AKENTEN APPIAH-MENKA UNIVERSITY OF SKILL TRAINING AND ENTREPRENEURIAL DEVELOPMENT (AAMUSTED)

POLICY ON RESEARCH AND PUBLICATIONS ETHICS

2024

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ABBREVIATIONS

AAMUSTED : Akenten Appiah-Menka University of Skills Training and Entrepreneurial Development

AIERC : AAMUSTED Institutional Ethical Review Committee

EFASH : European Federation of Academies of Sciences and Humanities

ERC : Ethics Review Committee

FFP : Fabrication, falsification and/or plagiarism

GMOs : Genetically Modified Organisms

SOPs : Standard Operating Procedures

TVET : Technical and Vocational Education and Training

DEFINITIONS

Academic dishonesty	is the conduct or omission in any academic endeavour that violates the values associated with academic integrity and includes any act that is designed to give an unfair or undeserved academic advantage. It includes cheating, plagiarism, falsification, fabrication and violation of research ethics.
Academic freedom	is the recognition of academics' right to freedom of investigation, thought, expression, publication and dissemination of results, institutional intolerance and internal or external coercion.
Academic integrity	is research and tuition, which is associated with honesty, truth, equity, respect, responsibility and accountability.
Academic outputs	refer to all works created by employees and students for tuition and/or research purposes.
Animal	means any live non-human vertebrate, such as fish, amphibians, reptiles, birds and mammals including domestic animals, purpose-breed animals, livestock, wildlife and cephalopods like octopus and squid. The definition includes eggs, foetuses and embryos and higher invertebrates such as advanced members of the *Cephalopoda* and *Decapoda*.
Animal welfare	refers to an animal's quality of life-based on an assessment of its physical and psychological state as an indication of how the animal is coping with the ongoing situation as well as a judgment about how the animal feels.
Animal wellbeing	refers to an animal's present state with regard to all aspects of its environment, both internal and external. It implies a positive mental state, improved physiological and biological functioning, positive experiences and freedom from any adverse condition.
Collaborative research	is research that involves the cooperation of researchers from different academic institutions, organisations and/or communities.
Copyright	is the specific intellectual property right, that an author acquires in accordance with the Copyright Act 2005 (Act 690), ("the Act") in respect of a protected work

Curation	is the selection, preservation, maintenance, collection and archiving of research data and artefacts.
Death as an end-point	is the deliberate and intended measure used to evaluate biological or chemical processes, responses or effects. In such cases, the animal will not be killed inhumanely but death will be allowed to occur in the course of scientific activity.
Department	is an operational unit in the University.
Distress	indicates the state of an animal which is not able to completely adapt to stress and that results in abnormal psychological, physiological and/or behavioural responses. Distress can be chronic or acute and may result in pathological conditions.
Ethics	apply to considerations of whether actions are regarded as good or bad, right or wrong.
Ethical considerations	are applied in the evaluation of what should or should not be done when animals/organisms are proposed for use or are used, for scientific and teaching purposes.
Ethical review	is an objective appraisal of the effect of the proposed research on the wellbeing of potential participants, animals, the environment, institutions, collectivities and communities by an established Ethics Review Committee.
Euthanasia	is the humane killing of an animal consistent with veterinary recommendations and practice. Euthanasia is applied when the animal's pain and distress are so acute that it is judged necessary.
Gatekeepers	are persons who by the right of their position of authority, are recognised as a channel of access to a research site and/or participant.
Genetically modified organism	means an organism, the genes or genetic material, of which have been modified in a way that does not occur naturally through mating, through natural recombination or both according to the Biosafety Act, 2011 (Act 831).
Health research	includes, but may not be limited to research that contributes to knowledge of:

	• biological, clinical, psychological, or social welfare matters including processes relevant to humans; • the causes and effects of and responses to disease; • effects of the environment on humans; • methods to improve health care service delivery; • new pharmaceuticals, medicines, and interventions; and • devices including new technologies to improve health and health care.
Humane killing	is the killing of an animal with minimal pain and distress.
Human participant	is generally a living person about whom a researcher obtains data through intervention or interaction with the person or through the use of his/her identifiable information. However, this definition may be extended for the purpose of this policy to protect the rights of deceased persons.
Intellectual property	is a patentable invention or any copyrightable subject matter such as a trademark, a design, a traditional work and trade secret or know-how.
Integrity	is fundamental to all forms of scientific research and is anchored on the values of "truth" and "honesty". Trust by peers and the public in the truth of research is exemplified by the responsible conduct of researchers, trust in their competence and devotion to do research according to internationally accepted ethical norms and values;
Interdisciplinary	means drawing from, relating to, or involving two or more fields of study which are usually considered distinct, resulting in an integration of concepts in a coherent synthesis that crosses disciplinary boundaries.
Livestock	is animals that are used in agriculture and aquaculture.
Non-therapeutic research	is research that benefits people other than the research participant. The acquisition of knowledge may be of no immediate benefit to the participant, but he/she may unexpectedly become a direct or indirect beneficiary of such research.

Pain	means an unpleasant sensory and/or emotional experience associated with actual or potential tissue damage. It may provoke protective actions and result in avoidance and distress and may modify behaviour.
Research	means a systematic investigation aimed at the development of, or contribution to knowledge, practice and/ or policy.
Researcher	is a permanently appointed AAMUSTED employee or a contract employee who has been tasked with conducting research as well as a valid, current Academic Associate (excluding an Emeritus Professor) and a postdoctoral fellow.
Student	is any registered AAMUSTED student.
Therapeutic research	means research that benefits the individual participants by treating or curing their condition
Vulnerable participants	include children (i.e. those individuals under the age of 18 years), the elderly, pregnant women, people with cognitive or mental impairment, prisoners or people on parole, students, people living with HIV/AIDS, people in dependent relationships, persons with disabilities, socio-economically disadvantaged people, indigenous people and indigents.
Wildlife	refers to free-living animals of native, non-indigenous or feral species including captive-bred animals and those captured from free-living populations.

PART 1: GENERAL GUIDELINES FOR ETHICAL RESEARCH

SECTION 1: PREAMBLE

1.1 This policy is based on the Vision of the Akenten Appiah-Menka University of Skill Training and Entrepreneurial Development (AAMUSTED): To be a world-class socially responsive TVET Entrepreneurial Development Teacher Education University.

1.2 The Aims of AAMUSTED according to our mandate are to:

- provide higher education in technical, vocational and entrepreneurial training to develop skilled manpower for job creation and economic development;
- train and provide teachers with the relevant competence for teaching in technical and vocational education and training institutions;
- train and provide teachers with the relevant competence for teaching entrepreneurial development; and
- develop strong linkages between the University and
  i) industry, and/ or
  ii) the community, to ensure the holistic training of teachers.

1.3 AAMUSTED determines the courses to be taught at the University, placing emphasis on programmes of special relevance to TVET and Entrepreneurial training for national development.

1.4 AAMUSTED promotes the use of critical and practical tools including information and communication technology for teaching, research, dissemination of knowledge and administration.

1.5 AAMUSTED institutes curricula within the context of learner-centred and problem-based learning techniques that are practical and relevant to TVET and entrepreneurial training.

1.6 AAMUSTED promotes the use of teaching and problem-solving methods that ensure critical and independent thinking.

1.7 AAMUSTED undertakes research in programmes/courses that are within the mandate of the University.

1.8 The AAMUSTED Policy on Research and Publication Ethics aims to ensure that:

1.8.1 an ethical and scientific intellectual culture prevails among the university's employees and students and is followed in research practice;

1.8.2 the rights and interests of human participants, institutions, communities, animals and the environment are protected. This is particularly important where the information that has been gathered has the potential to invade the privacy and dignity of participants and third parties, and where participants and third parties are vulnerable owing to their youth, disability, gender, age, poverty, disease, ignorance or powerlessness;

1.8.3 all research activities are conducted with scholarly integrity, excellence, social responsibility and ethical behaviour; and

1.8.4 the ethical and scientific soundness of research is not compromised.

1.9 This policy should be read in conjunction with other relevant AAMUSTED guidelines, policies and relevant legislative frameworks.

SECTION 2: PURPOSE AND SCOPE

2.1 Purpose

The Policy on Research and Publication Ethics is not intended to restrict or discourage research at AAMUSTED. On the contrary, this policy aims to:

2.1.1 inform the researcher of his/her responsibilities in conducting ethical research;

2.1.2 help the researcher to understand and promote adherence to all applicable procedures; and

2.1.3 protect the rights of all stakeholders.

2.2 Scope

The Policy on Research Ethics and Publication ensures that appropriate ethical considerations are considered in all research activities of AAMUSTED, and seeks to ensure that staff, students, and research participants are protected from possible harm and that their rights are both respected and protected.

This policy applies to all research in AAMUSTED including those conducted nationally and/or in a foreign country, and such undertaking shall invoke all relevant standards as set out in this Research Ethics and Publication Policy which may take precedence and apply.

SECTION 3: AAMUSTED FUNDAMENTAL PRINCIPLES FOR RESEARCH

3.0 Guiding Principles

This section presents the guiding principles for research for all members of AAMUSTED employees and students. AAMUSTED has adopted international research principles which are clustered into Moral and General Ethic Principles.

3.1 Moral principles

AAMUSTED promotes the following four (4) internationally accepted moral principles of research ethics:

- **Autonomy:** research should respect the autonomy, rights and dignity of research participants, privacy, personal decisions, etc. People lacking autonomy, such as young children or adults with advanced dementia, are entitled to protection.
- **Beneficence**: research should make a positive contribution toward the welfare of participants and people in general.
- **Non-maleficence** (research should not cause harm to the research participant(s) in particular or people in general). This should include ensuring appropriate treatment and, when necessary, removal from the study.
- **Justice** (the benefits and risks of research should be fairly distributed among people). This should include informing participants of any new information which might change their assessment of the risks and benefits of participating in the study.

