

**GHANA CHRISTIAN
UNIVERSITY COLLEGE**

RESEARCH POLICY

FEBRUARY, 2017

Table of Content

Section 1	Background	3
Section 2	The University Research Fund (IRF)	4
Section 3	Co-ordination of Research	8
Section 4	Research Finding & Intellectual Property Rights	11
Section 5	Misconduct in Research	22
Section 6	University – Industry Funding Research	23
Section 7	Equipment Purchased using External Research Funds	25
Section 8	Conflict of Interest	26
Section 9	Professional Integrity in the Conduct of research	27
Section 10	Procedure for the Investigation of Allegations	33
Section 11	Act of God	38

SECTION ONE

BACKGROUND

1.1 Ghana Christian University College Research Vision

To become the Premier Christian University in Transformational Leadership and Service in Africa

1.2 Ghana Christian University College Research Mission

To Nurture and Equip Leaders with a Distinctive Christian World-View to Transform Communities and Organizations in which they serve.

1.3 The Need for University Research Policy

This document summarizes the Ghana Christian University College Research Policy, arising from the need to have a policy document to help spearhead research at the University. The need for a dynamic University Research Policy arises from a number of factors: the diminishing resources for research at the University and national level, lack of University Research Policy at present, significant changes in the policies of major funding agencies both in government and private sector, stiff competition for staff seeking research funds and lack of guidance and clear-cut policy on research and consultancy. Together, these factors have retarded the overall research productivity at the University and, therefore, the need to have a consistent policy with the desire to motivate staff, sustain and improve research productivity and competitiveness at national and international levels.

The policy will achieve this through entrenching research culture at the University by:

- a) Ensuring a significant annual allocation of funds to the University Research Budget
- b) Deliberate moves to motivate researchers at the University to seek additional external funding
- c) Deliberate efforts to attract substantial external funds from donors (private sectors and donor agencies) to the University.
- d) Promote conducive environment for collaboration in research for both national and international research partnerships.

1.4 RESEARCH AND TEACHING RELATIONSHIP

The University shall emphasize a strong relationship between research and teaching and shall enhance the role of research in the development of teaching programs.

SECTION TWO

THE UNIVERSITY RESEARCH FUND (IRF)

The Council will ensure that significant amount of the University Research Fund (IRF) funds annually set aside for various research activities. The activities form part of core business activities of the University that complements teaching and gives University local and global recognition.

2.1 Broad Principles of University Research Fund

For purposes of disbursement of funds under IRF, the following principles will apply:

- 2.1.1 The need to support original, strategic, basic, applied and productive research.
- 2.1.2. The provision of internal research budget in terms of its potential to leverage external funding for University research.
- 2.1.3. The development of strategic research foci and centers of excellence.
- 2.1.4. The need to support and develop postgraduate students and academic staff at the beginning of their research careers.
- 2.1.5. Multidisciplinarity in problem solving through research partnerships internally between faculties/departments or with external partners.
- 2.1.6. Rewarding publication and demonstrated research excellence to motivate staff.
- 2.1.7. Capacity building for the University.

2.2 Sources, Allocation and Distribution of Research Funds from IRF

- 2.2.1. The President shall set aside a minimum of 5% from tuition funds; being its annual allocation less recurrent expenditure and other earnings to Research and Development to be distributed as shown below:
 - i. 70% be given out as Annual Research Grant (ARG).
 - ii. 20% be spent on development of critical capital Equipment.
 - iii. 10% Research and Extension Fund.
- 2.2.2. Research grants from chairs
- 2.2.3. The University shall establish a Research Endowment fund.

2.2.4. Apportionment of Annual Research Grant (ARG)

- i. The ARG will be used for:
 - (a) Training of Junior Researchers to be able to participate in competitive research
 - (b) Funding Competitive Research and/or Project Proposals
 - (c) Awards
 - (d) Conference attendance
 - (e) Ghana Christian University College Annual Research Conference
 - (f) Financing of Ghana Christian University College Refereed Journal(s)

ii. Training of Junior Research to be able to participate in competitive Research

The Junior Researchers will be exposed to research techniques and methodologies through attendance of workshops and seminars organized at the Universities. The professional researchers in various fields shall also have junior researchers as a requirement attached to them. This opportunity will prepare the Junior Researchers to participate in bidding for competitive project proposals.

2.2.5. Funding Competitive Research and/or Project Proposals

Research proposals will be considered bi-annually. Projects designed to run for more than one year will be considered provided there is satisfactory progress, which must be demonstrated annually.

Funds will be awarded in two categories:

i. New Staff Research Fund

- (a) This will consist of upto 10% of the Annual Research Grants;
- (b) Funding under this category will only be available during the first three years of appointment;
- (c) Funding may be applied for at any time during the first year of appointment. Thereafter, annual applications must be made by the appropriate closing date;

ii. Main Research Fund

Allocations will depend on the merits of proposals set by the School Research Committees and on the publication and general research record of the applicants. Initial screening of applications will be done by the Research Committees of the Schools with recommendations being made for final approval by the RCS. Where necessary, the University Research Committee will refine the criteria for evaluation of proposals in keeping with the broad principles outlined below. In assessing proposals, evaluators will be guided by some or all of the following principles, depending on the discipline and the nature of the project:

- a) Originality and potential to contribute to the generation of new knowledge;
- b) The involvement of several staff and/or postgraduate students working on a common theme;
- c) The development of new research foci which have the potential to develop academic and research excellence;
- d) Multidisciplinary as an approach to problem-solving;
- e) Preference to applicants who have attracted funding for the project from outside sources;
- f) Focus towards fulfilling Ghana Christian University College vision and mission.

iii. Awards

(a) Publications

The University will reward the best publication arising from research projects. There will be Chairman (Chairperson) of Council, President, Deans and Junior Scholars award during the Ghana Christian University College Annual Research Conference.

(b) Innovations

The University will reward innovators who have achieved excellent transfer of technology or knowledge and are not necessarily academic publications. There will be the Chancellors, Chairperson (Chairman) of Council, President, Deans and junior innovators awards during the Ghana Christian University College Annual Research Conference.

2.2.6. Ghana Christian University College Annual Research Conference

Ghana Christian University College under the office of the Dean of Research will organize an annual research conference for the purpose of disseminating research findings.

2.2.7. University Refereed Journals

Ghana Christian University College under the office of the Dean of Research will support journals to publish and disseminate research findings resulting from researches in and outside the university. Leading scholars in the respective fields will be sought to referee the journals.

2.2.8. Expensive Capital Equipment

The University will strive to obtain equipment for research for all Departments. Any Expensive Capital Equipment (ECE) funds will be considered in the light of the policy on developing research foci and “centers of excellence” (see 2.7) where there are more people capable of using the expensive equipment.

2.2.9. Research Extension Funds

Ten percent of the University Research Fund (IRF) will be allocated for research and extension. Such funds will be used for research in community development projects, innovation, partnerships with industry and other stakeholders and the development of networks and leverage skills amongst staff.

2.3 Attraction of External Funds

The University shall recognize efforts in generating research grants from external funding sources (private sector/donor agencies).

2.4 Matching Funds

Where University contribution will be required as a condition for funding, RCS shall consider such applications.

2.5 The University Research Administration Costs

Ghana Christian University College shall normally levy a minimum of 10% of all research grant awards unless in exceptional cases for general administration costs by Research committees which will include sitting allowance for RCS and Faculty Research Committee, supervision, referring and running of office.

2.6 Funding Balance Between Applied and Basic Research

(a) It is recognized that a structural tension exists between the need to support basic research and the need to leverage external funding which is often most easily available for applied and product-related research. Both are indispensable, and the University shall find ways of addressing such issues.

(b) The University shall provide funding for key strategic research projects with potential to generate patentable intellectual property.

2.7 Developing Centres of Research Excellence

2.7.1. The University shall optimize its resources by identifying the research foci and developing these as clusters or “centres” of academic research excellence. An appropriate process of profiling such centres will take into account existing research strengths as well as regional and national needs. The RCS will identify such centres of excellence within the Schools.

2.7.2. The defining features of research foci and centres will be:

- i. The existence of (or the potential for) maintaining sustained research programs, which are characterised by excellence in publication and in training of graduate students.
- ii. Collaboration between a number of researchers within and without the University such that a distinct “research density” is clearly present. This would be achieved by sharing of resources and specialised equipment not normally available for each school.
- iii. The number of patents (or potential patents) achieved and commercializable research products.
- iv. Productive researchers whose work may not necessarily be associated with the centres will continue to be supported through project funding and publication awards of IRF.

2.7.3. Preferential investments in expensive capital equipment will be made to such nodes of research excellence.

SECTION THREE

CO-ORDINATION OF RESEARCH

3.1 Introduction

3.1.1. In order to achieve effective coordination under the Dean of Research there shall be a Research Committee of Senate (RCS) and School Research Committees.

3.1.2. All research proposals seeking external/internal grants will be channeled through the Dean of Research.

3.1.3. Where applications are forwarded to donors via website, or online, the researchers are encouraged to notify Provost who may follow up the progress of such applications on behalf of the applicants.

