UNIVERSITY OF EDUCATION WINNEBA

UNIVERSITY RESEARCH POLICY

March, 2010

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FOREWORD

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The Committee identified these and other factors as being part of the problem of lack of vibrant research culture within the University. The Committee therefore appreciated that there was the need to develop a working research policy for the University not only to guide staff in their research endeavours, but also to make them aware as well as to make the structures and systems for managing research and funding procedures transparent.

This document therefore provides a working policy to guide staff in their research activities and management. Research Management can be defined as including any action that a university can take to improve the effectiveness of its researchers, but which is not part of the research process itself. Examples include measures to help improve academic awareness of funding or collaborating opportunities, including preparing and processing proposal applications to assist researchers to present their ideas more effectively to donors, advice to ensure that research takes place on terms that are advantageous to the university, that researchers meet their obligations to sponsors in a timely way, and that research results are effectively disseminated to wider society, and where appropriate commercialized.

APPENDIX

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Author:

I hereby assign to University of Education, Winneba the copyright in the work identified above and any supplementary materials or other information submitted therewith (the "work") in all forms and media (whether now known or hereafter developed), throughout the world, in all languages, for the full term of copyright and all extensions and renewals thereof, effective when and if the work is accepted for publication. The transfer includes the right to adapt the presentation of the work for use in conjunction with computer systems, and programs, including reproduction or publication in machine-readable form and incorporation in electronic retrievable systems.

Authors retain or hereby granted (without the need to obtain further permission) rights to use the work for traditional scholarship communications, for teaching and for distribution within their institution.

Signed: ....   Name printed ....

Title and Company (if employer representative): ....

Date: ....

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United States Department of Health and Human Services Public Health Policies on research misconduct final rule. 42 CFR parts 50 and 93; Fed Reg 2005;70:28370-28400.

PREFACE

In an attempt to build a research culture in line with the University's research mission, as well as tô standardise the various research activities within UEW, it has become necessary for the University to formally operate a policy on research that will guide both staff and students in their research endeavours. I am delighted therefore to introduce to you this research policy which has been approved by the Academic Board of the University. Policies are not self-executive and therefore there is the need to ensure that this research policy is executed and monitored if it is going to be effective. To this end, I am also glad to announce that the Academic Board has approved the transfer of the University's research management functions from the School of Research and Graduate Studies (SRGS) to the Externally Funded Projects Office (EFPO) with the capacity to oversee the execution and monitoring of the University Research Policy. This new office will from now on be called the 'Office for Externally Funded Research and Management' (OEFRM) and will function separately from the then School of Research and Graduate Studies (henceforth to be known as School of Graduate Studies).

Research activities within the University have been very fragmented with individual staff or centres 'doing their own thing' and at times creating unnecessary repetitions. It is my belief that this policy document will provide us with the supportive conditions and organizational structures that are necessary for quality research. It is my hope that among other things, this policy will drive the University research agenda within its mission, provide structure to staff research activities within the University, promote a culture of research within the University, ensure transparency of the University's research agenda and enable the University to achieve a proper balance between research and teaching I therefore call on all staff within the University community to work together towards ensuring the effective implementation of this policy.

Prof. Akwasi Asabere-Ameyaw
Vice-Chancellor
University of Education, Winneba

FOREWORD

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POLICY DEVELOPING PROCESS

The first initiative to develop a research policy to facilitate staff research activities and outputs was made in 2007 through the Carnegie Programme to Improve Research Management in African Universities.

The Carnegie Programme to Improve Research Management in African Universities is a joint venture involving the SRA, ACU, and the Southern African Research and Innovation Management Association (SARIMA). This was the result of a grant approved by the Carnegie Corporation of New York for work on the above project.

UEW was invited to join a small group of African institutions to work on the project and was a follow-up to a study visit that the then Vice Chancellor, Prof Jophus Anamuah-Mensah, made to the United States in 2003, and the research management workshop that a team from SRA presented at UEW in March, 2005.

The end product of the Carnegie programme is the current initiatives to transform the University External Funds Office into the Office for Externally Funded Research and Management in an attempt to develop research management structures at UEW that would facilitate and sustain staff research enterprises. The present University Research Policy document can be seen as the first initiative in the developmental process.