These guiding principles of research ethics are not ranked in any order of preference; hence they are considered equally important. In the event of disputes, a balance between the four principles should be pursued.

3.2 General Ethical Principles

The following ten (10) general ethical principles of research should be adhered to by researchers of AAMUSTED within or outside of the institution irrespective of the context and circumstances of the research under consideration.

3.2.1 Essentiality and relevance

Every research must show that it is relevant by essentially contributing to filling in a specific knowledge gap in the subject/topic area under consideration. Thus, the research should justify its relevance, amid a scarcity of resources, through its contribution to knowledge and/or the public good.

3.2.2 Maximising public interest and social justice

Research should be prioritised for the benefit of society, and with the motive of maximising public interest and all-inclusive social justice. Information on the research, findings and the necessary implications should be made public in an appropriate manner and form (including fair distribution), and at an appropriate time.

3.2.3 Competence, ability, and commitment to research

Researchers should be professional (in relevant subject areas) and ethically qualified to undertake research studies anywhere in the name of AAMUSTED. For postgraduate students, their Supervisors are considered to be responsible for ensuring that standard and ethical research is carried out in a manner that demonstrates competent skills and commitment.

3.2.4 Respect for and protection of the rights and interests of participants and institutions

The rights, dignity, privacy and confidentiality of participants and, where relevant, institutions involved in the research must be respected and protected especially in accordance with the Data Protection Act of Ghana, 2012 (Act 843). Personal information of participants and where applicable institutions used for research purposes should be adequately protected to avoid a potential loss, damage and/or unauthorised access as required by the laws of Ghana (Act 843). Participants (including institutions) should not be exposed to procedures or risks not directly connected to the research work in any way to infringe on their rights.

3.2.5 Informed and non-coerced consent

Autonomy requires that individuals' participation should be freely given, based on informed consent and for a specific purpose, as required by the Data Protection Act of Ghana, 2012 (Act 843). Direct or indirect coercion, including undue inducement of people in the name of research, should be avoided to prevent marring autonomous judgement and the decision to participate in studies that may involve risks.

3.2.6 Respect for cultural differences

Participants should be respected as unique human beings within the context of their community systems including their traditional beliefs, norms and values, as sacred and secret. In almost all cases, culturally and ethically sound community entry should be observed using the local protocols through family heads, community/opinion leaders, chiefs and elders etc. as deemed fit to secure consent before reaching research participants.

3.2.7 Justice, fairness and objectivity

Criteria for the selection of research participants should be fair, inclusive as well as scientific for achieving objectivity. Participants' selection should not be based on vulnerability, privilege, or other unrelated factors. Participants who accept the risks of research should be in a position to enjoy its benefits. Specific groups of participants (e.g. women and/ or children) should not be excluded from the research opportunities without a good scientific reason or a particular susceptibility to risk. The inclusion of a vulnerable group (e.g. children, incapable adults, or prisoners) requires a clear justification to demonstrate that they are not being targeted merely as a matter of convenience.

3.2.8 Integrity, transparency and accountability

Research work should be conducted in a reliable, honest, fair and transparent manner to ensure full integrity. Researchers should be open and honest to declare any limitations, conflicts of interest or competing needs, biasedness and others identified to the best of their knowledge throughout the study. The contribution of other researchers or team members should be properly acknowledged and all forms of abuse of positions and/ or knowledge must be avoided at all costs.

3.2.9 Risk minimisation

Researchers should ensure that the actual benefits to be derived by the participants or society generally from the research clearly outweigh any possible risks and that participants are subjected only to those risks that are clearly necessary for the conduct of the research. Researchers should ensure that these risks are assessed and that adequate precautions are taken to minimise and mitigate risk, in line with international standard ethics and best practices. When the study involves a vulnerable population, such as children or incapable adults, the risks posed by non-therapeutic procedures must not exceed a minor increase above minimal risk. As a rule of thumb, the benefits and harms of a study are acceptable only when the moral rules are satisfied.

3.2.10 Non-exploitation

Under no circumstances should research participants, researchers and students, communities, institutions or vulnerable people be exploited. This includes non-exploitation of participants' personal information as governed by the Data Protection Act of Ghana, 2012 (Act 843) including any unlawful and secondary purposes incompatible with the original intent consented by participants. Any study community should benefit from the research by at least providing feedback on the findings to participants and other relevant stakeholders. The principle of justice also requires that provisions be in place to compensate participants who are harmed as a result of research enrolment.

3.3 Good research practices

In addition to the ten (10) aforementioned principles, AAMUSTED subscribes to the Good Research Practices described in the European Code of Conduct for Research Integrity (European Federation of Academies of Sciences and Humanities, EFASH, 2017). Some aspects of the practices are considered in detail under the Publications ethics of this policy document (Part).

- Research Environment: promoting awareness and ensuring a prevailing culture of research integrity through demonstrable leadership in providing policies and procedures on good research practice. AAMUSTED supports proper infrastructure for the management and protection of data and research materials in all their forms (data, protocols, processes, other research artefacts and associated metadata) necessary for reproducibility, traceability and accountability. Researchers should be rewarded for open and reproducible practices.
- Training, Supervision and Mentoring: ensuring that researchers (across the entire career path – junior to senior level) receive rigorous training in research design, methodology and analysis, research ethics and integrity especially as prescribed in all relevant policies, codes, regulations and laws governing the University. Institutionalise mentorship programmes for Senior researchers, research leaders and supervisors to mentor team members and juniors.
- Research Procedures: Researchers consider the state-of-the-art knowledge, technology, approaches, methods, and platforms in developing their research. All publications arising from research must meet international standards of applicable discipline. Research funds available from internal and external sources should be explored and used judiciously.

- Safeguards and data management: Researchers should comply with research ethics, codes and regulations applicable to AAMUSTED and their discipline including handling of study participants, objects/subjects, community, health & safety, risks; data acquisition, storage, and sharing etc and, where appropriate, adopt the FAIR Principles (Findable, Accessible, Interoperable and Re-usable) for data management.

- Collaborative Work, Publication, and Dissemination: All partners in research collaborations take responsibility for the integrity of the research and content of publications including the process for communications, acknowledgement, and sequence of authorship (based on significant contributions), disclosure of competing interest, etc. Researchers take seriously their commitment to the research community by participating in refereeing, reviewing and evaluating all research outputs/deliverables.

SECTION 4: RIGHTS AND RESPONSIBILITIES

4.1 The University, AAMUSTED, in enabling Ethical Research

4.1.1 AAMUSTED should respect the autonomy and academic freedom of researchers.

4.1.2 AAMUSTED should create and maintain an enabling environment in which researchers are able to conduct ethical research.

4.1.3 AAMUSTED should promote compliance with the Policy on Research Ethics and Publication and take appropriate steps when this policy is breached.

4.1.4 AAMUSTED has the right to monitor research that has been approved by any of its Ethics Review Committees and to require submission of regular reports or other information regarding the research. The University may impose disciplinary measures or stop research when ethical principles are violated, or the integrity of the University is jeopardised.

4.1.5 As a general rule, all intellectual property resulting from research conducted with AAMUSTED funds or use of its facilities, vests in the University.

4.1.6 Ethics clearance will not be granted retrospectively.

4.1.7 Human, animal, plant, molecular and cell research conducted by AAMUSTED employees and students must have ethics clearance from the relevant Ethics Review Committee before it may commence.

4.1.8 Health, health-related and animal research conducted by AAMUSTED employees and students should receive ethics clearance from an Ethics Review Committee in accordance with Ghana Health Service Ethics.

4.1.9 Class approval for student research projects should be obtained in certain circumstances.

4.1.10 AAMUSTED is accountable only for research which has been approved by any of its Ethics Review Committees.

4.1.11 This policy should be read in conjunction with other relevant AAMUSTED guidelines, procedures, policies, and relevant legislative frameworks.

4.1.12 A register shall be maintained of all research that has been given ethics clearance.

4.2 Rights and Responsibilities of Researchers at AAMUSTED

4.2.1 Researchers have the fundamental right to academic freedom and freedom of scientific research.

4.2.2 Integrity in research

4.2.2.1 It is the responsibility of the researcher to ensure that he or she does not undertake research without ethical clearance. Researchers may only undertake research that has been approved by an appropriate Ethics Review Committee.

4.2.2.2 Researchers should be competent and accountable. They should act in a responsible manner and strive to achieve the highest possible level of excellence, integrity and scientific quality in their research.

4.2.2.3 Researchers have a right, as well as an obligation, to refrain from undertaking or continuing any research that contravenes the Policy on Research Ethics and Publication, violates the integrity and/or validity of research and/or compromises their autonomy in research. If they feel that the policy or ethical principles are being violated, or that the study is unethical, they must make all possible efforts either to correct or terminate the research. These would include reporting to the relevant Ethics Review Committee. In the event of failure of remedial measures, they must terminate the study or end their involvement in it.

4.2.2.4 Researchers should only undertake research that will contribute to knowledge, practices and/ or policies. They should use resources judiciously and avoid unnecessary duplication of research.

4.2.2.5 Researchers have a right and a duty to make all necessary efforts to bring the research and its findings or results to the public domain in an appropriate manner and at an appropriate time. The publishing of research findings should be done in a manner that will not harm research participants or their communities.

4.2.2.6 Researchers who undertake secret or classified research must comply with all AAMUSTED policies, other relevant policies and legislative frameworks.

4.2.2.7 Researchers have a responsibility towards those involved in or affected by their work. They should make reasonable efforts to anticipate and guard against the possibility of their research having undesirable or harmful consequences. They should take reasonable corrective steps when they come across misuse or misrepresentation of their research. They must be prepared to take responsibility and to be held accountable for all aspects and consequences of their research activities.

4.2.2.8 Researchers should be honest in respect of their actions in research and their responses to the actions of other researchers. This applies to the whole range of research, including generating and analysing data, publishing results, and acknowledging the direct and indirect contributions of colleagues, collaborators and others.

