseminate a full account of their research findings as broadly as possible, including negative findings and results contrary to their hypotheses.

(c) Authors must take all reasonable steps to ensure that disseminated findings are accurate and properly reported. If a researcher becomes aware of misleading or inaccurate statements in or about their research findings, they must attempt to correct the record as soon as possible.

(d) Authors will attribute prior work and acknowledge all who have made contributions to the research in accordance with the University's Authorship of Research Outputs Policy. It is unethical to use the work of others without appropriate attribution or acknowledgement.

(e) Authors should disseminate their research by depositing their publications in the University's open access repository, Research Online at the appropriate time.

(f) Generally, the same research findings must not be included in several publications except when the findings presented in an initial publication are later reproduced as part of a larger manuscript or when the findings are included in review articles, anthologies, theses, collections or translations into another language. An author who submits substantially the same work to more than one publisher must disclose this to each publisher at the time of submission. Research findings that are republished must only be done in accordance with the terms of existing publishing agreement.

(g) A publication must: Include Maseno University as the institution of affiliation; acknowledge all sources of financial and in-kind support for the research and include any relevant grant numbers; identify any potential conflicts of interest that may arise.

9.3. Publication reporting procedures

(a) Before dissemination of findings, researchers must ensure that they have:
   i.   engaged in peer review to test their findings; complied with any legislation or regulation that is relevant to the dissemination of their research including copyright restrictions;
   ii.   taken into account any restrictions related to intellectual property agreements or conditions imposed by the sponsors of research or other third party agreements;
   iii.   considered whether there are any restrictions on dissemination due to the particular sensitivities of the data, including confidentiality or privacy requirements;
   iv.   taken steps to protect any commercially valuable intellectual property, including IP covered under the University's Intellectual Property Policy
   v.   notified the University if their work constitutes dual use research of concern and have adhered to material export controls regulations and any third party agreements
   vi.   Complied with all ethical issues

9.4. Maseno University Online Repository

The University Library shall manage this resource ensuring categories for internal and external access.

Research output Information are deposited in a closed repository for use within the University - an internal University tool for research output management OR with categories for public open access repository - making content available through global searching mechanisms such as Google.

This policy requires each researcher to provide the peer reviewed final accepted version of a research output to deposit. The policy encourages the deposit of an electronic copy of non-peer reviewed research, particularly where this may be used for national assessments. Researchers (or their proxies, e.g. research administrators) will deposit these research outputs in the repository; and at the same time provide information about whether the research output can be made publicly available. It will then be automatically passed into the repository, where this is allowable, with no further input from the researcher or their agent.

9.4.1. Accessing Publications Stored in the Repository

i. The University Library will provide appropriate access controls to submitted publications in the University repository, Research Online.

ii. Subject to publisher agreements and embargoes, versions of research outputs held in Research Online will be available to the general public. The version allowed for open access can be changed over time due to an embargo, changes in publisher policy or changes to legislation or regulation.

10.0. MONITORING AND EVALUATION

10.1. Quartely reports that cover all the possible research results, both tangible and intangible shall be required of all levels of stakeholders including principal investigators, students, collaborators and consultants. The purpose of these reports is to: support the financial auditing of the projects; and collect and collate detailed information on the activities and results of the projects funded.

10.2. Number of hits on repository. This is a relatively straightforward technique that does not require high expertise or much financial resources and should be covered by the standard IT services within the Maseno University Library. This could include the information available on the website, i.e. guidelines, project descriptions, calendar with events, links to other projects, as well as the frequency with which websites are updated.

10.3. Number of conferences, workshops, seminars and number and type of participants. The number of conferences organised or attended should be monitored and reported. When these have been organised by the project, or University, there should be further details as to the number of participants and the type of the organisations they represented. This measurement requires no special expertise or further resources and should be required by all staff, students and collaborators involved in dissemination events.

10.4. Number of people that are included in mailing lists for exchange of information and experiences. Dissemination is quite often achieved via emails, for, ex ample by distributing newsletters or calendars with events. To be able to measure the effectiveness of these mechanisms the number of the participants in the mailing lists along with the organizations they represent should be monitored. Again, this measurement requires no special expertise of further resources and should be required by all staff, students and collaborators.

11.0. REVIEW PERIOD

In line with Maseno University Quality Assurance Policy, the operation of this policy will be reviewed after every 3 years to ensure that it continues to offer an appropriate means for Publication and dissemination of research output.

12.0. REFERENCE LEGISLATION AND POLICIES

i.   The Constitution of Kenya (2010)
ii.   Universities Act No.42 of 2012
iii. Maseno University Statutes (2013)
iv.   Computer and Cyber-Crimes Laws 2018
v.   Employee Code of Conduct
vi.   Maseno University Research Policy.
vii. Maseno University Intellectual Property Policy