The first draft of the policy was developed by a sub-committee constituted by the Vice-Chancellor through the RCSC in February, 2007, and consisted of three members – the then Director of Research, Dr. Richard Ofori, the Pro-Vice Chancellor and chairman of the sub-committee, Prof. Mawutor Avoke, and Dr. Jonathan Ammah.

In a series of Staff Research Skills Capacity Building Workshops organised and facilitated by the then Director of Research, the draft research policy was presented to workshop members as a way of soliciting their input. Some of the contents of the draft were guided by feedback from this workshop and results of surveys, although the attendance at the workshops and responses to the surveys were very poor. The momentum for developing the policy picked up again in 2009 when the draft was presented to the RCSC in April, 2009 for input and discussion. Following this, the policy was revised and the final version was presented to and approved by the RCSC at its meeting in December, 2009. In March, 2010 the final draft was presented to the Academic Board by the Vice-Chancellor for approval and acceptance as an official University policy.

SECTION SEVEN: FINANCIAL MATTERS

7.1 FINANCIAL OBLIGATIONS

(a)   Generally, research expenses must be reasonable and allowable under government and University rules and regulations. 'Reasonable' means that a prudent person would have purchased this item and paid this price.

(b)   Research funds must be expended as approved by the Research, Conferences and Scholarships Committee or any other funding organisation and within the restrictions of the grant.

(c)   Management of research funds: Recipients of research grants shall be required to report both on the academic content of their research, and on their use of the funds to OEFRM.

7.2 EXTERNALLY FUNDED RESEARCH

Research funded externally will be surcharged 15% of the direct cost of the research (e.g. consultancy fees) as overheads to the University. However, this may be waived at the discretion of the Vice-Chancellor. Consultancy fees for externally funded work undertaken by staff for which it is of direct benefit to the University will not be surcharged.

SECTION EIGHT: CAPACITY BUILDING

Each research plan should endeavour to demonstrate ways in which capacity building has been or is being addressed; for example, mentorship relating to the training of postgraduate and junior researchers.

The University shall make provision for mentoring as an essential component of every research project.

An appropriate percentage of the research fund (as determined by the Research, Conferences, and Scholarship Committee from time to time) shall be devoted to research by junior staff.

Research management activity has expanded rapidly in universities throughout the world over the past twenty years. Surveys by the Association of Commonwealth Universities (ACU) show, however, that African universities have been behind in this process, thus further compounding their existing disadvantages of lack of resources and human capacity.

The transformation of UEW's Externally Funded Projects Office into a research management office with agreed functions within the university was made possible by a grant from the Carnegie Project to Improve Research Management in African Universities and was a joint venture involving Society of Research Administrators International (SRA) and the ACU. This Research Policy document should therefore be seen as an important component of the research management process to assist the university to convert its awareness of research management issues into robust, sustainable structures. Section One of the document introduces the aims of research in line with the University's research mission and strategic plan, while Section Two identifies the research support systems and structures within the University. Section Three of the policy focuses on Academic issues related to staff research and outlines the general principles to guide staff research as well as the criteria for appraising staff research projects submitted to the RCSC for consideration. **Section Four addresses the code of ethics and safety in the conduct of research, while Section Five focuses on issues involving scientific misconduct relating to staff research. Issues relating to intellectual property are clarified in Section Six, while Section Seven deals with financial matters arising out of external research funds attracted by individual staff or teams into the University. Finally, Section Eight focuses on capacity building issues and focuses on ways** in which capacity building should be addressed, such as for example, mentorship relating to the training of postgraduate and junior researchers.

Prof Mawutor Avoke
Pro Vice Chancellor

Dr. Richard Ofori
Director, National Centre for Research into Basic Education (NCRIBE)

SECTION ONE: INTRODUCTION

It is the responsibility of the University to promote and nurture a milieu conducive to research. In achieving this, the aims of research in line with the University's research mission shall be to:

i.   Contribute to national and international research activities and programmes;

ii.   Utilise, exploit and contribute to developments in Education, Social Sciences, Arts and Humanities and Science and Technology and other fields for national growth and development and the overall benefit of humankind; and

iii. Direct human and capital resources toward generating new knowledge, ideas and practices with the goal of enriching the quality of life.

(a)   and did not make significant use of University resources or the services of University non-academic employees working within the scope of their employment.