4.2.2.9 Researchers should not commit plagiarism, piracy, falsification or the fabrication of results at any stage of the research. The research findings should be reported accurately and truthfully, and historical records and study material should be preserved and protected.

4.2.2.10 Plagiarism, falsification, the fabrication of results, and scientific misconduct, in general, are regarded as serious offences. These will be investigated by the relevant Ethics Review Committee and relevant actions taken.

4.2.2.11 Researchers may be required to report regularly to the relevant Ethics Review Committee. Any researcher who experiences unexpected adverse events or changes in the research design should inform this committee.

4.2.2.12 Researchers should adhere to relevant requirements arising in respect of data curatorship and data management. Whereas the first-

mentioned refers to the collection, validation and preservation of data for various purposes, the last-mentioned refers to a broad range of data applications such as data design, re-use, storage and security.

4.2.3 Relationship among researchers

4.2.3.1 Principal researchers and/or academic supervisors are responsible for the ethical conduct of research by assistant researchers, students and trainees under their supervision. At the same time assistant researchers, students and trainees have a responsibility to act ethically and to observe the Policy on Research Ethics and Publication.

4.2.3.2 Assistant researchers, students and trainees have a right to receive, and principal researchers have a responsibility to provide proper training and guidance on all aspects of research, including ethical conduct. The principal researchers should delegate to assistant researchers, students and trainees only those responsibilities that they are reasonably capable of performing based on their education, training or experience, either independently or under supervision.

4.2.3.3 Researchers should not engage in discriminatory, harmful or exploitative practices, coercion or harassment in the research process. They should not impose their views or beliefs on or try to seek personal, sexual or economic gain from anybody, including other researchers, assistants, trainees, students or research participants.

4.2.3.4 Researchers should not deceive or coerce other researchers, including employees, assistants, trainees and students into serving as research participants. Employees or students, either as research participants or as research assistants, have the right to end involvement in the research without having to face adverse consequences.

4.2.3.5 Students working on research as a tuition requirement should not be exploited by supervisors or mentors, nor used as cheap labour.

4.2.3.6 In addition to researchers and students, other individuals such as administrative employees of AAMUSTED who may have access to data or identifying information, as well as private organisations that are contracted to handle research data should be briefed on ethical issues and the Policy on Research Ethics and Publication, including the participants' right to privacy and confidentiality.

4.2.3.7 In the event of a researcher contravening the Policy on Research Ethics and Publication it will be investigated by the relevant Ethics Review Committee and the findings reported to AAMUSTED and the research sponsor.

4.2.4 Data sharing

4.2.4.1 Researchers should ensure the protection of the interests of co-researchers and participants, including the participants' right to privacy and confidentiality, when sharing data or making it public in any form.

4.2.4.2 Data may be commonly shared when it does not disclose the identity of participants in the form of anonymous abstracted facts or when the right to anonymity has been waivered, if necessary, it may be shared even before the publication of the study, among researchers and peer reviewers, and may be made available to the public.

4.2.4.3 As far as possible, and if required by the design of the research, researchers should ensure that relevant findings of the research are taken back to the research participants, institutions or communities in a form and manner that they can understand, and which will not cause harm.

4.2.5 Peer review

4.2.5.1 Sound methodology and scientific validity are the entry points of ethical research. Engaging in research that has fundamental flaws in design and methodology is a waste of human, monetary and other resources. Apart from ethical review, peer (scientific) review is thus an essential part of research. The purpose of peer review is to improve and advance research, and to facilitate the observance of ethics. Researchers should be encouraged to subject their work to such a process.

4.2.5.2 Researchers should be encouraged to make themselves available as peer reviewers for research in the fields in which they have adequate knowledge and expertise.

4.2.5.3 Peer reviewers should be aware of the ethical aspects of research and publication. They have to act objectively, impartially, and constructively.

4.2.5.4 If peer reviewers have any actual or potential conflicts of personal or professional interest with the research under review that could jeopardise their ability to undertake the review in a scientific and ethical manner, they should either disclose the same or decline to review the work concerned. In such situations, their decision should be based on the type and severity of the conflict of interest.

4.2.5.5 When scientific misconduct or violation of ethics is discovered, the peer reviewer should take appropriate steps to report it to the relevant Ethics Review Committee.

4.3 Rights and Responsibilities of Sponsors, Funders, and Clients

4.3.1 Researchers should ensure that they have an explicit written research mandate from the sponsors/funders/clients in which the conditions, scope and terms of the research are set out clearly (e.g. research problem, expected deliverables, financial commitments and time frames).

4.3.2 The acceptance of a mandate should be sealed by a legally binding, written contract between the parties. This contract should specify the terms agreed on, including the rights and obligations of the parties involved, and the ownership of intellectual property rights and benefits.

4.3.3 The position with regard to the dissemination and publication of findings from the research study should be clarified.

4.3.4 Researchers should recognise the right of the sponsors/funders/clients to request information from them at any stage in the course of the research. However, interference that may jeopardise the scientific integrity of the study or the interests of the research participants may oblige AAMUSTED to cancel the cooperation.

4.3.5 Sponsors/funders/clients should be made aware of the AAMUSTED Policy on Research Ethics and Publication. They have the right to receive a copy of the policy and to expect that the research proposal submitted for funding or sponsorship by researchers and AAMUSTED contains the necessary information on ethical issues and complies with the policy.

4.3.6 Sponsors/funders/clients should respect the AAMUSTED Policy on Research Ethics and Publication and should not expect researchers or AAMUSTED to undertake research or conduct which is in any way contrary to the policy, other related AAMUSTED policies and/or legislative frameworks.

4.3.7 Where sponsors/funders/clients act, directly or indirectly, as gatekeepers and control access to the participants, researchers should not devolve onto the gatekeepers their responsibility to obtain separate and informed consent from participants and to protect their rights.

SECTION 5: INTERNATIONAL COLLABORATIVE RESEARCH

5.1 Review of Collaborative Research Proposals

5.1.1 Before submission of a collaborative research proposal to an Ethics Review Committee, an agreement should as far as practically possible be reached between the host research institution and the collaborating institution on all aspects of the research.

5.1.2 These include the ownership of intellectual property, management of the research process, data management, the fate of data and research specimens, division of responsibilities, finances, research output, publication strategy, sharing of benefits and burdens, development of infrastructure and research capacity in the host country and an ombudsman to settle disputes.

5.2 Intellectual Property Rights

The rights of the parties should be respected and acknowledged before the research commences.

PART 2: GUIDELINES FOR RESEARCH INVOLVING HUMAN PARTICIPANTS

SECTION 6: RESEARCHERS – HUMAN PARTICIPANTS RELATIONSHIPS

6.1 Relationship between Researchers and Research Participants

6.1.1 Study participants should be seen as indispensable and worthy partners in research such that their rights and interests should be respected and protected at the time and their contribution acknowledged.

6.1.2 The risks and benefits of the research to prospective participants should be fully weighed and participants adequately informed especially about all identifiable potential risks. Ethically, research that could lead to unnecessary physical, social and/or psychological harm should be avoided. When risks become unavoidable in the study, efforts should be made to mitigate the risks and protect the research participants including from harm (physical, psychological and/or spiritual) injury and/ or loss of opportunity. Any harm, injury or loss of opportunity that should occur in the research must be dealt with in accordance with the relevant policy and laws.

6.1.3 If during the course of the research it becomes evident that a participant has suffered harm in a way not foreseen by the researcher, this should immediately be reported to AAMUSTED Research Ethics Review Committee (ARERC) for immediate investigation and action.

6.1.4 The criteria for selecting research participants should be fair and transparent.

6.1.5 A mutually beneficial agreement should be in place if a community or research setting is used as a continuous and long-term resource for data collection.

6.1.6 The relevant social, cultural and historical background of participants should be taken into consideration in the planning and conduct of research.

6.1.7 Researchers should not infringe the autonomy of participants by resorting to coercion, undue influence or the promise of unrealistic benefits. Coercion may include taking undue advantage of individuals or abusing their participation in the research. Inducement may include a promise of material or financial gain, services or opportunities. No financial or other inducements should be offered to research participants, whether children or adults, parents or guardians of children. Reimbursement of expenses (e.g. transport costs, meals, etc.) or compensation for the time or effort expended or any opportunity that may be lost is allowed, on condition that all participants are offered similar reimbursement and that such reimbursement is only aimed at recompensing the research participants.

6.1.8 Participants should be informed of the existence of the AAMUSTED Policy on Research and Publications Ethics, and also the AAMUSTED Research Ethics Review Committee (ARERC). The policy and contacts of ARERC should be made available to support an informed decision regarding their participation. Participants may not be instructed by researchers to participate in research under conditions that can be burdensome, abusive or threatening or that have the potential to risk or abuse the researcher's position. Unfairness or anything that prevents the participant from freely terminating his/her participation is not permissible nor should there be any negative implications should the participant choose to do so.

6.2 Informed Consent

6.2.1 Personal information should be collected in adherence to the Data Protection Act of Ghana, Act 843 (2012).

6.2.2 The participation of individuals should be based on their freely given, specific and informed consent. Researchers should respect their right at any stage to refuse to participate in particular aspects of the research or to decide to withdraw their previously given consent without demanding reasons or imposing penalties.

6.2.3 Participants should give their consent in writing and preferably accompanied by their signature. They, in turn, should be given written information containing adequate details of the research, including any risks associated with the study. If participants refuse to provide their consent in writing, consent may be recorded verbally, provided that verbal consent can be linked to the individual providing such verbal consent. For example, where a participant is illiterate, consent should be obtained in the presence of a literate witness who should verify and sign a document stating that informed consent had been given. Where the research is done online or electronically, informed consent can be obtained electronically but, in a format, separate from the online research in order to protect the identity of the participant.

6.2.4 Consent for participation in research is freely given and informed if:

6.2.4.1 it is given without any direct/indirect coercion or inducement.

6.2.4.2 prospective participants have been informed of the processing and purpose of the intended research.