3.1.4. Applications from the faculties for internal research grants shall be submitted to Dean of Research by:-

- i) 31st January to be disbursed by RCS by March,
- ii) 31st July to be disbursed by RCS by September.

3.2 Research Committees

The following committees will be established: -

3.2.1 The University Research Committee

- i. This committee shall comprise, Provost, All faculty representatives from among its teaching staff and the University Librarian.
- ii. In attendance will be the Provost and Director of Academic Affairs.
- ii.. The RCS will have jurisdiction over research matters. Its functions will be to:
 - (a) Approve funds under IRF.
 - (b) Establish misconduct in research and determine the penalty
 - (c) Encourage continuous policy review.
 - (d) Scrutinize national government and provincial tender bulletins – for research contracts and inform researchers accordingly.
 - (e) Seek consultancy and contracts related to research and research product development. Assist staff on the drawing up of contracts.
 - (f) Assist protection of intellectual property rights.
 - (g) Establish a media sub-committee of RCS to work with the relevant organs of the University in terms of communication and publicity.
 - (h) Holding short courses in proposal writing.
 - (i) Support development of fundable research project proposals.
 - (j) Provide support in approaching funders with the assistance of the executive.

- (k) Alert researchers on international funding opportunities such as those arising from bilateral and multi national agreements.
- (l) Establish international funding opportunities.
- (m) To identify newsworthy research items and to produce regular copies for distribution to the media and potential funders
- (n) Create, develop and sustain a conducive environment for research.

3.2.2 The School Research Committee

- i. This shall comprise of elected representatives from the departments in the faculty, elected representatives from the faculty board and shall be run under the Dean.
- ii. The Faculty Research Committee's functions will be to:-

- (a) Evaluate applications for project funding, purchase of capital equipment, publication awards and conference attendance before forwarding to the RCS.
- (b) Encourage research opportunities between departments and across disciplines.
- (c) Establish discipline specific guidelines and ensure adherence to that.
- (d) Take initiative for external funding.
- (e) Establish misconduct in research and determining whether the allegations form a basis for investigation.
- (f) Monitor and evaluate research activities
- (g) Profile centers of excellence.
- (h) Assist researchers in responding to tenders from government and the private sector.
- (i) Assist researchers in drawing up specific proposals.
- (j) Liaise with the RCS media sub-committee to send regular briefings to potential funders.

3.3 Administration of Research Grants

3.3.1. For all the internal grants, the Provost or his/her representative shall on behalf of the University sign a contract with Principal Investigator for the purposes of accountability and management of the funds following approval by RCS.

3.3.2. For all externally funded projects, the Principal Investigator and President or his/her representative on behalf of University shall sign a contract with the donor and contract will be kept in the Provost Office for purposes of management of funds and project activities.

3.3.3 Upon signing of a contract, the University shall be entitled to receive a minimum of 10% of the total grant awarded to the PI, being payment for administration costs.

3.3.4. For all internal grants, the University Research Committee shall be entitled to award the grants to staff and make a report to Senate accordingly.

3.3.5. The PI shall submit semi annual financial and technical report to the Provost as follows:-

- i) Three copies of technical report detailing the work accomplished, project results and any recommendations for further research
- ii) A complete financial statement, covering all funds expended on the project, in the same form and including the detail of the budget and certified as true copy by the PI.

3.4 Declaration by the Researcher

The University Research Community will be required to be committed to the values and regulations laid down by the Ghana Christian University College Research Policy and will be required to sign a declaration form. (See appendix 1)

3.5 Research and Extension Resource Center

The University will source funds under Provost for the development, maintenance and for the day to day running of the University Research and Extension Resource Center. The Center will collect and collate all current literature research findings, develop Common Equipment, conference facilities and other facilities that will be available to University Research Community.

SECTION FOUR

RESEARCH FINDINGS AND INTELLECTUAL PROPERTY RIGHTS

This section should be read together with the Ghana Christian University College Intellectual Property Policy in the section that follows.

4.1 Research Finding & Documentation

4.1.1. Records of Research Findings

The research findings may be stored as video recordings, books, CDROM's, publications, and audiotapes or in any other retrievable forms.

4.1.2. Retention of Documents

- i. The University shall retain a database within the Provost of all research findings. The Principal investigators have the obligation to ensure that sufficient records are kept to document the experimental methods and accuracy of data interpretation and to provide a basis of further research.
- ii. Documents will be forwarded by the Departments and Schools to the University Research and Extension Resource Center and copies given out to the University Library, National Collections Section, for archiving for a period not less than 5 years or as long as the University require to protect any patent resulting from the research.

4.2 Access and Use of Research Findings

The research materials will be available for reference in the Library unless any material will be protected by copyrights, will be available for copying electronically or by photocopying. The person asking for it will meet the cost of copying.

All research findings and publications in hard copies, electronic copies, audio typing or video tapes will be available for use by members of the University for purposes of research and teaching with authority from the author and/or University.

4.3 Intellectual Property (IP) Policy Statement

4.3.1. The University owns 100% of the intellectual property (IP) created during the performance of the contracted duties of all employees, or assigned to the University by students or other individuals, except where otherwise defined within this policy.

4.3.2. The University will undertake to protect commercially important IP and seek its commercial exploitation for the benefit of the country, Ghana, the University and its staff and students. Net proceeds from commercialization will be distributed between the inventor/creator(s) and the University on a fair and equitable basis.

4.3.3. The policy should be read in conjunction with the University's Regulations. University employees should also refer to their individual Contract of Employment. Staff and students should also refer to the terms and conditions of any agreements or contracts with external sponsors of their research.

4.4. Definitions relating to IP

Certain terms are used in this document with specific meanings, as defined in this section. These definitions do not necessarily conform to customary usage.

4.4.1. **Intellectual Property (IP)** means patents, rights to inventions, trade marks and service marks, trade names and domain names, rights in get-up, rights to goodwill and to sue for passing off and unfair competition, rights in designs, rights in computer software, database rights, rights in confidential information (including know-how and trade secrets), copyright and any other intellectual property rights, in each case whether registered or unregistered and including all applications (and rights to apply) for, and renewals or extensions of, such rights and all similar or equivalent rights or forms of protection which subsist or will subsist, now or in the future, in any part of the world.

4.4.2. **Intellectual Property Rights (IPR)** refer to specific legal rights which protect the owners of IP from others using it without permission. They can be subdivided into four main categories: Patents, Copyright, Design Rights and Trade Marks Rights.

4.4.3. **Patents** protect any new and inventive product, device, composition or process for up to 20 years from filing a complete patent application. To be patentable, the subject matter must be new, have an inventive step and be capable of use in industry. It must also have "technical character" meaning it must solve a particular technical problem.

4.4.4. **Copyright** protects any original works such as original literary works (tables or compilations, computer software programs and databases), dramatic works (dance or mime), musical works (music exclusive of any words or actions) and artistic work (graphic works, photographs, sculptures, collages irrespective of artistic quality, works of architecture and works of artistic craftsmanship), sound recordings, films, broadcasts and typographical arrangements of published editions. Copyright arises automatically.

4.4.5. **Design Rights** generally protect the appearance of a product resulting from the features such as the lines, contours, colours, shape, texture and/or materials of the product or its orientation. The design must be new and have individual character. Some designs may also attract automatic design rights which do not require any formal registration. These designs must be original (i.e. not copied) and not common place. They generally protect 3-dimensional aspects of a design product only. These automatic rights can last for up to 10 years from the date of first marketing the design or 15 years from when the design is first recorded in a design document or an article is made to the design.

4.4.6. Trade Mark Rights protect names, logos, jingles, slogans, shapes of goods or packaging. The mark must be capable of being graphically represented and of distinguishing your goods or services from others. Trade marks can be registered for an indefinite period of time.

4.4.7. Staff means all employees (including full time and part time) contracted by the University and its subsidiary companies (including but not limited to Innovation GhanaCU Limited) to perform the duties in the course of their employment as defined by the University Human Resources Department.

4.4.8. Research Student/Degree means any full-time or part-time student undertaking a research degree regardless of whether the student receives financial support from the University, from outside sources or who is self funded. Under the University's Regulations the research degree is defined as any of the following: MRes, MPhil, PhD,

4.4.10. Other Student means any full-time or part-time taught postgraduate or undergraduate student, regardless of whether the student receives financial support from the University, from outside sources or who is self-funded.

4.4.11. Affiliate means any other individual who has formal links with the University including, inter alia, a visiting or honorary academic, a visiting postgraduate student or an academic on sabbatical.

4.4.12. Inventor/Creator(s) means any person or persons who create an item of IP.

4.4.13. Assignment means the transfer of Intellectual Property rights held by one party (the Assignor) to another party (the Assignee).

4.4.14. Office of Innovation is a Department of the University which has responsibility for the University's commercial development, liaison with business, knowledge transfer with industry, identifies and protects intellectual assets and explores routes for commercialization of intellectual property capital arising from the University's knowledge and technology base.