6.7.2   SOFT AND COURSE WARE PROGRAMS

Courses taught and course and software programmes, including videotapes, CD-ROMs and related ICT materials, developed for teaching at UEW are the property of UEW and may not be further distributed without permission from the appropriate units of the University.

6.7.3   COPYRIGHT NOTICES

(a)   In safeguarding the University's copyright, the following notice should be placed on works owned by UEW.

Copyright © [year] University of Education Winneba, Ghana. All Rights Reserved.

(b)   Copyrightable works that are subject to sponsored research agreements or other contractual obligations of the University shall be owned by the University, so that the University may satisfy its contractual obligations.

(c)   No other institutional or departmental name is to be used in copyright notice, although the name and address of the Department to which readers can direct inquiries may be listed below the copyright notice. The date in the notice should be the year in which the work is first published i.e. distributed to the public or any sizeable audience.

6.7.4   RECONVEYANCE OF COPYRIGHT TO CREATOR

When copyright is assigned to UEW because of the provisions of this policy, the creator of the copyrighted material may make a request to the Vice-Chancellor that ownership be re-conveyed back to the creator. Such a request can, at the discretion of the Vice-Chancellor be granted if it does not: (i) violate any legal obligations of or to the University, (ii) create a real or potential conflict of interest for the creator or (iii) otherwise conflict with the University goals and principles.

6.8   PROPRIETARY INFORMATION

Proprietary information arising out of University work (e.g. actual and proposed terms of research agreements, financial arrangements or confidential business information) shall be owned by the University. The University shall own trade or service marks relating to goods or services it distributes.

- Assisting in the design of proposals
- Organizing Research skills capacity building workshops for staff
- Assisting in budget preparations in proposals
- Review proposals prior to submission
- Duplicating and mailing proposals
- Completing University documents for accepting contracts
- Negotiating grants and contracts
- Monitoring staff research activities
- Monitoring the University research policy
- Advising on legal issues relating to research

Post-award Unit
Functions:

- Financial accounting of sponsored programmes
- Appropriate expenditure of grant funds
- Building relationships with funding bodies as well researchers
- Ensuring research staff meet deadlines
- Link between University and Funding bodies
- Link between individual researchers and funding bodies
- Promoting a vibrant research culture within the University
- Advising on legal issues relating to research
- Monitoring the University Research policy

(b)   School of Graduate Studies (SGS)

The primary functions of the SGS shall be to:

i.   Formulate and implement academic regulations and procedures in relation to   postgraduate education consonant with the mission and strategic objectives of the   University.

ii.   Ensure the execution of agreed University research policies within the Faculties, with particular regard to research training of postgraduate students.

iii. Develop and ensure the operation of quality assurance systems in respect of postgraduate research and education within the University.

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(a)   Inventions created by visitors as a result of more than incidental use of UEW's research facilities and equipment shall be disclosed to UEW, and UEW will share ownership of such inventions with the visitor's employer or otherwise manage intellectual property in a mutually agreeable way.

6.3   CONFLICT OF COMMITMENT

The University reserves the right to know about all research activities undertaken by its staff, students and persons working under its umbrella.

The RCSC via the OEFRM must be informed of potential cases of conflict   with the University's philosophy by researchers engaged in work at or working under the umbrella of the University.

Students at UEW are expected to be engaged full-time in their academic activities, except students on distance learning or sandwich programmes. However in the course of pursuing their studies, they should not make more than incidental use of UEW resources with outside entities that are not part of their UEW activities.

6.4   CONFLICT OF INTEREST

(a)   The University encourages transfer of technology among both its staff and students in collaboration with the private sector to benefit society. But, in technology transfers, a conflict of interest may occur where there is overlap and conflict between an individual's private interest and his or her professional obligations to the University, such that an independent observer might reasonably question whether the person's professional actions or decisions are based on personal and financial gains, or otherwise. In this case it is wrong for the person's actions or decisions made in the course of his or her University work to be determined by considerations of personal financial gain.

Staff as well as students must disclose on a timely basis the creation or discovery of all potentially patentable inventions created or discovered with more than incidental use of University resources. As

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(a) already pointed out in (c) above, ownership of such inventions must be assigned to the University, irrespective of the source of funding. However, the inventor will share in any royalties earned.