6.2.4.3 prospective participants have understood this information and have indicated so as per paragraph **7.2.3.**

6.2.4.4 the researcher has answered any question(s) about the research and their participation.

6.2.4.5 it is given before the research commences.

6.3 Non-disclosure of Information

6.3.1 In some situations, the methodology or practicalities of a research project may necessitate the concealment of information. This may be due to the possibility that behaviour changes may result or responses be affected when such details are revealed to participants. In such a case the researcher should determine beforehand:

(a) whether the use of such a methodology is justified by its potential scientific, educational or applied benefits.

(b) whether alternative procedures which do not require the concealment of information should rather be used.

6.3.2 If the use of such methodology is deemed justified by the researcher, there are steps that he/she should take:

(a) When obtaining informed consent, a detailed justification for not revealing all necessary information should be provided in the research proposal and methodology. This justification should be subject to scientific and ethical review by the relevant ethics review committee for approval or otherwise.

(b) The participants' right to privacy, anonymity and confidentiality gains additional importance in such cases as they do not know the real purpose or objectives for which they are providing information.

(c) Should both scientific and ethical reviews allow that some of the information about the study need not be revealed, participants should be provided with all other information including potential risks, harm, injuries, discomfort, unpleasant emotional experiences, or any such aspect that would be material in making the decision to participate.

(d) Participants should be given the reasons for not providing full information as soon as possible after the completion of the research. Where needed, services such as counselling and referral should be offered.

6.4 Consent where gatekeepers or organisational structures are involved

6.4.1 It is the responsibility of the primary/lead researcher to ensure compliance with the research policy/directives of gatekeepers or organisational and administrative structures such as community leaders, clan/family heads, metropolitan/municipal/district assemblies, etc.

6.4.2 In some situations there may be a need to obtain permission from the "gatekeeper" to access the participants, information and/or research sites. Care should be taken in the following situations:

(a) Permission obtained from the gatekeeper may not be substituted for the need to obtain separate and informed consent from the individual research participants. The rights of participants in such a situation are the same as in all other cases.

(b) In the process of research or data collection, care should be taken to ensure that the relationship between the gatekeeper and the participants is not jeopardised.

6.5 Vulnerable participants

6.5.1 Researchers should take particular care of the rights and interests of vulnerable participants.

6.5.2 Children should participate only when their participation is indispensable to the research. The protection and best interests of children are of prime importance.

6.5.3 Therapeutic research or experimentation on a child under the age of 18 years may be conducted only if it is in the best interests of the child, and if the assent of the child (if he or she is capable of understanding) and the consent of his or her parent or guardian, has been obtained.

6.5.4 Non-therapeutic research or experimentation may only be conducted on a child under the age of 18 years with the consent of the following persons: the Minister for Gender, Children and Social Protection of Ghana, the parent or guardian of the child, and the child if he or she is capable of understanding.

6.5.5 Where research involves the participation of persons unfamiliar with the language in which the research is to be conducted, the principal/lead researcher must ensure that:

6.5.6 The participant's information statement has been translated into the participant's language

6.5.7 The participant understands the information statement he/she has been given

6.5.8 An interpreter is present during discussions with the participants about the research. As a rule, the interpreter should be independent, but when the research proposal is of minimal risk, a relevant language-speaking relative or friend of the participant may be acceptable.

6.6 Privacy, Anonymity and Confidentiality

6.6.1 All research participants have the right to privacy to the extent permitted by the laws and regulations of Ghana, especially concerning fundamental human rights and data protection.

6.6.2 Privacy includes autonomy over personal information, anonymity, and confidentiality, especially for research work bothering on stigmatising, sensitive or potentially damaging issues or information. Participant's rights and judgement on any information regarded as private and confidential should be respected.

6.6.3 All personal information and records provided by participants should remain confidential. It should be made clear during data collection that confidentiality and anonymity will be safeguarded unless waived by the research participant. Whenever it is methodologically feasible, participants should be allowed to respond anonymously or under a pseudonym to protect their identity and privacy.

6.6.4 All personal information obtained directly or indirectly about research participants which may reveal their identity should remain confidential and anonymous. This guarantee/assurance should be given to research participants at the time of consenting to participate in the research.

6.6.5 In the case of observation (e.g., a public scene) steps should be taken to ensure that the information will not be used or published in a form in which the individuals could be identified.

6.6.6 Researchers shall maintain privacy, anonymity, and confidentiality of information in collecting, creating, storing, accessing, transferring and disposing of personal records and data under their control, whether these are written, automated or recorded in any other medium, including computer equipment, graphs, drawings, photographs, films or other devices in which visual images are embodied.

6.6.7 Researchers shall preserve research records for a minimum of five years (or as required by policy or regulations) after the submission of the report or the results.

6.6.8 Researchers should take reasonable, technical and operational steps to ensure that research records are securely stored to protect the confidentiality and anonymity of participants.

6.6.9 Codes or other identifiers shall, where possible, be used to break obvious connections between data and individuals/organisations/institutions. Where there is a mixture of information obtained from the public domain and that obtained with the participants' informed consent, there should be no traceable link between the two sets of information.

6.6.10 Confidentiality and anonymity of participants and their localities should be maintained when reporting to clients/sponsors/funders. Participants should not be identified or made identifiable in the report unless there are clear reasons for doing so. If the researcher or institution needs to identify participants or communities in the report, their informed consent allowing such disclosure should be obtained, preferably in writing.

6.6.11 Research findings published in the public domain (e.g., theses and articles) which relate to specific participants (e.g., organisations or communities) shall protect their privacy. Identifiers which could be traced back to the participants in the study should not be included. However, the public interest may outweigh the right to privacy and may require that participants be named in reports (e.g., when child labour is used by a firm).

6.6.12 Participants' consent shall be sought where data identifying them are to be shared with individuals or organisations who are not part of the research team.

6.6.13 The obligation to maintain privacy, anonymity and confidentiality extends to the entire research team, other researchers, and all staff members from or outside AAMUSTED.

6.7 Collaborative Research involving Human Participants

6.7.1 In national and international collaborative research, the parties involved are usually host institutions, collaborating institutions and researchers, research participants and/or communities.

6.7.2 There shall be a clear justification for the need for and benefit of undertaking any collaborative research.

6.7.3 Research involving human participants must not commence without ethics approval by the various ethics committees of all collaborating institutions except where applicable this requirement may be waived under certain conditions by AAMUSTED Ethics Review Committee (AERC).

6.7.4 Research cannot commence without informed consent from study participants, communities, and/or local authorities like Metropolitan/Municipal and District Assemblies.

6.7.5 There shall be no exploitation of institutions, researchers, research participants or communities involved in any collaborative research.

6.7.6 Institutions and researchers should support indigenous communities and traditional societies to respect and protect their indigenous knowledge and resources including those traditionally considered sacred and secret.

6.7.7 Researchers involved in international collaborative research should have some understanding of, and be sensitive to, the socio-cultural, legal, political, economic, environmental, and technological conditions in which the research is carried out. This will alert them to the need to protect research participants in context according to appropriate ethical considerations and best practices.

6.8 Community-Engaged Research

6.8.1 Researchers shall ensure effective community participation, especially in the early stages of research design including the identification of specific issues to be researched.

6.8.2 Researcher shall empower the community to contribute resources including indigenous knowledge to the research and any intellectual property rights will have to be negotiated and protected in this regard.

6.8.3 There should be FAIR subject selection through the removal of barriers to participation including the need for childcare, transport fares to research sites, basis of race, age, gender etc unless essential to the research purpose.

6.8.4 The risks to participants must be proportionate to the potential benefits to individuals or the community as a whole (favourable risk-benefit ratio)

6.8.5 Informed consent in community-based research must include full disclosure of objectives, risks, and adverse effects on participants by ensuring that all parties understand the information provided.

6.8.6 Informed consent must specify the roles and responsibilities of project participants and community stakeholders.

6.8.7 Agreements regarding data interpretation and ownership, authorship and dissemination of findings, and financial accountability must be reached.

6.8.8 Prospective research participants should be allowed to discuss their decision with their families or peers.

6.8.9 Alternative methods of recording consent should be sought if individuals do not want to sign a consent form but are willing to participate in the proposed research. These include the use of digital recordings of oral consent or the signing of a register.

6.8.10 If participants refuse or are afraid to sign a consent form or be recorded, the researcher must maintain a written record indicating that they were informed, understood, and agreed to participate in the research but declined to sign.

6.8.11 In some cases, consent from respected, traditional, or elected community leaders may be required.

6.8.12 Permission for research must be obtained from governmental bodies where necessary, but this should not be confused with community involvement.

6.8.13 Where AAMUSTED is the sole provider of an intervention as a result of any cycle of the research process, it should be aware that the community may not feel able to reject or question the research results and must take steps to forestall this risk.

PART 3: GUIDELINES FOR ANIMAL, PLANT, AND MOLECULAR AND CELL RESEARCH

SECTION 7: USE OF ANIMALS IN RESEARCH

7.1 The use of animals in scientific research shall only be justified if the benefits to both humans and/or animals outweigh the potential harm to the animal subject.

7.2 All research involving animals must be approved by AAMUSTED Research Ethics Committee before any research commences so that a formal evaluation of the potential harm/benefit can be undertaken.

7.3 All animal research conducted under the auspices of AAMUSTED should uphold the "Three R" principles for humane animal research, namely:

a) **Replacement** of "sentient" animals wherever possible, with "non-sentient" research models or systems in order to eliminate the use of animals that can experience unpleasant sensations.

b) **Reduction** of the numbers of animals in experiments by design strategies that facilitate the use of the smallest number that will allow valid information to be obtained from the study.

c) **Refinement** of animal sourcing, animal care practices and experimental procedures to eliminate physical and psychological distress within limitations imposed by the objectives of the research.