4.4.15. Innovation GhanaCU Limited is the legal entity wholly owned by the University which has responsibility for the management of consultancy, investments, equity holdings and license agreements that relate to startup businesses and technology transfers.

4.5. Ownership of Intellectual Property

Unless otherwise agreed in writing and subject to the following provisions and relevant legislation, pursuant to this Policy, it is the University's intention that ownership of all IP will reside with it.

4.5.1 Staff

Pursuant to the terms of the staff member's contract of employment and as a matter of law, IP created by University staff shall be owned by the University if the IP was created in the course of the staff member's normal or specifically assigned duties.

i. Course Materials

The copyright in course materials including aids to teaching produced by staff in the course of their employment for the purposes of the curriculum of a course run by the University and produced, used or disseminated by the University belongs to the

University. However the copyright in any material produced by staff for their personal use and reference shall belong to that member of staff.

ii. Scholarly Works

The copyright in any work or design compiled, edited or otherwise brought into existence by staff as a scholarly work produced in furtherance of their professional career belongs to staff. ‘Scholarly work’ includes items such as books, contributions to books, articles and conference papers, and shall be construed in the light of the common understanding of the phrase in higher education. However, copyright in reports and other material arising from contract research may belong to the University or to a funding body depending on the terms of contract. Subject to these exceptions the University does not claim the copyright in scholarly works written by staff who will be able to transfer to publishers the copyright of items which they have produced. Provided the copyright in such scholarly works has not been assigned to a publisher and on approval of the staff member, the University reserves the right to use any scholarly works for nonprofit academic purposes such as teaching, research and general internal use if deemed appropriate subject always to the University’s obligation to respect the moral rights of the staff member in relation to such scholarly works.

iii. Financial & Administrative Materials

All records, documents and other papers (including copies and summaries thereof) which pertain to the finance and administration of the University and which are made by staff in the course of their employment are the property of the University and the copyright in all such original records, documents and papers shall at all times belong to the University.

4.5.2 Students

i. Research Students

(a) As a precondition of registration for their research degree, all research students are required, prior to or at the time of enrolment, to sign agreements which will assign, or will oblige them in the future to assign, their rights in any IP arising from their studies to the University. Upon assignment, the University will own all IP developed by research students relating to their studies unless the University has entered into an agreement whereby all or a portion of the rights are owned by an external sponsor.

(b) Should the University not wish to exploit the IP generated during the course of the research degree, all IP shall be reassigned back to the research student by the end of his/her studies upon completion of Form RS1. This is subject to any obligations of confidentiality assumed by the University and/or the research student in relation to the IP.

(c) The copyright of the thesis will be held by the University but will, subject to this Policy, be returned to the research student at the end of his/her studies. Should the copyright in the thesis relate to any potentially exploitable IP which has been disclosed to the Office of Innovation by the research student and/or research supervisor during or at the end of his/her studies, and the University wishes to exploit such IP, a student Declaration of Confidentiality may be applied to the thesis for a prescribed period to provide sufficient time for the implementation of appropriate intellectual property protection measures. The research student will at all times retain copyright as an author in any papers

written in relation to his/her thesis for publication purposes and will be able to transfer to publishers the copyright of such papers which they have produced. This is subject to the research student at all times complying with his/her obligation not to submit any papers for publication which may contain potentially exploitable IP without the prior approval of the Office of Innovation.

(d) The University reserves the right to retain a copy of the thesis, in written or digital format, in the University Library. The University reserves the right to be granted a non-exclusive royalty free licence by the student for use of his/her thesis for non-profit academic purposes such as teaching, research and general internal use if deemed appropriate subject to the University's obligation to respect the moral rights of the research student in relation to such copyright material.

ii. Other Students

Other students own the IP that they create as well as being the inventor/creator(s). Students who create IP under a University project have the opportunity to assign their IP to the University which will then assist in developing and commercializing the IP, if deemed appropriate by the Office of Innovation.

4.5.3. Affiliates

Where it is anticipated that IP may arise during the course of activity undertaken by an affiliate of the University, an IP agreement must be executed by all parties prior to the commencement of any work. Such agreement must confirm ownership of IP, proposed route of exploitation and basis of compensation for the University and the inventor/creator(s). Such agreements are negotiated by the Office of Innovation and not by the affiliate.

4.5.4. Internally Sponsored Work

Where the University provides funding for particular projects, the University will own any IP arising from the internally sponsored activity.

4.5.5. Externally Sponsored Work

Where it is anticipated that IP may arise during the course of a collaborative or sponsored project with an external organization such as industry, other universities, research organizations or government sponsored programs, an IP agreement must be executed by all parties prior to the commencement of any work. Such agreements must confirm ownership of IP, proposed routes of exploitation and a basis of compensation for the University and inventor/creator(s). Such agreements are negotiated by the Office of Innovation and not by individual members of staff or students, though individual staff members or students will have input to advising the Office of Innovation during negotiations.

4.5.6. Duties of Staff & Students in respect of Intellectual Property

i. It is the responsibility of all staff to disclose to the University all potentially exploitable IP created or arising from duties undertaken as part of their University employment. It is also the responsibility of students who are bound under this Policy to disclose all potentially exploitable IP created or arising from their research. Staff and students should disclose the IP by completing an Invention or Creative Work Disclosure Form which can be easily downloaded from the Office of Innovation website and submitting it to the Office of Innovation. Students should contact their supervisor immediately upon creation of any such IP. Please note that when an Invention or

Creative Work Disclosure Form is submitted, an inventor or creator who is not an employee is at the same time required to assign ownership of the IP to the University.

ii. Early conception of exploitable IP may arise prior to submission of grant proposals or applications for research funding. The Office of Innovation strongly recommends that any staff and/or students applying for such funding which may generate exploitable IP, contact the Office of Innovation for further advice. Staff and students who are unsure about IP should discuss the matter, as early as possible with the Office of Innovation.

iii. It is stressed that complete confidentiality must be maintained prior to disclosure of any exploitable IP to the University, otherwise disclosure through publication or through any other output may jeopardise any subsequent application for IP rights.

4.6. Compliance

Failure to comply with this Policy will constitute a disciplinary offence under the University's Statutes.

4.7. Intellectual Property Procedures

4.7.1 The Role of the Office of Innovation

i. The Office of Innovation advises on the protection and commercialization of the University's IP, primarily that derived from research or academic enterprise. Its key responsibilities include the protection of IP and the subsequent generation of income either through licenses or royalties involving new or existing businesses.

ii. Should the Office of Innovation consider that there is a profitable, commercial opportunity for University IP, it will first seek to protect the relevant IP generated by staff or students by patenting or other relevant methods.

iii. On behalf of Innovation GhanaCU Limited, the Office of Innovation will also manage the required additional commercial or technical development of the IP and engage / negotiate with potential commercial partners to ensure optimal commercial exploitation and maximum return to the University and inventor/ creator(s).

4.7.2 Confidentiality

i. Staff and students are expected to take all steps reasonably necessary to maintain confidentiality of any potentially exploitable IP and prevent public disclosure of any invention or creative work arising from their employment and/or academic duties until approved to do so by the Office of Innovation. As it is in the best interests of the University to publish academic research, the Office of Innovation shall make all reasonable endeavours not to delay publication more than is necessary to ensure protection of IP therein.

ii. Staff and students are expected to abide by the terms of confidentiality agreements agreed with any third party and/or external organizations. The Office of Innovation can advise staff and students on all requirements relating to confidentiality and provide relevant agreements as required. Please note that should any third party or external organization supply a confidentiality/non-disclosure agreement, said agreement should be forwarded to the Office of Innovation for review and execution by an authorized signatory of the University.

4.7.3 Invention/Creative Work Disclosure Process

i. Staff and students must disclose new potentially exploitable IP prior to any public disclosure, using an Invention or Creative Work Disclosure Form and submitting it to the Office of Innovation. Following receipt of the Invention or Creative Work Disclosure Form, the Office of Innovation will initially appraise the IP for patentability or other protectable means, following which protection of the IP may be initiated if appropriate. Please contact the Office of Innovation should you have any problems in relation to the form.

ii. Where the Office of Innovation does not seek to protect the IP, the inventor/creator(s) shall be notified of this decision. The inventor/creator(s) may upon written request seek assignment from the University. Such assignment should be completed within 1 month from the date of request or as soon as reasonably possible. Thus, the inventor/creator(s) will be at liberty to protect and/or exploit the IP as he or she wishes outside of any contractual relationship he or she may have with the University, subject to the interests of third parties. The University reserves the right to be granted a non-exclusive royalty free perpetual licence for use of such IP by the University for non-profit academic purposes such as internal administrative, promotional, teaching and research purposes.

iii. Where the disclosed IP is deemed by the Office of Innovation to have some potential for commercialization but to be at a pre-commercial stage the University will retain its interest and the disclosed IP may be developed through research channels to a point where it is suitable for reevaluation for IP Protection and commercial development at a later stage.

iii. Staff and students making an IP disclosure should:

- (a) Provide a detailed account of information regarding technical and other aspects of the invention or creative work. This may also include pre-publication/draft manuscripts, lab book records, details of processes/specifications, software code, pre-submission abstracts, presentations, prototypes etc. Staff and students who generate IP should keep clear and accurate records which are easily accessible and retrievable.
- (b) Identify the inventor/creator
An inventor is a person who takes part in the conception of the ideas in the patent claims of a patent application. The inventor may be determined by an individual who:
 - Conceived the initial ideas of the research which led to the invention;
 - Devised experiments/materials/processes/product which form the basis of the patent application;
 - Carried out any experiments/processes described within the patent application and which required initiative and intellectual/technical input to complete;
 - Interpreted the information/data disclosed in the patent application, particularly if the information/data was unexpected or its implications were unclear.