6.5 DISPOSITION OF ASSETS FROM SPONSORED PROJECTS

(a) The OEFRM shall have a documentation of sponsored project agreements which must always include the terms and conditions for the disposition of tangible assets (e.g. equipment, vehicles, reports, theses or dissertations) or intangible assets such as rights to data, copyrights and inventions.

(b) At the end of each project, the OEFRM must ensure that all research equipment purchased with UEW funding for the project are kept at a University designated place for the benefit of other researchers.

(c) Findings of research or scholarship conducted at UEW must be disseminated on a transparent and timely basis to the broader scholarly community and the general public.

6.6 CONDITIONS FOR USING UNIVERSITY RESOURCES

Unless it is judged to be an incidental occurrence during their outside consulting activities, or for other non-University work that has not been approved by the RCSC, staff and students may not use University resources, including facilities, personnel, equipment or confidential information for such activities.

6.7 COPYRIGHT

6.7.1 DEFINITIONS

(a) Copyright is the law surrounding ownership and control of the intellectual property involved in authorship of original works.

Copyrights of works, such as novels, textbooks, poems, musical compositions, or other works of artistic imagination, such as sculptures will belong to the creator unless they are institutional works (i.e. work commissioned and supported by University funds)

SECTION TWO: RESEARCH SUPPORT SYSTEMS AND STRUCTURES

2.1 RESEARCH-RELATED OFFICES AND MANAGEMENT DIRECTORATES

(a) Office for Externally Funded Research and Management (OEFRM)

Purpose
To advance and manage staff research and donor funds (Vetter & Staley, 1991) in the University within the overall policy and strategic framework approved by the University Academic Board.

The primary functions of the Office for Externally Funded Research and Management shall be to:

i.   Develop structures and processes to meet project objectives as well as complying with donor financial management and reporting requirements.

ii. Ensure the execution of agreed University research policies with particular regard to staff research and training;

iii. In conjunction with external relations to ensure that successful staff research activities are disseminated in the University and externally, to liaise with external organisations to raise the research profile of the University;

iv. Ensure that staff research activities and research training are implemented in a way which is consistent with the maintenance of high academic standards.

This office will have units and specific functions (Welker & Cox, 2006) that will include the following:

Pre-award Unit
Functions:

- Reviewing sources of funding
- Matching sources of funding to faculty members' research interests
- Establish database system of funders, researchers and their interests
- Conducting grant-writing workshops
- Conducting periodic staff research needs analysis

SECTION THREE: GUIDELINES FOR CONDUCTING RESEARCH

3.1 PRIORITY AREAS FOR RESEARCH

(a) The OEFRM, through the RCSC or the BGS shall when necessary, identify priority areas that reflect current national and international interests for research within the University. These shall concern current issues and problems of national and international dimension. Special considerations will be given to research areas that would have more practical implications for society.

(b) While the University shall encourage research, particularly, into educational theory, practice and administration, the University also recognises the importance of research into other areas such as social science, arts and humanities and science and technology. Therefore research into these areas shall also be encouraged.

(c) The rights of University staff, students and persons working within it to initiate and pursue other areas of research that are reasonably consistent with the University's philosophy and mission shall be acknowledged.

(d) The University acknowledges the value of its contribution to society with regard to making its expertise and facilities available for contract research and development work. In this regard therefore, the University via appropriate channels shall advertise its expertise to the nation's private and public sector with a view to building up relationships with companies and other agencies operating within the Ghanaian economy.

3.2 INDIVIDUAL RESPONSIBILITIES FOR CONDUCTING RESEARCH

(a) A researcher has the right to choose the subject matter of their research, and seek funding from any source for their work. However, information on such sources must be made available to the OEFRM for building up its data base of funding bodies, as well as (except in cases where this will undermine the progress of the research) adhere strictly to the financial regulations of the University.

Methods of research should as much as possible comply with established professional ethics relating particularly, to the health, safety

(a) In the course of the investigation, information or data relating to it should be restricted to those directly involved in the investigation.

(b) When allegations are not proven, the reputation of the accused should be restored.

(a) research, and ensuring that it meets the stated objectives and that it is carried out as per the approved proposal.

(b) The team leader will be responsible for the overall management of the project within the funding limitations as well as be accountable for furnishing progress reports to the RCSC via the OEFRM.