7.4 The acquisition, care and use of animals for research purposes in AAMUSTED must be done in accordance with the relevant Ghanaian legislations including but not limited to the following:

- The Animals (Control of Importation) Ordinance, 1952 (No 36)
- Regulations for the Control of the Importation of Animals 1952
- Animals (Artificial Insemination) Act, 1955 (Act 33)
- Diseases of Animals Act, 1961 (Act 83)
- Ghana Standards Authority Act, 2022
- Veterinary Surgeons Law, 1992 (PNDCL 305C)
- Fisheries Act, 2002 (Act 625)
- Fisheries Regulations, 2010 (L.I. 1968)
- Environmental Protection Act, 1994 (Act 490)
- Public Health Act, 2012 (Act 851)

SECTION 8: USE OF PLANTS IN RESEARCH

8.1 AAMUSTED supports the following ethical principles when plant research is conducted:

a) All plant researchers abide by the stipulations of the National Environmental Management Biosafety Act, 2011 (Act 831); and Environmental Protection Act, 1994 (Act 490), Phytosanitary certificate of Ghana,

b) The Ministry of Science, Environment, Innovation and Technology (MoSEIT) red list of endangered species in Ghana shall be followed to ensure the classification of the plant species in terms of whether they are endangered or not;

c) Indigenous plant species shall not be exploited, nor will the indigenous knowledge related to the plants;

d) Respect for the environment and/ or property from which plants or plant material is collected must be upheld.

8.2 Where required, permits shall always be sought for the transportation of plant material nationally and internationally.

8.3 Respect for habitat shall prevail when plant material is collected and only the quantity of plant material required to conduct scientific research should be harvested.

8.4 Collection of plant material should not endanger the existence of the species.

8.5 When agricultural research is done, cognizance shall be taken of the above-mentioned points when plants are used for crop purposes.

8.6 Experimental designs used in agricultural research shall not endanger the environment or persons involved in the research.

8.7 Care shall be taken to ensure that crop experimentation does not endanger future crops due to toxic residue in the ground caused by a particular experimental design.

8.8 The termination of an agricultural trial shall be considered in terms of the toxicity of the remaining ground in which the crop or plant trials had been conducted.

8.9 Water used in the irrigation of plant trials shall not damage the environment or any person, animal or living organism during or after the experiment or trial;

8.10 If insects are bred or used during any crop- or plant-related research trials or experiments, all possible measures shall be taken to ensure that the environment or any person, animal or living organism is not endangered in any way.

8.11 Spraying of crops or any plants shall follow strict health and safety procedures.

8.12 Plant boxes or any horticultural plant containers shall be returned to their original state or safely disposed of to ensure that the contamination of any new plant-related experiments is avoided or minimized.

8.13 All rules, regulations and guidelines that are used to guide plant research at AAMUSTED shall be upheld at all times.

SECTION 9: MOLECULAR AND CELL RESEARCH

9.1 AAMUSTED abides by all relevant Acts that regulate molecular and cell research as well as biomedical research in Ghana. Researchers conducting any form of molecular and/or cell research shall follow the principles of the applicable laws, regulations and guidelines.

9.2 Researchers should adhere to the following ethical principles when conducting molecular and cell research:

a) Laboratories should have particular Standard Operating Procedures (SOPs) for the procedures that will be undertaken in the laboratory.
b) Laboratories should ideally be accredited with the necessary documentation submitted as proof of accreditation.
c) Molecular and cell research projects should be registered with the relevant laboratory manager and a laboratory notebook/logbook should be kept for all processes in the experiment.
d) Researchers shall adhere to SOPs applicable in the research laboratory.

9.3 Researchers shall adhere to the appropriate guidelines when conducting genetically modified organism research.

9.4 Researchers shall adhere to the appropriate guidelines when conducting biomedical experiments.

SECTION 10: RESEARCH WITH ENVIRONMENTAL AND BIO-SAFETY CONCERNS

10.1 Care shall be taken to ensure that all research that could potentially harm the environment, including research with genetically modified organisms (GMOs), is carried out with the necessary respect for the impact that it could have on the physical, biological and spatial environment.

10.2 All researchers undertaking research with bio-hazardous material including GMOs that could potentially cause harm to the researcher and supporting staff, or other humans, animals or the environment must familiarise themselves with the relevant laws/regulations including:

- Biosafety Act, 2011 (Act 831);

- the Environmental Protection Act, 1994 (Act 490), and
- all the appropriate bio-safety and containment procedures.

10.3 This research must be submitted for ethical review and approval before the research commences.

PART 4: PUBLICATIONS ETHICS

SECTION 11: DEFINING THE POLICY OF CONDUCT ON PUBLICATIONS

11.1 The staff (teaching/non-teaching, full-time/ part-time) and students of AAMUSTED, are expected to demonstrate adherence to the ethical standards for publication as stipulated in this Policy on Research Ethics and Publications.

11.2 The Policy relates to the acceptable practices in publication activities undertaken by the staff and students of AAMUSTED, as well as the consequences of any misconduct in publication.

11.3 AAMUSTED is committed to maintaining the highest standards and integrity in publication-related activities. AAMUSTED expects all those involved in the publication to comply with the standards stipulated in the Policy. Good publication practices refer to the manner in which research publication is planned, funded, conducted, and results reported, published, and shared.

11.4 The essence of this Policy is to ensure:

a) that the integrity of AAMUSTED is enhanced, in the area of publication;
b) honesty in scientific communication;
c) accuracy in scientific communication;
d) transparency and openness in scientific communication; protection of the vulnerable in scientific communication;
e) the safety of human lives, animals, natural environment, and other living organisms in scientific communication; and
f) fairness and accountability in scientific communication.

11.5 Monitoring of the Policy

11.5.1 Staff of AAMUSTED and visiting staff must familiarise themselves with this Policy and its provisions and ensure that they and others working around them adhere to these provisions.

11.5.2 Students who publish in the name of AAMUSTED must adhere to the standards contained in this Policy.

SECTION 12: AUTHORSHIP OF PUBLICATIONS

12.1 An author is someone who makes a significant contribution to a study. Persons who are named as authors of a publication must meet all of the following criteria:

a) makes significant contributions to the study (conception of the idea, design, data collection, analysis and/or interpretation),

b) contribute to the production of the research,

c) approve the final version of the research,

d) willing to take responsibility for all aspects of the work in terms of its accuracy.

12.3 In addition to the above, an author may provide general supervision to the study and aid in the acquisition of funds for the study. It is unethical to be listed as an author of the publication without meeting the criteria stated above.

12.4 Order of Authorship

12.4.1 When a staff publishes an article with his/her colleague(s) and/or student(s), the order of authorship must be a joint decision. The authors must fill the mutual agreement form indicating their decision (see Appendix A).

12.4.2 That notwithstanding, publications which are drawn from a student's thesis must have both the supervisor and student listed as authors.

12.4.3 In a situation where a publication is drawn out of a student's thesis being a requirement for graduation, the student must be the first author.

12.5 The Use of Institutional Name as Author

12.5.1 In the event that the University commissions staff to conduct a study on it behalf, the publication of such study would be done with the name of the university listed as the author and referenced as such. The name(s) of the researcher(s) will, however, be listed as contributors to the publication.

12.6 Use of Institution Address

12.6.1 In the bid to increase the visibility of the University, the institutional address provided for published work by a faculty member in the service of the university, must be consistent with the following format:

- Department/Unit, Faculty/School/Institute/Centre/Directorate, University, Country.

- For example *Department of Hospitality and Tourism Education, Faculty of Vocational Education, Akenten Appiah-Menka University of Skills Training and Entrepreneurial Development, Ghana*.

12.6.2 However, the publishing house style should be considered where applicable.

12.6.3 In the event that the author is affiliated with another institution in addition to AMMUSTED, both institutions must be duly acknowledged.

SECTION 13: PUBLICATION INTEGRITY

13.1 Researchers are expected to exercise all honesty, integrity, objectivity and carefulness in conducting and disseminating research information.

13.2 Researchers must exercise due diligence and ensure that misconduct in scholarly publishing are avoided.

13.3 Data acquisition, management and use must be done ethically.

13.4 Original data set used for publications must be deposited in the University's repository.

13.5 Authors must show ownership or permission from the approving authority (where applicable) for the usage of the secondary dataset.

13.6 That notwithstanding, staff on study leave (postgraduate programs), and sabbatical leave in universities other than AAMUSTED, are not mandated to deposit their research data in AAMUSTED's repository.

SECTION 14: RECOGNITION OF SPONSORS AND CONSENT FOR PUBLICATION

14.1 In the event that a study enjoys funding, the terms and conditions of the funding agency must be adhered to. However, the conditions must be subject to the research ethics and publication policy of AMMUSTED.

14.2 Permission must be duly sought from funding agencies when the study is intended for publication and these agencies must be duly acknowledged.

SECTION 15: ACCEPTABLE PUBLICATION

15.1 Acceptable publications for AAMUSTED staff include refereed books and book chapters, peer-reviewed journal articles, peer-reviewed articles in conference proceedings, certified research (technical report), monographs and registered

inventions and patents. All published works must be deposited in the University Repository (subject to publisher deposit mandate).

15.2 Books and book chapters: A published book by AAMUSTED staff or students should bear an International Standard Book Number and can be published nationally or internationally, print or electronically.

15.3 Peer-reviewed articles: Articles must be published in peer-reviewed journals.

15.4 Posters: A poster presentation by AMMUSTED staff or students at local and international conferences approved by the University. At a conference, the work is usually peer reviewed, where researchers accompany a poster illustrating their methods and outcomes.

15.5 Technical report: A formal report designed by AMMUSTED staff or students, to convey technical information in a clear and easily accessible format. A technical report is a document written by a researcher detailing the results of a project and submitted to the sponsor of that project. It describes the process, progress, or results of technical or scientific research or the state of a technical or scientific research problem. This might include recommendations and conclusions of the research.

15.6 Registered patent: An exclusive right granted an AMMUSTED staff or students for an invention, which is a product or a process that provides, in general, a new way of doing something, or offers a new technical solution to a problem. To get a patent, technical information about the invention must be disclosed to the public in a patent application.