As a further guideline, the following individuals would most likely **NOT** be considered as an inventor:

- an individual who carried out work under instruction which took no initiative or required no modifications, regardless of skill and effort;

- an individual who funded but did not contribute technically to the invention;
- an individual whose facilities were used in the research, or who published earlier relevant work, or who contributed very general work or assistance;
- an individual who has been a project manager or supervisor but did not contribute technically to the invention.

- (c) Offer initial evidence, if any, of commercial interest such as expressions of interest from commercial organisations.
- (d) Submit to the Office of Innovation any further information they may request at any stage of the procedure.

4.7.4 Invention/Creative Work Assessment Process

i. The Office of Innovation, in conjunction with expert advice, from patent attorneys, professional advisors or other bodies, will decide, as expeditiously as possible, whether to recommend that:

- (a) the invention/creative work is presented to a patent attorney for an initial patent opinion;
 - (b) further development of the invention/creative work be undertaken prior to filing for Intellectual Property Rights;
 - (c) the University proceeds to the filing of a patent application or other form of IP registration;
 - (d) negotiations with an industrial partner be authorised, which could result in the sale of the invention/creative work to the industrial partner or in an agreement jointly to fund the costs affiliated with the filing for a patent, or other outcome;
 - (e) an application for Intellectual Property Rights should not be undertaken.
- ii.** In reaching its decision the Office of Innovation will consider all evidence submitted by the inventor/creator(s) and any other advisors from whom advice has been sought, and will inform the inventor/creator(s) of the outcome as required. Reports will be made quarterly to the Board of Innovation GhanaCU Limited, the University's Research & Innovation Committee and the President's Advisory Group.

4.7.5. Exploitation of Intellectual Property

i. Once IP protection has commenced, the Office of Innovation will assess the commercial potential of and endeavour to exploit the IP commercially. Exploitation may take various forms including licensing, assignment, new company formation or a joint venture company.

ii. The Office of Innovation, in frequent consultation with the inventor/creator(s) will manage the IP and will meet regularly to review the commercialization for any protection of IP at any time. However, in such cases the inventor/creator(s) will be notified in advance so that they may have the opportunity to seek assignment from the University prior to any further action required to maintain protection. Upon written request from the inventors/creator(s) that he or she wishes to seek assignment from the University and upon terms and conditions to be agreed, an assignment will be put in place transferring all University's right, title and interest in such IP to the inventor/creator(s). Upon completion, the inventor/creator(s) will be at liberty to protect and/or exploit the IP as he

or she wishes outside of any contractual relationship he or she may have with the University and subject to the interests of third parties. The University reserves the right to be granted a non-exclusive royalty free perpetual licence for use of such IP by the University for nonprofit academic purposes such as internal administrative, promotional, teaching and research purposes.

iii. In advance of investment in or sale of IP, the University's Office of Innovation will assign that IP to Innovation GhanaCU Limited which has responsibility for the commercialisation of GhanaCU's intellectual property portfolio, management of equity holdings and license agreements that relate to start-up businesses and technology transfers.

4.7.6. Distribution of Proceeds

Should Innovation GhanaCU Limited successfully licence IP, this will result in the University receiving a revenue stream from the licensee. Such revenue may be received as an upfront lump sum or as royalty payments received over an agreed term. A standard schedule is provided indicating revenue sharing arrangements which reflect the contribution of the inventor/creator(s), Research Centre or School and Innovation GhanaCU Limited.

i. Licences for Royalty

Where the IP is licensed to a third party, Innovation GhanaCU Limited will be responsible for negotiating and securing the most profitable commercial arrangement available. Revenue generated through licenses will be distributed as follows:

Costs incurred by Innovation GhanaCU Limited in supporting and protecting any IP being licensed may include patent searches, IP application, prosecution and other related IP costs, professional/legal fees and advice, development and marketing costs, etc.

ii. Considerations for Non-Inventors/Creators

Special consideration may be given to any individual who has contributed effort, skill, advice or other invaluable assistance to making and/or developing the invention/creative work jointly with the inventor/creator(s) but who is not a joint inventor/creator (defined herein as a "non-inventor/creator").

Such cases must be presented to the Board of Innovation GhanaCU Limited by the lead inventor/creator(s) and/or relevant Head of the Research Centre or School to which the non-inventor/creator is affiliated.

Each case will be assessed by the Board and the non-inventor/creator(s) shall be considered for receiving a share in the Net Revenue income.

It is expected that any share approved for distribution to one or more non-inventor/creator will come from the inventor/creator's share of Net Revenue income. An IP sharing memorandum shall be prepared for approval by all of the inventors/creators.

iii. Licences for Equity

Where the IP is licensed to a third party in return for equity, on behalf of Innovation GhanaCU Limited, the Office of Innovation will be responsible for negotiating and securing the most beneficial commercial arrangement available, on a case-by-case basis.

Innovation GhanaCU Limited will retain the equity in accordance with the company's Investment Policy.

i. Assignment

Where the IP is to be assigned to a third party, the Office of Innovation will negotiate mutually beneficial and acceptable commercial arrangements on a case by case basis.

v. Disposal of Equity / Liquidation of Assets

Where equity held by a third party is released by Innovation GhanaCU Limited due to liquidation of assets, the Net Revenue will be distributed on the following basis:

Research Centre/ School	66%
Innovation GhanaCU Limited	34%

No allocation of an equity share shall be made to an inventor/creator as it is understood that he / she has benefited, and will continue to benefit, from the original IP agreement. However, if the inventor/creator has not received any benefit from the original IP agreement, or received any equity, then the revenue from release of the equity will be treated.

4.7.7. Resolution of Disputes

This policy constitutes an understanding, which is binding on the University and on the staff and students upon whom it is effective, as a condition for participating in activities of the University or for the use of University funds or facilities. Any question of interpretation or claim arising out of or relating to this policy, or dispute as to ownership rights of IP under this policy, will be settled by the following procedure:

- i. The issue must first be submitted to the Provost in the form of a letter setting forth the grievance or issue to be resolved.
- ii. The Provost will seek to provide arbitration by convening a group consisting of all or some of the following: the relevant Dean, relevant Dean of School /Dean of Research, an Office of Innovation representative, and an IP lawyer, as required.
- iii. If any of the parties to the dispute is not satisfied with the decision of this group, an application may be made to the University Visitor or the party may seek binding arbitration from an independent Ghana registered IP lawyer.

4.7.8. Other

i. Leaving Employment of University

In the case where termination of employment occurs, this will not affect an inventor/creator's right to receive revenue share.

ii. Change of Address

Each inventor/creator who is entitled to revenue payments under the University's revenue sharing arrangements must notify the University in writing of any change of address. An inventor/creator who has left employment or is no longer a student at the University must ensure that the University is notified in writing at all times of his or her current address to where any revenue payments due to him or her may be sent. If the University is not given current address details, then all unclaimed revenue payments for the missing

inventor/creator may be invested in an account until such revenue payments are claimed. Should any revenue payments remain unclaimed for 5 years from the date the revenue is received by the University, the revenue shall revert to the University, which will distribute such revenue payments plus any interest accrued back to the Faculty from which the IP was originated.

iii. Death

In the case of death of an inventor/creator who is due revenue payments, such revenue payments will be payable to the estate of the deceased.

4.7.9. Review of Policy

This Intellectual Property Policy & Procedures is effective from 1 February 2012. This policy will be reviewed by the end December of 2014.

SECTION FIVE

MISCONDUCT IN RESEARCH

5.1. Introduction

Ghana Christian University College aims at fostering an atmosphere of honesty, trust and collaboration between researchers. This will improve the quality and quantity of research and avoid jeopardizing the reputation of the University and possibly damaging the researchers' careers.

Misconduct in research is defined as fabrication, falsification or plagiarism. The results of the misconduct practices defined above will be mistrust in research. In case of misconduct in research disciplinary action will be taken. Misconduct will not include honest error, honest differences in interpretation or judgement of data.

5.2. Establishing Misconduct

Where misconduct is reported, the School Research Committee will form an inquiry into the allegations to determine if the issues which form the basis of the allegations are appropriate for consideration as misconduct.

The report of the findings will be forwarded to the University Research Committee chaired by the Provost for further consideration.

The School Research Committee and the University Research Committee will give the respondent an opportunity to respond to the allegations and determine if any misconduct has been committed. Both will report on allegations and the findings of their investigations.