3.4. TRANSPARENCY IN RESEARCH

The rights of access by all interested persons shall apply in respect of all research findings and the methodologies on which they were derived, subject to the exceptions set forth in subsection 3.10 below.

3.5 SCHOLARLY COLLABORATIONS

Multi-authored research papers and other journal articles intended for publication under the umbrella of the university shall as much as possible follow the following guidelines.

(a) The responsibility for ensuring the overall reliability and validity of the article rests with the research team leaders and senior academic members of staff who claim part authorship of the article.

(b) There should be an opportunity for all authors involved to review the finished product before seeking publication. This should include participation in the manuscript preparation process as well as the costing if it involves external or internal funds.

(c) Each author should participate in the manuscript preparation process prior to the submission for publication and should agree to his or her inclusion as a co-author.

(d) It is the responsibility of all those involved to ensure that other authors' works are acknowledged and that no part of the prepared work has been previously published by any of the authors involved.

SECTION FIVE: SCIENTIFIC MISCONDUCT

5.1 PROCEDURES FOR MISCONDUCT

(a) Every member of University staff shall be responsible for ensuring a milieu which encourages academic honesty and integrity.

(b) For this policy scientific misconduct may be used interchangeably with research misconduct and may be defined as the practices of fabricating, falsifying and plagiarising (US Dept. of Health and Human Services Offices of Research Integrity, 2005) These include dishonest practices of conducting or reporting research that contradicts the accepted norms within the scientific community . Misinterpretations of findings that can be proven to be honest errors and not intent to deceive may not be considered as misconduct.

(c) In cases where there are serious shortcomings in academic work, such as conducting or reporting research findings, the University may set up a committee or direct the RCSC to investigate such matters. Note that such cases are differentiated from such acts as reckless disregard for accuracy, failure to supervise adequately and other lapses in professional conduct or neglect of academic duties which do not constitute Academic misconduct

(d) In case of suspected scientific misconduct, the RCSC may appoint one of its members to conduct an inquiry for the purpose.

5.2 GUIDELINES FOR CONDUCTING AN INQUIRY

(a) An inquiry involves a process of initial data collection and fact-finding in an attempt to establish whether an alleged misconduct has substance as well as to determine whether or not a formal investigation is warranted.

(b) Part of the inquiry process will take the form of an investigation, which will follow an official assessment of the facts to determine whether or not misconduct has occurred.

Whistle-blowing of scientific misconduct if found to have been made in good faith is a service to the University and to the larger

(a)   academic community, and will not jeopardise any one's employment.

5.2.1 The result of the inquiry

(a)   The accused shall be notified of the allegations, and be given the opportunity to reply.

(b)   A copy of the draft report resulting from the inquiry shall be given to the person(s) shall also be given a copy of the draft report of the inquiry, and a reasonable time will be given to the person(s) to reply to the report.

(c)   Reasonable efforts should be made to protect the confidence of the individual(s) who brought forward the complaint.

5.3   INVESTIGATION

(a)   If the inquiry concludes that there should be an investigation, the official investigation should begin within 30 days of the completion of the inquiry.

(b)   The Chairperson of RCSC must receive the final report of the investigation within 60 days of its inception.

(c)   The accused shall be given the opportunity to comment on the findings. Such comments shall be attached to the final report.

5.4   OTHERS

(a)   When a scientific misconduct is suspected, not only should the professional reputation of person or persons suspected must be defended, but also the interest of the public or individuals who might be harmed by the alleged misconduct should be protected.

(b)   The confidentiality of whistle blowers should be assured including the protection of their positions and reputations. The anonymity of the accused should be given until proven guilty.

(a)   and fundamental human rights or to the infliction of injury or pain on animals.

3.3   ASSESSMENT OF INTERNALLY FUNDED RESEARCH PROPOSALS

3.3.1 Initial application

In the first instance, applications for internally funded research should be made to the Head of OEFRM using the appropriate application form before the RCSC can consider them.   Applications to the RCSC will be assessed based on the following guidelines:

3.3.2   Guidelines for assessment

(i)   Priority will be given to theme research with a problem-solving nature and that addresses current national and international issues and are within areas of priority of the nation. Collaborative research, particularly those at inter disciplinary level will be highly desired.