SECTION 16: REPORTING AND PUBLICATION OF RESEARCH

16.1 Reporting of research findings advances scientific knowledge. Researchers who conduct a study have the right and the duty to publish research findings in scientific journals, books and/or other media. When they agree to delegate this responsibility to other individual(s) or organisation(s) they should do so only if they have received a mutually agreed commitment to publish or disseminate the results within an agreed period, with an agreed content and in an agreed manner and with due recognition of the relevant researchers and AAMUSTED as an institution.

16.2 Where there is a conflict between the advancement of scientific knowledge and the protection of intellectual property (e.g. by way of patents) researchers should endeavour to explain the importance of publishing research to the inventor once the provisional application has been filed.

16.3 If a client/sponsor/funder requires non-publication of research results or requires giving prior approval for the manner and content of reporting, such research proposal may be rejected by the relevant Ethics Review Committee. If the request not to publish is based on strategic or other reasonable grounds, the committee may consider non-publication of results for no more than one year following the completion of the research. Input from the relevant college/institute/faculty/department/centre should be sought where there is a request not to publish.

16.4 Researchers should disclose in their publications the source(s) of funding and sponsors, if any, unless there is a compelling reason not to do so.

4.5.6 Researchers should in their publications explain the methodology used, and explain how any ethical dilemmas they encountered were resolved.

SECTION 17: RESEARCH ETHICS ADMINISTRATION

AAMUSTED Institutional Ethical Review Committee (AIERC) will be established to oversee research ethics. The AIERC will be an Academic Board Committee.

17.1 Membership and Functions of the AIERC

As determined by the Statutes

SECTION 18: FUNDS FOR PUBLICATION

To facilitate staff publications and improve the image of AAMUSTED, a Publications Fund will be established and managed for the purpose of publishing materials in furtherance of the university's mission.

18.1 The Committee

A Publications Funds Management Committee will be constituted to oversee the funds raised for publishing research output. The Committee's composition shall be as follows:

i. The Committee shall be under the Chairmanship of the Pro Vice-Chancellor;
ii. A representative of the Research and Conferences Committee;
iii. The Managing Editor of the AAMUSTED peer reviewed journal;
iv. Director, Directorate of Research, Innovation and Development
v. The University Librarian;
vi. Representative of the Finance Directorate;
vii. A Senior Member with demonstrable expertise in fund raising and management; and

viii. The Senior Assistant Registrar, Academic Affairs shall serve as Secretary to the Publications Funds Management Committee.

18.2 Functions

i. The Publications Fund Committee will be in charge of raising and disbursing funds, among other things or providing appropriate assistance to University staff for the purpose of publication;

ii. The Committee will accept applications for financial assistance for grants and publication of papers and books

iii. Create budgets and submit them to the Publications Board for approval by the committee; and

iv. Any other functions related to publication promotion throughout the University Community.

18.3 Funding Sources

The Publications Fund's funding sources shall include, but are not limited to, the following:

i. AAMUSTED will contribute seed money to the Fund for Publications;

ii. Deduction from AAMUSTED's research grants.

iii. Earnings from consulting and research projects

iv. Profits from the sale of journals, books, and other products;

v. Research conference proceeds (surplus); and

vi. Funding from industry stakeholders

Vii. Any other approved sources

18.4 Scope of Funding

Faculty members will be able to apply for assistance in the following areas:

i. Capacity building or training programmes on research and publication activities.

ii. Conference attendance leading to paper presentation for a publication.

iii. Book, journal, and other article publication

iv. Dissemination workshops or exhibitions, etc.

18.5 Types of Funding Support

The following types of assistance may be requested from the Publications Fund:

i. Financial and technical assistance to employees both attend conferences, seminars, and workshops to facilitate the exchange of ideas both locally and globally.

ii. Sponsor the publication of the Research Conference Proceedings, Workshops and seminars organized by the University or any other institution faculties, schools, institutes, centers, and so on; and

iii. Assistance in increasing staff capacity to write articles for books and publication.

18.6 Procedure for Accessing Funding

These rules will apply when accessing funds under this policy:

i. All members (Full-time employees or students) of the University Community may apply for the AAMUSTED Publication Fund

ii. All applications must go through the applicant's office Head of Department /Division /Unit; and Dean of Faculty/School or Institute Director (whichever is applicable).

iii. All recipients are required to acknowledge the assistance received from the publication's administration committee fund.

iv. Any individual or group of individuals who receive assistance to benefit from a capacity building program must share the knowledge gained with colleagues through a seminar or other means such as a workshop; and submit a written report to the Publication Committee through the department head/ division/unit, and dean of faculty/school director or institute.

v. v. All beneficiaries will be required to provide proof of publication (article or book copy) to the Committee in charge.

vi. A section of the Library will be dedicated to displaying Staff publications, or in case of a digital-only publication, in the University Repository.

vii. Only request from University personnel (full-time employees and students) will be considered for sponsorship by the Committee.

viii. The committee in charge of the Publications Fund shall make available to the University community through appropriate platforms its modalities for accessing funds.

SECTION 19: RESEARCH MISCONDUCT AND OTHER UNACCEPTABLE PRACTICES

Research misconduct is traditionally defined as fabrication, falsification, or plagiarism (i.e., FFP categorisation) in proposing, performing, or reviewing research, or in reporting research results (EFASH, 2017). These are defined according to the European Federation of Academies of Sciences and Humanities (EFASH, 2017) as follows:

- **Fabrication** is making up results and recording them as if they were real.

- **Falsification** is manipulating research materials, equipment or processes or changing, omitting or suppressing data or results without justification.
- **Plagiarism** is using other people's work and ideas without giving proper credit to the original source, thus violating the rights of the original author(s) to their intellectual outputs.

19.1 Procedures

19.1.1 Submission of Allegation

i. Research misconduct allegations could have implications for both the complainant and the respondent, so great care should be taken when documenting allegations.
ii. All allegations shall be made in writing to the chairman of the AAMUSTED Institutional Ethical Review Committee (AIERC).
iii. Documenting allegations of research misconduct must include detailed description of the individual(s) or person(s) involved and description of the alleged misconduct.
iv. The complainant must provide full details of himself/herself otherwise the allegation will be rejected.
v. Where possible the content of the allegation must be supported with evidence.

19.1.2 Notification to the Respondent

i. Upon receipt of allegations of research misconduct, the chairman of the AIERC shall send a formal notification to the respondent.
ii. The respondent shall be given the opportunity to respond in writing to the allegations within ten (10) days of receipt of notification.

19.1.3 Preliminary Assessment of Allegation

i. A quick determination will be made by the chairman of the AIERC based upon the complainant's statements and that of the respondent to see whether there is a question to answer or not.
ii. Depending on the outcome of the determination, the chairman of the AIERC shall determine whether to authorise a preliminary inquiry or to resolve the allegations through informal processes without further inquiry.
iii. In reviewing an allegation of research misconduct, the chairman of the AIERC shall determine whether the facts of the allegation fall within the definition of research misconduct and if there are sufficiently credible and specific evidence to identify research misconduct.
iv. If the allegation does not meet both of these requirements, the chairman of the AIERC shall dismiss the complaint and write to the persons involved of his/her decision. However, if the allegation does meet both the above-stated requirements, the chairman of the AIERC shall set up a committee to begin an inquiry into the matter.

19.1.4 Inquiry

The purpose of the inquiry is to conduct an initial review of the available evidence to determine whether to conduct an investigation.

i. The person being accused of misconduct herein the respondent shall be notify in writing of the decision to carry out an inquiry.
ii. The chairman of the AIERC shall appoint a committee comprise of three members with one from the accuser's department or unit. They shall make a determination as to whether or not a formal investigation should be carried out.
iii. The individuals appointed to undertake the inquiry shall be fair, objective and impartial and will possess, where required, the competence to understand the research in question.
iv. A written report from the inquiry shall be submitted to the chairman of the AIERC.
v. The report of the inquiry shall be given to the respondent for him/her to make a formal response within ten (10) days of receipt of the report.
vi. Based on the available evidence, the chairman of the AIERC will decide whether a further investigation is warranted.

19.1.5 Investigation

The purpose of the investigation is to conduct detailed or careful examination of the allegation in order to ascertain the facts.

i. In carrying out the investigation, a five-member Investigation Committee shall be set up by the chairman of the AIERC. A committee chair shall be selected from among the committee members.
ii. Where necessary, the chairman of the AIERC shall include appropriate expertise from within or outside the University to assist with the investigation.
iii. The committee is solely responsible for conducting detailed examination of the facts relating to the allegations.
iv. The Investigation Committee shall be prompt and fair, and complete the investigations within two months of its initiation.
v. After the investigation, a draft report detailing the evidence collected including a summary of all the relevant facts shall be presented to the chairman of the AIERC by the chair of the committee. The respondent shall also be presented with a copy of the draft report and given an opportunity to respond in writing within (ten) 10 days of receipt of the draft report.
vi. A final written report shall be presented to the chairman of the AIERC for appropriate actions to be taken.
vii. The AIERC shall take appropriate actions within two month of receipt of final report.

19.2. Options for Action

Research misconduct actions taken by the AIERC in consultation with the University Council shall be in line with the applicable laws, regulations and policies of the University. Recommended action taken shall be based on the following:

- no evidence of findings of misconduct
- evidence of findings of misconduct.

19.2.1 No evidence of findings of misconduct

i. If allegations are found not to be of research misconduct, the allegations shall be dismissed.
ii. Put in place appropriate actions to protect or restore the reputation of persons alleged to have engaged in research misconduct.
iii. If allegations were found to be of malicious intent, individual(s) involved may be subject to disciplinary action.

19.2.2 Evidence of findings of misconduct

i. Depending on the severity of the allegations, the respondent shall be reprimanded or suspended from the university following procedures of the University Disciplinary Committee.
ii. All published abstracts and papers emanating from the research shall be withdrawn.
iii. The respondent shall be removed from the project in question.
iv. The respondent shall pay back any funds as appropriate.
v. Inform any agency that is providing grant support, considering support, or has supported the research in question.