5.3. Penalty

If misconduct in research is found, the Research Committee of Senate will determine appropriate penalty, which will vary from faculty to faculty and recommend the same to Senate for consideration and necessary action.

5.4. Notification to Funding Organization

On the basis of the determination that there is misconduct in research, the Chairman of Senate shall inform the sponsoring entity in writing.

5.5. Records on Misconduct

All documents related to misconduct in research will become permanent institutional records and will be maintained in strict confidence.

SECTION SIX

UNIVERSITY – INDUSTRY FUNDING RESEARCH

6.1. Introduction

The establishment and maintenance of research relationship with industry will be facilitated if both parties recognize the mission of the University and the policies and principles that guide its actions. The research undertaken jointly by the University and the private sector should aim at creating new knowledge and solutions while maintaining integrity and independence of both parties. More details are on the Ghana Christian University College IPR Policy.

6.1 Acceptance of a Research Project

The University will accept a research project if it is considered to be in the University's best interest to do the research. All research applications will be processed and disbursed through the University Research Committee of Senate.

6.2 Limits on the Sponsors Power

The research sponsors may reasonably define broadly the project they wish to support while the University Principal Investigator will have the discretion in designing, controlling and modifying their sponsored research.

6.3 Publications

Since the purpose of research is to generate new knowledge, and communicate the findings through publications, the freedom to publish must be vigorously guarded. The findings of the researches carried out by the University should be published in the shortest time possible. The funding organization may review the results and materials resulting from the research. Such reviews should not delay publication for more than 180 days from the date they are asked to review for publication. Where the research findings may lead to patentable rights, the University and the private sector funding the research will pursue the patents and the University policy on patent rights will apply thereafter.

Agreements to treat as confidential information generated by research done at the University will be unacceptable unless consistent with University's missions, rules/or policies and will be granted with approval of President.

6.4 Graduate Student Involvement in Private Sector Research

When research involves confidentiality, the students may be constrained from publishing their results freely because the results may involve handling of proprietary information. Unless approved by the Provost, students shall not participate in projects that are funded by private sector.

6.5 Conflict of Interest

Conflict of interest occurs when a member of the University community has a research relationship that requires a commitment of time, effort or resources to non-University activities such that the individual cannot meet the usual obligations to the University.

Members of Ghana Christian University College should avoid relationships, which constitute a conflict of interest or a conflict of commitment.

6.6 Ownership of Inventions

For the purpose of encouraging scientific research,

- a) Inventions resulting from research or other work conducted by University employees wholly on their own time without use of University funds or facilities shall be considered the property of the inventor and will be used by the inventors at their discretion, benefit and cost.
- b) Inventions resulting from research or other work where University resources and/or time has been involved will be considered University property.
- c) An employee may apply for rights of the innovations and the President in consultation with the University Research Committee will decide whether to grant such rights.
- d) Where research was funded by a private sector/industry, innovations will be owned jointly by the funding organization and the University.

6.7 Sharing Incomes from Inventions

This will be shared following the University policy on Patent rights.

SECTION SEVEN

EQUIPMENT PURCHASED USING EXTERNAL RESEARCH FUNDS

7.1 Purchasing of Equipment

All research equipment unless supplied by the donor, will be purchased following the normal University procedure on purchase of equipment.

7.2 Ownership of Equipment

All equipment purchased through research grants will become University property in the department of the applicant at the completion of the project unless otherwise specified in the project proposal. Vehicles bought through project funds will become University property on purchase but exclusively used on the project.

7.3 Repairs

All repairs on equipment shall be undertaken by the project until the end of the project.

Where the cost of repairing equipments exceeds the budgeted allocation, the University will supplement for repairs through University votes.

SECTION EIGHT

CONFLICT OF INTEREST

8.1 Definition of a Conflict of Interest

- 8.1.1. A conflict of interest involves the abuse -- actual, apparent, or potential -- of the trust that people have in professionals.
- 8.1.2. Conflict of interest could be said to exist where financial or other personal considerations have the potential to compromise or bias professional judgment and objectivity.
- 8.1.3. A conflict of interest exists whether or not decisions are affected by a personal interest;
- 8.1.4. A conflict of interest is not considered misconduct in research, since the definition for misconduct is currently limited to fabrication, falsification, and plagiarism.
- 8.1.5. A conflict of interest is involves the use of a person's authority for personal and/or financial gain.
- 8.1.6. Conflicts of interest are broadly divided into two categories:
 - i. intangible, i.e., those involving academic activities and scholarship; and
 - ii. tangible, i.e., those involving financial relationships.

8.2. Conflicts of interest in research

- 8.2.1. The University adopts an internally recognized code which recommends that researchers:
 - i. maintain records of activities that may lead to conflicts, for example: consultancies; membership of committees, boards of directors, advisory groups, or selection committees; and where they hold financial delegation or are in receipt of cash services or equipment from outside bodies; and
 - ii. when invited to join a committee or equivalent, review current activities for actual or apparent conflicts and bring possible conflicts of interest to the attention of those running the process.
- 8.2.2. Researchers should also be aware of and comply with any separate requirements for disclosure of conflicts of interest, from funding bodies.
- 8.2.3. Commercialisation of research is increasingly important to the University and it is recognised that substantial benefits can arise from collaborations and relationships with industry in the licensing and marketing of research discoveries and in the creation of spin-off companies. These activities may also be a source of potential conflicts of interest which need to be appropriately managed.

SECTION NINE

PROFESSIONAL INTEGRITY IN THE CONDUCT OF RESEARCH

9.1. Introduction

9.1.1 The University expects the highest standards of integrity to be adhered to by its researchers. Under this *Code of Practice* the term 'researcher' applies to all staff and students involved in the research process.

9.1.2 The University seeks to promote and promulgate good research practice, emphasising integrity and rigour in research, and to create a culture in which the following general principles and procedures can be observed.

9.2. Integrity in the conduct of research

9.2.1 Researchers should be honest in respect of their own actions in research and in their responses to the actions of other researchers. This applies to the whole range of research work, including experimental design, generating and analysing data, applying for funding, publishing results, and properly acknowledging the direct and indirect contribution of colleagues, research students, collaborators and others.

9.2.2 All researchers must refrain from plagiarism, deception or the fabrication or falsification of results or any other action that could be interpreted as research misconduct.

9.2.3 Researchers are encouraged to report cases of suspected misconduct and to do so in a responsible and appropriate manner, in line with the University's Procedure for the Investigation of Allegations of Research Misconduct.

9.2.4 Researchers should identify, declare and manage any real or potential conflict of interest whether legal, ethical, moral, financial, personal or of any other nature, so that it does not become a complicating or actionable issue.

9.3. Integrity in managing and carrying out research projects

9.3.1 Researchers should take all reasonable measures to ensure they meet sponsor, institutional, legal, ethical and moral obligations in managing and carrying out projects.

9.3.2 Researchers are expected to familiarise themselves with the terms and conditions of any research contract or agreement entered into by the University on their behalf.

9.3.3 Researchers should follow established University financial procedures for expenditure.

9.3.4 The principal or chief investigator with overall responsibility for an individual research program should ensure that it runs within its allocated budget, and ensure that no penalties are incurred by failure to meet the funder or sponsor's requirements, eg: submission of reports according to schedule.

9.4. Guidance from Professional Bodies

9.4.1 The University expects researchers to observe the standards of research practice set out in guidelines published by scientific and learned societies in their disciplines and by other relevant professional bodies

9.4.2 All researchers must familiarise themselves with the legal requirements which regulate their work. Researchers are expected to take steps to stay informed of governmental, institutional and any other regulations, standards or policies in proposing, conducting and reporting research.

9.5. Leadership and Co-operation

9.5.1 A research community free of discrimination should be promoted and encouraged in line with legislation and the University's policies on equality.

9.5.2 Senior academic and research staff should ensure that a research climate of mutual co-operation is created in which all members of a research team are encouraged to develop their skills and in which the open exchange of ideas is fostered.

9.5.3 In line with the principles set out in the Research Concordat, good practice should include mentoring of young, less senior and inexperienced researchers as a mechanism for the development of research activity.

9.6. Supervision of Research Students

9.6.1 The supervision of research students must be carried out as described in the appropriate *Regulations* and associated guidance as set out in the University's the *Research Studies Handbook*.

9.6.2 It is expected that supervisors of research students will supervise all stages of the research process, including outlining or drawing up a hypothesis, protocol design, data recording, data analysis, preparation of manuscripts for submission and publication, reading drafts of chapters and commenting on these in detail both in writing and verbally and the presentation of research output.

9.6.3 Experienced members of staff must ensure that those who are less experienced have an opportunity to gain supervisory practice and that their contribution to supervision is formally acknowledged.

9.6.4 Where there is a conflict of interest between a student and his/her supervisor, the code of practice in the *Research Studies Handbook* should be followed.

9.6.5 Supervisors of research students are expected to undertake training appropriate to their role, in line with the requirements of the University.

9.6.6 Where an individual's record of supervision is poor or where his or her students have regularly failed to submit or complete, the University will consider barring that individual from further supervision.