(ii)   The integrity of the research plan including its feasibility within the time frame, the financial estimates as well as the available material and human resources. This will also include the consideration of ethical issues

(iii)   Expected outcomes and/or anticipated benefits including dissemination plan and whether the aims of the project lend themselves to realistic interventions which could lead to improvement in quality of life and/or learning conditions.

(iv)   The proposal should also include plans for the training and involvement of postgraduate students and junior researchers.

3.3.3   The research team leader

(a)   Each internally funded research proposal must identify a team leader where the proposed project is a collaborative effort.
It is the responsibility of the identified team leader to be conversant with the university research policy, co-ordinating the

3.8 CONFIDENTIALITY

In case of a request for confidentiality from any person working under the umbrella of the University or on his or her behalf, the University via the RCSC may grant a moratorium of up to three years for lodging of the person's work on the University library shelving or formal publication or presentation at conferences by the University or any individual or group of university staff.

3.7 RESEARCH SEMINARS, FORUMS AND WORKSHOPS

The University recognises the importance of research seminars and workshops in providing the environment for developing research ideas, updating research knowledge, identifying areas requiring further research and presentation of preliminary research proposal and outcomes for constructive criticisms. The University shall therefore support the OEFRM as well as faculty and departmental levels for requests aimed at meeting the above staff research needs.

SECTION FOUR: ETHICAL CONDUCT IN RESEARCH

4.1 USING HUMANS AND ANIMALS IN RESEARCH

(a) Any work involving human or animal subject that is carried out by staff, students and other persons using the name of the University must be safe, ethical and respect the rights of individuals, and must also include consent.

(b) Research carried out in the University, in which human or animal subjects are involved as either informants or participants, must ensure that the informant or research participant has not been coerced into participation. This means:

- The informant is informed and understands as fully as possible the aim and possible implications of the research including the right not to participate without negative effects on him or her.

- The use of monitoring devices such as tape recorders and cameras are open, and subject to the approval of the participants.

(c) Research involving human and animal subjects is handled with confidentiality and sensitivity. This means:

- The privacy and wishes of informants are respected and if requested, the anonymity of the informant must be maintained. Any questions posed are not insulting or embarrassing and matters that might place the informant in an embarrassing or compromising position are handled circumspectly.

4.2 UNIVERSITY RESEARCH ETHICS COMMITTEE (UREC)

There shall be a University Research Ethics Committee whose functions shall include:

- Preparing appropriate ethical clearance forms for research proposals.

- Ensuring that humans and animals involved in research are treated with dignity and that their well-being is not compromised.

- Approving research proposals that meet University, national and international criteria set out for researchers.

- Monitoring approved proposals to ensure compliance with the guiding ethical standards.

4.2.1   University Research Ethics Committee Membership

The Vice Chancellor may set up a sub-committee from the RCSC to constitute the University Research Ethics Committee. However, to adjust for academic bias in the membership, committee members shall include at least, one non-academic staff, one member from the community outside the university and a student representative.

3.6 RIGHTS TO AUTHORSHIP

(a)   It is the responsibility of the research team leader to ensure authorship rights of all those involved in a multi-authored work.

(b)   In cases where there are problems relating to rights of authorship, the RCSC shall be the final arbiter.

(c)   Individual researchers (or the team leader in cases of collaborative work) must ensure that all copies of reports of internally funded research work are submitted to the RCSC via the OEFRM

(d)   The OEFRM shall be charged with the publication of an annual document of all internally funded research works.

3.7   DATA PROTECTION

(a)   The right of access, storage and use of data from internally funded works shall rest with both the University and the researcher or research team leader.

(b)   The OEFRM shall be charged with the storage and maintenance of all internally funded research data on behalf of the University. However, individual researchers or the research team leader will be allowed access to the data.

(c)   When individuals involved in University funded research projects leave the University, they may go with hard copies of research publications on projects on which they have worked. However, the OEFRM, on behalf of the University, will maintain the originals or soft copies of such works.

(d)   In case of unfinished project, if the researcher or the research team leader leaves the University, and the project is to be moved to another institution, ownership of the data may be transferred with the approval of the RCSC, and a written approval from the individual researcher's or the research team leader's new institution that guarantees its acceptance of data protection responsibilities for the data as well as signing a written statement that guarantees this University's access to the data.