SECTION 20: REVIEW OF THE POLICY

To bring policy priorities in line with current trends, this policy document will be reviewed every three (3) years by AAMUSTED. The University will also introduce mechanisms to ensure effective feedback and replication of good practices in policy delivery.

Acknowledgement and Works Consulted

The following documents were consulted, and portions adapted in preparation of this policy document:

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APPENDIX A

MUTUAL AGREEMENT FORM FOR AUTHORS

Title of paper: ……
……
……
……

Name and address of corresponding author
Name:.....
Address:.....
Signature:.....

List of authors and contribution (Please list in the order agreed and/required)

Name of Author	Contributions	Signature
1	Conceptualisation [ ] Literature Review [ ] Methodology [ ] Data collection [ ] Data Analysis [ ] Paper Drafting [ ] Revision [ ] Supervision [ ] Funding acquisition [ ] Others [ ] ……	
2	Conceptualisation [ ] Literature Review [ ] Methodology [ ] Data collection [ ] Data Analysis [ ] Paper Drafting [ ] Revision [ ] Supervision [ ] Funding acquisition [ ] Others [ ] ……	
3	Conceptualisation [ ] Literature Review [ ] Methodology [ ] Data collection [ ] Data Analysis [ ] Paper Drafting [ ] Revision [ ] Supervision [ ] Funding acquisition [ ] Others [ ] ……	
4	Conceptualisation [ ]	

	Literature Review [ ] Methodology [ ] Data collection [ ] Data Analysis [ ] Paper Drafting [ ] Revision [ ] Supervision [ ] Funding acquisition [ ] Others [ ] ……	
5	Conceptualisation [ ] Literature Review [ ] Methodology [ ] Data collection [ ] Data Analysis [ ] Paper Drafting [ ] Revision [ ] Supervision [ ] Funding acquisition [ ] Others [ ] ……	
6	Conceptualisation [ ] Literature Review [ ] Methodology [ ] Data collection [ ] Data Analysis [ ] Paper Drafting [ ] Revision [ ] Supervision [ ] Funding acquisition [ ] Others [ ] ……	
7	Conceptualisation [ ] Literature Review [ ] Methodology [ ] Data collection [ ] Data Analysis [ ] Paper Drafting [ ] Revision [ ] Supervision [ ] Funding acquisition [ ] Others [ ] ……	

APPENDIX B

AKENTEN APPIAH-MENKA UNIVERSITY OF SKILLS TRAINING AND ENTREPRENEURIAL DEVELOPMENT
INSTITUTIONAL REVIEW BOARD (AAMUSTED-IRB)

APPLICATION FORM FOR ETHICAL CLEARANCE OF NEW PROPOSAL

INSTRUCTIONS:

1. Please complete all sections before it will be considered for ethical review. Submit five (5) **neatly comb bound** hardcopies of the proposal and all supporting documents (i.e. letters, consent form, check list, data collection instruments, CV.) to the AAMUSTED-IRB Office. In addition, send a soft copy of all documents to irb@aamusted.edu.gh to facilitate the review process.
2. The proposal and other documents should be paged separately. – *for proposal, follow the format attached.*
3. Use very clear font size such as Times New Roman 11pt / 12pt, Arial 11pt, Calibri 12pt.
4. Paper size should be A4
5. Margins 2.5 × 2.5 × 2.5 × 2.5cm
6. An application letter for ethical clearance by the PI(s)
7. A cover letter signed by the Supervisor should be added.
8. A cover letter signed by the Head from the PI's College/School/Faculty/Department should be added.
9. Complete and attach the consent form and check list
10. Add data collection instrument(s) *if any*
11. For student's application, an abridged Curriculum Vita of a Supervisor and the Student Investigator(s) should be added as an attachment. - *use the attached format*
12. For further information, contact AAMUSTED-IRB on the Email: irb@aamusted.edu.gh

IMPORTANT INFORMATION

a) Applicant will be provided with periodic updates by the AAMUSTEDIRB Secretariat on their application

b) Research Investigators who have started or already gathered their primary are NOT eligible to apply for Ethical Clearance from the AAMUSTEDIRB. The

AAMUSTEDIRB will withdraw an approved Ethical Clearance or suspend the review of an application if this is detected.

c) Research Investigators who do not respond to comment(s) on their reviewed protocol(s) within three (3) months will have their applications withdrawn by the AAMUSTED IRB. Such Investigators will have to re-apply after paying a fee of One Hundred Ghana Cedis (GH₵100.00).

d) Protocols that are deferred will attract a fee of One hundred Ghana Cedis (GH₵100.00), if re-submitted for review. This amount must be paid before the re-submission.

A. BACKGROUND INFORMATION

(Please type in your responses on this page)

Title of Proposal: .....

Principal Investigator: (Name, Qualification (Specialty), Department, Postal Address, Telephone, Fax number, email address)

Co-Principal Investigator(s): (Name, Qualification (Specialty), Department, Postal Address,
Telephone, Fax number, email address)

AAMUSTED STC NUMBER (Proposal number to be provided by the AAMUSTEDIRB Office):.....

STC Approval Date (If Applicable):.....

For Students: Attach approval letter from Head of Department and Supervisor

For Collaborating Institutions (Attach letter of Approval)

Source(s) of Funding:.....

Type of research: (Biomedical/social/behavioral,physical

B. FORMAT FOR PRESENTING PROPOSAL

DETAILS OF PROPOSAL: This should be the format of the full proposal

Executive summary (Not more than 250 words) *must be on a separate page*

Introduction/Rationale/Background

Justification/Significance of the study

Aim(s) and or Objective(s) of study

Methods

- Study design
- Population
- Sampling and sampling procedure
- Instruments
- Recruitment and training of field assistance (if any)
- Ethical issues and how you propose to deal with them
- Data collection procedures
- Data analysis
- Data management

Expected Outcome/Results

References

Work Plan

Budget

C1. INFORMED CONSENT FORM

INFORMED CONSENT FORM FOR ADULT

PART I: INFORMATION SHEET

Title: [*Name of research project*]

Principal Investigator: [*Name*]

Address: [*Name of institution/company and complete address*]

General Information about Research

(State clearly the objective of the research in easily-understood words. There must be a statement that the study involves research, an explanation of the purpose of the research and the expected duration of the participant's participation, a description of the procedures to be followed and the identification of any procedures which are experimental and what the participant(s) is/are supposed to do. All information about the research must be stated)

(NB: Avoid the use of technical language or jargons)

Procedures

To find answers to some of these questions, we invite you to take part in this research project. If you accept, you will be required to:
(the following applies only to focus group discussions) take part in a discussion with 7-8 other persons with similar experiences. This discussion will be moderated by [name of moderator] or myself.
(the following applies only to in-depth interviews) participate in an interview with [name of interviewer] or myself.
(the following applies only to questionnaire surveys) fill out a survey which will be provided by [name of distributor of blank surveys] and collected by [name of collector of completed surveys].

[Explain the reasons why a particular person is being selected to take part in the study] (e.g. You are being invited to take part in this discussion because we feel that your experience as a social-worker can contribute much to this discussion).
[Explain the type of questions that the participants are likely to be asked in the FGD or interviews or in the survey]
(***The following applies only to focus group discussions***) During this discussion, however, we do not wish you to tell us your personal experiences, but give us your opinion on the questions that we will pose to the group based on your personal experiences and your experience within your community. If you do not wish to answer any of the questions or take part in any part of the discussion, you may say so and keep quiet. The discussion will take place in [location of the FGD], and no one else but the people who take part in the discussion and the moderator or myself will be present during this discussion. The entire discussion will be tape-recorded, but **no-one will be identified by name on the tape**. Additionally, the tape will be kept [explain how the tape will be stored]. The information recorded is considered confidential, and no one else except [name of person(s) with access to the tapes] will have access to the tapes.
(***The following applies only to interviews***) If you do not wish to answer any of the questions posed during the interview, you may say so and the interviewer will move on to the next question. The interview will take place in [location of the interview], and no one else but the interviewer will be present. The information recorded is considered confidential, and no one else except [name of person(s) with access to the information] will have access to the information documented during your interview.
(***The following applies only to surveys***) If you do not wish to answer any of the questions included in the survey, you may skip them and move on to the next question. [Describe how

the survey will be distributed and collected]. The information recorded is considered confidential, and no one else except [name of person(s) with access to the information] will have access to your survey.

(***The following applies to all instruments***)

The expected duration of the [discussion, interview or survey] is about [length of discussion, interview, or survey] (e.g. 40-75 minutes).

Possible Risks and Discomforts

(Description of any reasonable foreseeable risks or discomfort to the participant. Include physical, social and psychological risk if anticipated.)

Possible Benefits (*Specific statement about benefit(s) to individual(s) and/or society that can be reasonably expected)*

Alternatives to Participation

(Disclosure of appropriate alternatives of treatment, if any, which might be advantageous to the respondents must be indicated).

(***This does not apply to all studies and usually used for intervention studies)***

Confidentiality

(A statement describing the extent, if any, to which confidentiality of records identifying the respondents will be maintained. For example, "We will protect information about you to the best of our ability. You will not be named in any reports. Some staff of [list all groups that may access the research records] may sometimes look at your research records").

Compensation

(*If there are any compensation packages either in cash or kind available for participants it must be clearly spelt out in terms of the actual amount to be given or gift to be given, conditions for receiving the package and when it will be made). Usually compensation should be given at the end of the study*

Additional Cost

(Any additional cost to the participant that may result from participation in the research should be stated). **This does not apply to all studies**

Staying in the Research

(*If the research method is to be used with another method, list conditions of use and any exceptions to the exclusive use requirements).* (**This does not apply to all studies**)

Voluntary Participation and Right to Leave the Research

(*A statement that the research is voluntary and participant can withdraw without penalty)*

Termination of Participation by the Researcher

(Any anticipated circumstances under which the participant's participation may be terminated by the investigator without regard to the participant's consent must be specified).