9.6.7 Research students must provide their supervisors with all files of raw data, appropriately labelled, before submission of the thesis.

9.7. Training and Mentoring

9.7.1 Responsibility for ensuring that students and other new researchers understand good research practice lies with all members of the research community, but particularly with Research Center Directors, Heads of Schools, Research Group leaders, grant holders, supervisors and principal or chief investigators (to avoid confusion, this term is as used on externally-funded research projects to designate the first - or lead - applicant in a list of applicants in the project proposal). It is expected that the principal or chief investigator will be the line manager of staff employed under a grant and will have overall responsibility for the design, conduct and reporting of the study to the funder and/or sponsor. Staff not employed on an externally-funded research grant or contract should have a formally designated line manager.

9.7.2 All researchers must undertake appropriate training, for example in research design, regulatory and ethics approvals and consents, mentoring of junior staff, equipment use, confidentiality, data-management, record-keeping, and data protection.

9.7.3 Line managers/principal/chief investigators must ensure that staff are given time and support to attend appropriate staff development courses.

9.8. Primary Data Samples & Data Transfer

9.8.1 Primary Data/Samples

i. Researchers should clarify at the outset of the program any issues regarding the ownership of the data and samples used or created in the course of the research and also the results of the work. Any issues regarding ownership should be resolved and appropriate material transfer agreements or similar contracts put in place before the research commences.

ii. Researchers must keep clear and accurate records of the procedures followed and the approvals granted during the research process, including records of interim results obtained as well as of the final research outcomes. This is necessary not only as a means of demonstrating proper research practice, but also in case questions are subsequently asked about the conduct of the research, the consent process (for research involving human participants), or the results obtained. It is also important in the process of protecting intellectual property rights.

iii. Consent forms and data generated in the course of research should be kept securely in paper or electronic format, as appropriate. Personal identification/contact information and codes to access anonymised data should be kept separately from the raw data. Updated back-up records of irreplaceable data must always be kept on a University-based personal computer or secure server accessible to all members of the research team.

iv. Laboratory notebooks should be kept, where appropriate, and each key document and any changes should be signed and dated. Pages should not be torn from the notebooks and writing should not be in pencil. Data should be stored in such a way as to allow a complete retrospective audit and records should be monitored regularly to ensure their completeness and accuracy.

v. The University expects such data to be held securely for a minimum period of 6 years from completion of the work; however, research based on clinical samples or relating to public health might require longer storage to allow for long-term follow-up to occur.

vi. Data or samples should be retained for more than 6 years if stipulated by the funder of the research. An archiving procedure has been put in place for material that is to be held for longer than 6 years.

vii. All stored data and samples should be clearly marked with a “do not dispose of before” date.

9.8.2. Transfer of data and research materials

i. All data and research materials generated in the course of research are important to the University as they might contain intellectual property of significant value or be relevant to ongoing or future studies.

ii. Originals of all data must be transferred to the researcher’s supervisor at the end of the period of employment or study, and the whereabouts of all other materials or samples must be clearly indicated.

9.9. Ethical and Regulatory Approval

9.9.1. Research involving Human Participants and Human Material

i. Approval from the appropriate research ethics committee(s) must be sought for all research involving human participants, samples or data in accordance with the University’s policies and procedures.

ii. Research which requires ethical approval must not commence until this approval has been obtained nor deviate from the approved protocol without new ethical approval; i.e. ethical approval must be sought and obtained prior to implementing any amendment to or deviation from the protocol originally approved.

iii. Researchers shall carry out investigations or interventions only with the valid informed consent of participants, having taken all reasonable steps to ensure that they have adequately understood the nature of the investigation or intervention and its anticipated consequences.

9.9.2. Research involving Animals

At an early stage in the research design researchers should consider opportunities for the reduction, replacement and refinement of animal involvement.

9.10. Openness

9.10.1 While recognising the need for researchers to protect their own research interests, and to seek protection for any intellectual property identified during the course of the research, the University encourages its researchers to be as open as possible in discussing their work with other researchers and with the public.

10.2 Once results have been published, the University expects researchers to make available relevant data and materials to other researchers, on request, provided that this is consistent with any ethics approvals and consents which cover the data and materials and any intellectual property rights in them.

9.10.3 The University recognises that publication of the results of research may need to be delayed for a reasonable period pending protection of intellectual property arising from the research or the due process that may be required by a sponsoring or funding organisation. However, any such periods of delay in publication should be kept to a minimum and the duration should be agreed in advance with a sponsor or other funder.

9.10.4 Researchers must adhere to the requirements of research funders regarding the handling, preservation and deposit of research data.

9.11. Intellectual Property Rights and Ownership

9.11.1 Intellectual property includes patents, registered designs, copyright, design rights and know-how. Creative work, including research and development, can lead to intellectual property rights (IPR) and some of these can be protected under one or more headings.

9.11.2 In patent law, the intellectual property created during an employee's normal or specifically assigned activities belongs to the employer. This means that the IPR arising from the activities of University staff usually belongs to the University. Where work is being carried out under contract with an outside agency, specific provisions about IPR may apply. For instance, the University may be requested to assign its rights to the funder or sponsor, usually in exchange for some benefit.

9.11.3 Researchers who identify IPR should follow The University Code of Practice on Intellectual Property Rights

9.12. Publication Practice

9.12.1 The agreement of all co-authors/contributors must be sought as to the convention of authorship and the order of names to appear on publications resulting from work prior to any submission for publication.

9.12.2 Results should be published in an appropriate form, such as papers in refereed journals, authored books, etc. Researchers should make all reasonable efforts to disseminate their research results as widely as possible to the academic community through papers, books, presentations or other suitable media and, where appropriate, to the public. Where a study has involved research participants, they should normally be informed of the outcome of the study and thanked for their participation.

9.12.3 The lead author on any paper must ensure that all co-authors are familiar with, and approve of, the contents of the paper and can identify their contributions prior to submission for peer review.

9.12.4 Anyone listed as an author on a paper should accept responsibility for ensuring that he/she is familiar with the contents of the paper and can identify his/her contribution to it. The practice of honorary authorship is unacceptable.

9.12.5 The contributions of formal collaborators and all others who directly assist or indirectly support the research should be properly acknowledged.

9.12.6 An example of good publication practice can be found in the Committee on Publication Ethics guidelines “Good Publication Practice”

9.13. Review and audit

9.13.1 To ensure that they are in compliance with all legal, regulatory, procedural and other requirements, studies may be subject to review or audit at any time.

SECTION TEN

PROCEDURE FOR THE INVESTIGATION OF ALLEGATIONS OF RESEARCH MISCONDUCT

10.1. Introduction

It is a requirement of this procedure that all allegations of research misconduct must be reported to a single individual known as the Named Person. It is the role of the Named Person (NP) to arrange investigation of allegations in line with the procedures, supported by the University Research Office or other administrative department as appropriate.

Until further notice the University's Named Person will be the Provost

10.2. Making an allegation of research misconduct

Allegations of research misconduct should be made to the NP in writing. It is recommended that all correspondence should be marked as confidential and for the attention of the addressee only. Allegations may be made in confidence, although it is expected that the identity of the Complainant will be divulged to those involved in the investigation. The University is under no obligation to investigate allegations made anonymously but may choose to do so depending upon the supporting information provided.

10.3. Procedure for Investigation

The University's procedures are contained within a 5 Stage process as detailed below.

10.3.1 *Stage 1 Receipt of an allegation of research misconduct*

- i. Upon receipt of an allegation of research misconduct the NP will: review the nature of the allegations and if necessary, depending upon the seriousness or immediacy of the concerns raised, take steps to stop any further activity; where there are regulatory or legal implications, take steps to inform the appropriate authority or the police as required; where there is a *prima facie* requirement invoke University disciplinary procedures, overriding the procedure for investigating research misconduct and inform the appropriate University departments; acknowledge receipt of the allegations in a response to the Complainant and advise him/her of the procedure that will be

followed; and Seek to determine if the allegations fall within the definition of research misconduct as defined in Appendix I to this document.

ii. If it is determined that the allegations do not fall within the definition of research misconduct as defined in **Appendix I**, the NP should write to the Complainant indicating:

- (a) why the allegations cannot be investigated using this procedure;
- (b) which University or other process, if any, might be appropriate; and
- (c) to whom the allegations should be reported.

iii. If it is determined that the allegations fall within the definition of research misconduct the NP will notify the following that an investigation is to take place:

- (a) President
- (b) Provost
- (c) Vice President (Finance & Administration)

iv. The notification will be in writing, in confidence and will indicate:

- (a) the nature of the allegations
- (b) the name of the Respondent;
- (c) the name of the Complainant;
- (d) details of any financial implications;
- (e) details of any external collaborators;
- (f) any other appropriate information.

v. The NP will then seek, in collaboration with the individuals named above, to establish the employment status of the Respondent and any specific contractual details of the research in question, including the involvement of external funding, sponsoring or other organisations and whether or not these should be involved in the investigation and at what stage they should be informed of the allegations.

10.3.2 *Stage 2 Informing the Respondent*

- i. The NP will inform the Respondent that allegations of research misconduct have been made against him/her; this will take place formally at a meeting with a representative of HR in attendance.
- ii. The Respondent will be informed of the purpose of the meeting in advance and will be entitled to be accompanied by a colleague or trade union representative.
- iii. At the meeting the Respondent will be provided with a written summary of the allegations and with a copy of the procedures.
- iv. The Respondent will be informed that he/she will be given the opportunity to respond to the allegations at a later stage.

10.3.3 *Stage 3 Review of information and evidence*

i. Upon receiving the allegation and normally within 10 working days, the NP will appoint a lead reviewer, in accordance with the principles outlined in Appendix III to this document.

ii. The lead reviewer will seek to ensure that all relevant information and evidence including, where appropriate, research records, laboratory or other notebooks or similar, are secured and available and will, where appropriate, interview the Complainant and Respondent.

iii. Where it is thought to be necessary, consideration should be given to seeking the suspension of the Respondent from his/her duties or to restrict his/her access to premises, colleagues and research materials relevant to the investigation.

iv. Such steps should only be taken in agreement with the appropriate University authorities and should take into account the seriousness of the allegations and the overall duties of the Respondent.

v. The lead reviewer will draft a report based on a review of the information and evidence and will determine if the allegations of research misconduct:

- (a) are mistaken, frivolous, vexatious or malicious;
- (b) have some substance but due to lack of intent to deceive or due to being minor in nature should be addressed through education and training in preference to disciplinary proceedings;
- (c) have a basis that is sufficiently complex to justify further investigation; or are clearly substantiated

vi. It is expected that Stage 3 of the process will normally be completed and a that report will be submitted to the Named Person within 20 working days of the appointment of the lead reviewer.

vii. Where the report indicates that the allegations are mistaken, frivolous, vexatious or malicious, they will be dismissed by the NP who will inform the Respondent, Complainant and those above and steps will be taken to ensure that the reputation of the Respondent is protected.

If the allegations:

- (a) have been determined to be frivolous, vexatious or malicious, the University will consider whether or not to take disciplinary action against the Complainant;
- (b) have substance but due to lack of intent to deceive or due to being minor in nature should be addressed through education and training in made available to the Respondent and the investigation procedure will be terminated and all concerned, including those above will be informed

viii. Where the content or findings of the report are sufficiently complex to justify further investigation, the NP will take appropriate steps as indicated under stage 4 (below).

ix. Where the report indicates that the allegations are clearly substantiated, the NP will write to the Respondent, enclosing a copy of the report, and inviting him/her to respond to the findings and present any additional evidence within 10 working days;

x. Upon receipt of the response to the findings, the NP will invite the Respondent and his/her representative to attend a meeting at which the response and any additional evidence will be considered;

xi. Where the NP considers that the response and/or any additional evidence require further investigation, steps will be taken as described under Stage 4 (below).

xii. Where the NP considers that the response and/or any additional evidence do not require further investigation, the matter will be referred to the appropriate departments for the consideration of disciplinary or other appropriate action.

10.3.4 *Stage 4 Further Investigation*

i. If the review of the information and evidence (Stage 3 above) determines that further investigation is required or justified, the NP will inform the following:

- i. the Respondent (and any representative by agreement)
- ii. the Complainant (and any representative by agreement)
- iii. President
- iv. Provost
- v. Director of Human Resources
- vi. the NP at any partner or collaborating organisation

ii. The NP will appoint an Investigating Panel within 10 days of receiving the report under 4.3 (above) in accordance with the principles outlined in Appendix IV to this document.

iii. The Investigating Panel will hold a hearing, interview the Respondent and the Complainant, review all of the relevant evidence, including evidence gathered during the review under stage 3 (above), and will conclude whether or not the allegation of research misconduct is substantiated.

iv. Where the Investigating Panel determines that the allegations are not substantiated because they are mistaken, frivolous, vexatious or malicious they will be dismissed, steps will be taken to ensure that the reputation of the Respondent is protected and all concerned, including those named above, will be informed.

v. If the allegations have been determined to be frivolous, vexatious or malicious, the University will consider whether or not to initiate disciplinary action against the Complainant.

vi. Evidence brought to light during the investigation that suggests:
Further distinct instances of research misconduct by the Respondent; or Research misconduct by another person or persons should be made known to the NP by the Investigating Panel for consideration under the initial steps of the procedure (see 4.1 etc above).

vii. It is expected that the Investigating Panel will report progress with the investigation to the NP on a regular basis.

viii. The NP will inform other parties as appropriate.

10.3.5 *Stage 5 Report of the Investigating Panel*

- i. At the conclusion of the investigation, the Investigating Panel will produce a report which will:
- (a) summarise the conduct of the investigation;
 - (b) state whether or not the allegation of research misconduct has been upheld;
 - (c) indicate reasons for the decision;
 - (d) identify and make recommendations relating to any other instances of
 - (e) misconduct discovered during the investigation;

- (f) address any procedural, management, structural or regulatory matters brought to light by the investigation;
- (g) make recommendations relating to the ongoing conduct of and
- (h) amendments to the particular piece of research under investigation.

ii. The report will be provided to the NP who will inform the following of the conclusion of the investigation:

- (a) Respondent (and any representative by agreement)
- (b) Complainant (and any representative by agreement)
- (c) President
- (d) Dean of Research and Innovation
- (e) Director of HR
- (f) Director of Finance
- (g) Dean/Head of School
- (h) NP at any collaborating organization
- (i) Relevant funding or sponsoring organisations

iii. If the report indicates that the allegations are substantiated in full or in part, the NP, the Director of HR, the Dean (R&I) and Provost will decide whether or not the matter should be addressed through the University's disciplinary procedures.

iv. Where the University determines that the matter should be addressed through the disciplinary procedures, it is expected that the report and evidence provided by the investigating panel will be transferred to the disciplinary process.

SECTION ELEVEN

FORCE MAJEURE/ACT OF GOD

11.1 Introduction

Non-performance of a research that has been undertaken by a member of staff/postgraduate student under any given contract shall be excused to the extent that such performance is prevented by circumstances beyond the reasonable control of Ghana Christian University College and/or the donor agency. The circumstances may include strike, fire, flood, hurricane lighting, windstorm, explosion, earthquake, catastrophic climatic conditions, act of nature or public enemy, war, insurrection, revolution, governmental regulation, order of decree, uncontrollable delay in transport, inability to obtain necessary materials, failure or destruction, in whole or in part, of machinery or equipment, labour shortage, conclusion, collision, grave illness, death, discontinuity in supply of power, or any other cause, beyond the reasonable control of the parties.

11.2 Ethical Considerations

The Research Committee of Senate is committed to promoting research that conforms to internationally recognize ethical principles. In pursuit of this ideal, all research proposals presented for possible funding through the University Research Fund shall have undergone ethical review and approval by a duly constituted and competent body. All proposals on research involving human subjects shall be reviewed by the Council for Scientific & Industrial Research (CSIR). Other *School* Research Committees shall identify discipline/ sector specific research ethics issues and put in place mechanisms for ethics review as relevant to their areas, either individually, or in collaboration with CSIR.

Appendix 1

DECLARATION BY THE RESEARCHER:

I **PF/ID No.**

Declare that I have read the Ghana Christian University College Research Policy and understood its content and meaning, and I undertake to abide by them.

Signed by Researcher **Date**

DEPARTMENT:

Signed by Head of Department:

SCHOOL:

Signed by Dean of School:

Appendix II

Definition of Research Misconduct

The following are intended as examples of research misconduct.

- Fabrication
- Falsification
- Misrepresentation of data and/or interests or involvement
- Plagiarism

Failure to follow procedures, regulations or legislation in relation to:

- risk or harm to human subjects (including their data or tissues), animals or the environment
- the proper handling and storage of personal information obtained from research subjects

For the avoidance of doubt, misconduct in research includes acts of omission as well as acts of commission. In addition, the standards by which allegations of misconduct in research should be judged should be those prevailing in the country in question and at the date upon which the behaviour under investigation took place.

The basis for reaching a conclusion that an individual is responsible for misconduct in research lies on a judgement that there was an intention to commit the misconduct and/or recklessness in the conduct of any aspect of a research project. Where allegations concern an intentional and/or reckless departure from accepted procedures in the conduct of research that may not fall directly within the terms detailed above, a judgement should be made as to whether or not the matter should be investigated using the Procedure.

Appendix III Named Person (NP)

The Named Person should:

- i. be an individual within the organisation with significant knowledge and experience of research.
- ii. have responsibility for:
 - a. receiving any allegations of misconduct in research;
 - b. initiating and supervising the procedure for investigating such allegations;
 - c. maintaining the overall information record during the investigation;
 - d. taking decisions at key stages of the Procedure.
- iii. Have a nominated alternate who will receive allegations of research misconduct and initiate and supervise the Procedure in the absence of the Named Person.

The Named Person and his/her alternate should not be:

- i. the Head of the Organisation;
- ii. the Head of Research; or
- iii. the Head of Human Resources/Personnel

The University has nominated an appropriate senior officer (Provost) to act as the Named Person. An alternate will be nominated to deal with cases for which the Named Person is not available or in which there is a conflict of interest.