(This does not apply to all studies)

Contacts for Additional Information

(Give an explanation of whom to contact for answers to pertinent questions about the research and whom to contact in case of research-related injury. Give names and mobile numbers that are accessible to the participant)

Your rights as a Participant

This research has been reviewed and approved by the Institutional Review Board of Akenten Appiah-Menka University of Skills Training and Entrepreneurial Development (AAMUSTEDIRB). If you have any questions about your rights as a research participant you can contact the Administrator at the IRB Office between the hours of 8:00 am and 4:30 p.m. through the phones lines ……..or email address: irb@aamusted.edu.gh.

PART II: VOLUNTEER'S AGREEMENT

The above document describing the benefits, risks and procedures for the research title ***(name of research)*** has been read and explained to me. I have been given an opportunity to have any questions about the research answered to my satisfaction. I agree to participate as a volunteer.

Volunteer's Name:……...

Volunteer's Mark/Thumbprint……

Date: **……**

If volunteer cannot read the form themselves, a witness must sign here:

I was present while the benefits, risks and procedures were read to the volunteer. All questions were answered and the volunteer has agreed to take part in the research.

Witness's Name: ……

Witness's Mark/Thumbprint: ……

Date: **……**

I certify that the nature and purpose, the potential benefits, and possible risks associated with participating in this research have been explained to the above individual.

Researcher's Name: ……...

Researcher's Signature: ……

Date: **……**

D. CHECKLIST

Name of Principal Investigator:……..

Proposal ID (To be given by the Secretariat)……..

Title of Proposal:		PI TO COMPLETE		
		Yes	**No**	**N/A**
Vulnerable/High Risk Group				
1.	Is a vulnerable population being studied?	☒	☐	☐
If yes, tick the vulnerable population being studied?				
☐ Pregnant women ☐ Adolescents / Children ☐ Incarcerated / Prisoners	☐Elderly (above 60yrs) ☐Refugees ☐Those who cannot give consent (unconscious)	☐Persons with mental or Behavioural disorders ☐ Others		
2 .	Is the justification for studying this vulnerable population adequate?	☐	☐	☐
3.	Have adequate provisions been made to ensure that the vulnerable population is not being exploited?	☐	☐	☐
Comment(s) of chair of faculty/school/organisation review committee:				
Scientific and Technical Issues				
1.	Is the rational for the study clearly stated in the context of present knowledge?	☐	☐	☐
2.	Is the hypothesis to be tested fully explained?	☐	☐	☐
3.	Is the project design scientifically sound?	☐	☐	☐
4.	Where present, is the control arm adequate?	☐	☐	☐
5.	Are the inclusion and exclusion criteria complete and appropriate?	☐	☐	☐
6.	Are the types and methods for participant allocation appropriate?	☐	☐	☐
7.	Are the procedures for participant recruitment, admission, follow up and completion appropriate?	☐	☐	☐
8.	Are the drugs and/or devices to be used fully described?	☐	☐	☐

9.	Does the project design include appropriate criteria for stopping and discontinuing the research?	□	□	□
10.	Are the clinical procedures to be carried out fully described and appropriate?	□	□	□
11.	Are the laboratory tests and other diagnostic procedures fully described and appropriate?	□	□	□
12	Is the Statistical basis for the study design appropriate and is the plan for analysis of the data appropriate?	□	□	□
Comment(s) of chair of faculty/school/organisation review committee:				
Proposal ID (To be given by the Secretariat)……..				
		Yes	**No**	**N/A**
Informed Consent, Decision-making & Confidentiality				
1.	Is the information sheet free of technical terms, written in laypersons' language, easily understandable, complete & adequate?	□	□	□
2.	Does it make it clear that the proposed study is a research?	□	□	□
3.	Does it explain why the study is being done and why the participant is being asked to participate	□	□	□
4.	Does it clearly state the duration of the research**?**	□	□	□
5.	Does it provide participants with a full description of the nature, sequence and frequency of the procedures to be carried out?	□	□	□
6.	Does it explain the nature and likelihood of anticipated discomfort or adverse effects, including psychological and social risks, if any-and what has been done to minimize these risks, and the action to be taken if they occur?	□	□	□
7.	Does it outline the possible benefits, if any, to the research participants	□	□	□
8.	Does it outline the possible benefits, if any, to the community or to society?	□	□	□
9	If confidentiality is not possible due to the research design, has this been conveyed to all relevant persons?	□	□	□
10	Does it inform the research participants that their participation is **voluntary** and refusal to participate (or discontinue participation) will involve no penalty or loss of medical benefits to which the participant was otherwise entitled?	□	□	□
11.	Does it describe the nature of any compensation or reimbursement to be provided?	□	□	□
12	Does it provide the alternatives to participation?	□	□	□
13.	Does it provide the name and contact information of a person who can provide more information about the research project at any time?	□	□	□
14.	Has provision been made for participants incapable of reading and signing the written consent form (e.g. illiterate patients)? (Please attach)	□	□	□
15	Does it conclude with a statement such as ''I have read the foregoing information, or it has been read to me. I have had the opportunity to ask questions about it and any question I have asked have been answered to my satisfaction. I consent voluntarily to participate as a respondents in this study and understand that I have the right to withdraw from the study at any time without in any way it affecting my further medical care''	□	□	□

16.	Does it provide information to the research participants on the costs to the participants involved in terms or time, travel, man-days lost from work, etc. and reimbursements, if any?	□	□	□
17.	Has provision been made for respondents incapable of giving personal consent (e.g. for cultural reasons, children or adolescents less than the legal age for consent in the country in which research is taking place, respondents with mental illness, etc)? (Please attach).	□	□	□
18.	Does it outline the procedure that will be followed to keep participants informed of the progress and outcome of the research?	□	□	□
Comment(s) of chair of faculty/school/organisation review committee:				
Other materials, documents and study instruments (Patient recruitment material, Questionnaires)				
.		**Yes**	**No**	**N/A**
1	Is the Participant Recruitment Material (e.g. advertisements, notices, media articles, transcripts of radio messages) provided both in English and in the local language?	□	□	□
2.	Do these materials make claims that may not be true?	□	□	□
3.	Do they make promises that may be inappropriate in the research setting (e.g. provide undue incentives or emphasize remuneration?)	□	□	□
4.	Does the study involve questionnaires, diaries, study instrument?	□	□	□
5.	Are these attached to the proposal (In English and local language)?	□	□	□
6.	Are the questionnaires written in lay language and easily understood?	□	□	□
7.	Are the questionnaires relevant to answer the research question?	□	□	□
8.	Are the questionnaires worded sensitively?	□	□	□
9.	Does the consent information and form describe the nature and purpose of the questions to be asked?	□	□	□
10.	If applicable, does the consent information and form make it clear that some of the questions may prove embarrassing for the participant?	□	□	□
11.	Does the proposal describe how confidentiality of the questionnaires will be maintained (i.e. will they be coded or anonymised)?	□	□	□
12.	Does the consent information and form state that the participant is free to not answer any question?	□	□	□
13.	Where applicable, does the informed consent form make it clear that the in-depth interview or focus group discussion is likely to be audio or video taped?	□	□	□
14.	Where applicable, does the consent form mention how and for how long these tapes are going to be stored?	□	□	□
Comment(s) of chair of faculty/school/organisation review committee:				
. Yes			**No**	**N/A**
Clinical Trials				
1.	Is this a new drug or vaccine trial?	□	□	□
2.	If applicable, is clearance from the national drug regulatory authority attached?	□	□	□

3.	Is the Investigator's Brochure (including safety information) attached?	☐	☐	☐
4.	Is the Adverse Drug Reaction/Adverse Event Reporting form attached?	☐	☐	☐
5.	Has a Data Safety Monitoring Board been established?	☐	☐	☐
6.	Are the names of the chairperson and members of the DSMB available for the records?	☐	☐	☐
Comment(s) of chair of faculty/school/organisation review committee:				
Human Biological Materials		**YES**	**NO**	**N/A**
1,	Will human biological materials (tissues, cells, fluids, genetic material or genetic information) be collected as part of the research?	☐	☐	☐
2.	Does the consent information and form fully describe the nature, number and volume of the samples to be obtained and the procedures to be used for obtaining them?	☐	☐	☐
3.	Does the consent information and form indicate if the procedures for obtaining these materials are routine or experimental and if routine, are more invasive than usual?	☐	☐	☐
4.	Does the consent information and form clearly describe the use to which these samples will be put?	☐	☐	☐
5.	Does the consent information and form include the provision for the respondents to decide on the use of left-over specimens in future research of a restricted, specified or unspecified nature?	☐	☐	☐
6.	Does the consent information and form cover for how long such specimens can be kept and how they will be finally destroyed?	☐	☐	☐
7.	Does the proposal describe how specimens will be coded or anonymised?	☐	☐	☐
8.	Where applicable, does the consent form mention that genetic testing/genomic analysis will be carried out on the human biologic materials?	☐	☐	☐
Comment(s) of chair of faculty/school/organisation review committee:				

ABRIDGED CURRICULUM VITAE
Name:
Address:
Telephone (s):
Mobile
Fax
Email:
Educational Background:
Employment Records:
Major Research Projects Undertaken:
Recent Publications:
Membership of Professional Body(ies)

Note: should not be more than two (2) pages

ARRANGEMENTS OF PROTOCOL FOR REVIEW
APPLICATION LETTER(S) *(PI, SUPERVISOR'S CONSENT LETTER, COVER LETTER from Dept COLLABORATING SUPPORT LETTER from INSTITUTION OR INDIVIDUAL)*

BACKGROUND INFORMATION

PROPOSAL

INFORMED CONSENT FORM(S)

CHECKLIST

RESEARCH INSTRUMENT(S)

ABRIDGED CV' OF INVESTIGATOR(S) AND THE SUPERVISOR

Please Note: All documents must be paged separately and put together as **one word document** for submission. Thank you