Appendix IV

Review of Information and evidence

This stage of the procedure is intended to determine whether or not there is *prima facie* evidence of misconduct in research. Its purpose is to review allegations of misconduct in research which have received initial consideration by the Named Person and are viewed as:

- not encompassing breaches of the law or areas within the domain of the relevant regulatory authority;
- not encompassing breaches of the University's regulations such as might require the immediate implementation of the disciplinary process;
- constituting research activity for which the University is the Sponsor or for which the University has primary responsibility;
- involving a Respondent where the University is the primary employer or where it has primary responsibility, agreed with other employing organizations; and
- having substance, in that it is not considered **at this stage**, to be mistaken, frivolous, vexatious and/or malicious.

The Lead Reviewer

1. The lead reviewer will be a senior member of staff appointed by the Named Person.
2. In appointing the lead reviewer, the Named Person should consider:
 - the subject matter of the allegations, including whether or not it would be advantageous for him or her to possess any specialised knowledge or investigative skill;
 - any conflicts of interest that might arise;
 - any links with any of the persons involved (Respondent or Complainant);
 - any personal connections with the subject matter of the allegations; and
 - any connections with the work through, for example, the University's groups established to review proposals for research or ethics committees.
3. The Named Person must **not** seek to influence the work of the lead reviewer.

Terms of Reference for the Lead Reviewer

1. The lead reviewer should confirm that they:
 - will adhere to the principles of the procedure;

- will abide by the procedure as it affects the conduct of the review;
- will work within the Terms of Reference for the review;
- have declared any links to the research and/or the individuals involved in the allegations or any interest which might conflict with the principles of the procedure; and
- will maintain the confidentiality of the proceedings throughout the process and afterwards, unless formally sanctioned by the University or otherwise required to by law.

2. The lead reviewer will:

- i. maintain a record of evidence sought and received, and conclusions reached, supported by an appropriate administrative resource
- ii. conduct an assessment of the evidence including, where necessary, interviewing the Respondent and Complainant and other staff or witnesses whom they consider relevant to the investigation
- iii. produce a report which considers the allegations of misconduct in research and make a recommendation that these:
 - are mistaken, frivolous, vexatious or malicious;
 - have some substance but due to lack of intent to deceive or due to being minor in nature should be addressed through education and training in preference to disciplinary proceedings;
 - are clearly substantiated and should be referred to be dealt with through the University's disciplinary procedures; or
 - have a basis that is sufficiently complex to justify further investigation.
 - provide this report to the Named Person
 - aim to complete this stage of the process **within 20 working days.**

3. Following submission of the report the work of the lead reviewer is complete. He or she should take no part in any further investigation of the matter or make any comment on the continuing investigation, unless formally sanctioned by the University or otherwise required to by law and undertake to ensure that all information concerning the case will be held in confidence.

Note: the University may add to the Terms of Reference to address specific aspects of the investigation. those interviewed by the lead reviewer may be accompanied by a fellow employee or a trade union representative; the University may not be in a position to compel those with information to provide that information to the lead reviewer.

Appendix V

Investigating Panel

An Investigating Panel should be convened to investigate allegations of misconduct in research which have passed through the review stage and are therefore considered to have a basis that is sufficiently complex to justify further investigation.

The Investigating Panel

1. The Investigating Panel should consist of three members, selected by the Named Person from those with relevant skills and experience to serve on such a panel; the chair of the panel will be appointed by the Named Person.
2. The Named Person must **not** be a member, nor seek to influence the work, of the Investigating Panel.
3. In appointing the members of the Investigating Panel, the Named Person should consider:
 - i. the subject matter of the allegations, including whether it would be advantageous for members of the panel to possess any specialized knowledge or investigative skills;
 - ii. any potential conflicts of interest; any potential links with any of the persons involved (Respondents or Complainants), or personal connections with the subject matter of the allegations;
 - iii. whether a nominee was involved in the review stage of the process, as this excludes such a person from serving on the Investigating Panel; and
 - iv. any connections with the work through, for example, the University's groups established to review proposals for research or its ethics committee(s).
4. It is recommended that one or more members of the Investigating Panel be selected from outside the University. Such external members replace internal members of the panel rather than being in addition to them. Allegations that involve senior staff and/or that are judged to be especially serious, complex or controversial may benefit particularly from a member who is not associated with the University. There would also be advantage in the review of allegations that involved staff on joint clinical/honorary contracts for the panel to include an appropriate member of staff from the other employing organization(s).
5. The Named Person may choose to consult the senate to nominate member(s) from the Register of Advisers to sit as member(s) of the Investigation Panel.
6. At least one member of the Panel should have experience in research discipline related to that in which the alleged misconduct has taken place, although they should not be members of the department concerned.
7. Once convened, the membership of the Investigating Panel should not be changed or added to. Members who are not able to continue should not be replaced. In the event that the Chair stands down or

the membership falls below three, the Named Person should take steps to recruit additional members or restart the investigation process.

Terms of Reference of the Investigating Panel

1. Members appointed to the Investigating Panel should confirm that they:

- i. will adhere to the principles of the procedure;
- (c) will abide by the procedure as it affects the work of the Investigating Panel;
- (d) will work within the Terms of Reference for the Investigating Panel;
- v. have declared any links to the research and/or the individuals involved in the
- vi. allegations or any interests which might conflict with the principles of the procedure; and will respect the confidentiality of the proceedings throughout the work of the
- vii. panel and afterwards, unless formally sanctioned by the University or otherwise required to by law.

2. The Investigating Panel will:

- receive all relevant information from the lead reviewer as background for the investigation;
- set a date for commencing the investigation, which should be conducted as quickly as possible without compromising the stated principles of the procedure;
- set an intended date for the completion of the investigation, which should be as soon as is practical without compromising the principles of the procedure;
- maintain a record of evidence sought and received, and conclusions reached, supported by an appropriate administrative resource;
- conduct an assessment of the evidence;
- interview the Complainant and such other individuals, including expert witnesses, as the panel consider relevant to the investigation;
- hold a hearing, at which the Respondent must be given the opportunity to set out his/her case and respond to the allegations made against him/her;
- consider the allegations of misconduct in research and reach a conclusion on the allegations;
- report progress in writing, with reference to the dates agreed by the Panel, to the Named Person during protracted investigations;
- report any further, distinct, instances of misconduct in research by the Respondent which may be disclosed, unconnected to the allegations under investigation and/or misconduct in research by another person or persons, to the Named Person in writing, along with supporting evidence; and
- aim to reach a unanimous decision, failing which a majority decision will be acceptable.

Note that the Investigating Panel may conclude that allegations are partly or fully substantiated. .

3. The Investigating Panel should then produce a final report that:

- summarises the conduct of the investigation;
- states whether the allegations of misconduct in research have been partly or fully substantiated, giving the reasons for its decision and recording any differing views;

- makes recommendations in relation to any matters relating to any other misconduct identified during the investigation; and
- addresses any procedural matters that the investigation has brought to light within the University and relevant partner organizations and/or funding bodies.

In addition to reaching a conclusion over the nature of the allegations, the Investigating Panel may make recommendations with respect to:

- whether the allegations should be referred to the relevant University's disciplinary process;
- whether any action will be required to correct the record of research;
- whether University matters should be addressed by the University through a review of the management of research; and
- other matters that should be investigated.

4. The Report should be sent to the Named Person who will inform the following of the conclusion of the investigation:

- the Respondent and the Complainant (and their representatives by agreement);
- the President, the Provost, the Director of Human Resources, the relevant Dean and Head(s) of the relevant Department(s)/School(s) and any other relevant members of staff;
- If the Respondent and/or Complainant are employed on joint clinical/honorary contracts, the Named Person, the Head of Personnel and the Head of Research of the other employing organization(s);
- Where appropriate, the Named Person should notify any relevant partner Universities, funding bodies and/or regulatory or professional bodies; and
- Additionally, the Named Person may wish to inform Senate of the conclusion of the Formal Investigation.

5. Once it has completed the report and reached a conclusion, the work of the Investigating Panel is complete and it should be disbanded and members should take no part in any further investigation of the matter, unless formally asked to clarify a point in their written report at a subsequent investigation. As the matter may then give rise to disciplinary or other action, members of the disbanded Investigating Panel should not make any comment on the matter in question, unless formally sanctioned by the University or otherwise to by law. They should also remember that all information concerning the case was given to them in confidence.

6. Note:

- i. the University may add to the Terms of Reference to address specific aspects of the investigation;
- ii. those interviewed by the Investigating Panel may be accompanied by a fellow employee or a trade union representative;
- iii. the University may not be in a position to compel those with information to attend, or to provide that information to the Panel.

7. Any queries or requests for comment addressed to members of the Investigating Panel should be referred to the Named Person.

8. The Chairperson of the Investigating Panel will present the findings of the investigation to any disciplinary panel; otherwise, the involvement of any individual in the review process or membership of the Investigating Panel will rule out participation in the disciplinary process.