



KOFORIDUA TECHNICAL UNIVERSITY

APPROVED POLICIES - 2024



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APPROVED POLICIES – 2024

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BAD DEBT POLICY

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1. **Policy Title:** **Bad Debt Policy**
2. **Policy Number:** **KTU FD001**
3. **Approval Authority:** **Governing Council**
4. **Functional Responsibility:** **Director of Finance**
5. **Approval Date:** **12/02/2024**
6. **Commencement Date:** **12/02/2024**
7. **Review Date:** **14/02/2028**

8. POLICY STATEMENT

- 8.1 The Policy establishes the standards to be adopted to remove uncollectible accounts from the general ledger of Koforidua Technical University (KTU).

9. POLICY OBJECTIVE

- 9.1 To ensure that the collection of debts is undertaken equitably.
- 9.2 To draw up a payment plan for retrieval of debts
- 9.3 To ensure that the collection of debts is consistent with statutory provisions

10. PRINCIPLES

The principles governing this policy are as follows:

- 10.1 Maximise debt collection
- 10.2 Personal responsibility
- 10.3 Integrity
- 10.4 Transparency
- 10.5 Accountability

11. SCOPE OF APPLICATION

- 11.1 This policy applies to the Directorate of Finance.

12. DECISION RULES

A. Collection of Debt from Students

- 12.1 Student debtors shall be given advance notice of their indebtedness.
- 12.2 Student debtors shall be offered the option to complete a Repayment Plan Agreement Form.
- 12.3 The repayment plan shall not exceed a period of two (2) months
- 12.4 Student debtors shall be declined request for services including the following but not limited to attestation, introductory letters, and English proficiency certificate among others.
- 12.5 Publication or access to results of student debtors shall be declined until amount owed is fully recovered.
- 12.6 Certificates of student debtors shall be withheld until the debt is paid

B. Collection of Debt from Staff

- 12.7 Staff debtors shall be served notice to pay debt
- 12.8 Staff debtors shall be given a payment agreement to complete
- 12.9 Recalcitrant staff debtors shall have the debt deducted from allowances such as honorarium including Book and Research.
- 12.10 Where a staff debtor is due for retirement, his/her debt shall be recovered from the End of Service Benefit.
- 12.11 Separated Staff debtors shall be referred to the University Lawyer for legal action.

C. Collection of Debts from Institutions

- 12.12 Institutional debtors shall be served notice and given a specific time period to repay.
- 12.13 Negotiations shall be initiated to discuss repayment of debt with concerned institution
- 12.14 All institutional debtors shall be referred to the University Lawyer for advice

D. Condition for Writing Off Debts

- 12.15 When the estimated cost of collection of debt is equivalent to the debt figure or exceed the debt
- 12.16 When the debtor is deceased without estate to recover the debt
- 12.17 When the debtor does not own or have the right to own assets

13. ROLES AND RESPONSIBILITIES

- 13.1 The Director of Finance shall maintain a register for all debtors including students.
- 13.2 The Director of Finance shall present quarterly debtors list to Management for consideration.
- 13.3 The Director of Finance shall prompt Management to submit recommended list of bad debts through the Audit Committee to Council for approval.
- 13.4 The Director of Finance shall on a monthly basis review debtors list to ensure that bad debts are written off in a timely manner.
- 13.5 The Director of Finance shall ensure that proper journal entries are made in the general ledger.

14. POLICY PERFORMANCE INDICATORS

- 14.1 The number of bad debt recorded.
- 14.2 The number of debts recovered.
- 14.3 The number of audit queries.

15. ENFORCEMENT

- 15.1 The Internal Auditor shall ensure compliance to the Policy.

16. DEFINITION OF TERMS/ABBREVIATIONS

Definition of Terms

- 16.1 **Student Debtor:** An individual who has been enrolled in a programme in the University and owes monies to the University
- 16.2 **Staff Debtor:** An individual who has been employed by the University and owes money to the University.
- 16.3 **Bad Debt or Bad Debt written off:** debts assessed as being uncollectible.
- 16.4 **Separated Staff:** staff of the University who left the employment of the University on grounds of retirement, resignation, vacated post and death.
- 16.5 **KTU - Koforidua Technical University**

17. EXCEPTIONS

- 17.1 The Policy shall not apply if the debt is fully discharged in bankruptcy or if the account is disputed and the University has insufficient documentation to pursue collections.

18. REFERENCES

- 18.1 <https://www.bucks.ac.uk/sites/default/files/2021-03/bad-debt-policy.pdf> (2021)
- 18.2 Macedon Ranges Shire Council Debt Policy (2003)
- 18.3 Oregon State University Debt Policy (2004)

DISASTER RECOVERY POLICY

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1. **Policy Title:** Disaster Recovery Policy
2. **Policy Number:** KTU_DRP001
3. **Approval Authority:** Governing Council
4. **Functional Responsibility:** Registrar
5. **Approval Date:** 12/02/2024
6. **Commencement Date:** 12/02/2024
7. **Review Date:** 14/02/2028
8. **POLICY STATEMENT**

- 8.1 This Policy shall ensure that Koforidua Technical University (KTU) (hereafter referred to as the University) will continue its operations in the event of any natural disaster or event which can lead to the loss of resources necessary to carry out the University's operations.

9. POLICY OBJECTIVES

- 9.1 To provide information and procedures necessary to rapidly respond to a disaster or emergency situations.
- 9.2 To serve as a guide for the University's Recovery Team.
- 9.3 To provide procedures and resources needed to assist in recovery.
- 9.4 To assist in avoiding confusion during a crisis by storage, safeguarding, documenting, testing and reviewing recovery procedures.
- 9.5 To identify alternate sources of services in emergency situations

10. GUIDING PRINCIPLES

The principles governing this policy are as follows:

- 10.1 Understanding the context
- 10.2 Recognising complexities
- 10.3 Using community-led approaches
- 10.4 Ensuring coordination of all Activities
- 10.5 Employing effective and efficient communications
- 10.6 Acknowledging and building capacity
- 10.7 Inclusiveness and openness

11. SCOPE OF APPLICATION

The Policy shall apply to:

- 11.1 The entire University Community
- 11.2 Any other person (s) who come to assist/finds himself/herself in the University during a disaster.

12. DECISION RULES

- 12.1 Management and employees will continue their responsibilities to the University and exercise their authority to implement this continuity plan in a timely manner when confronted with disasters.
- 12.2 The Vice-Chancellor shall be notified immediately in the event of any major system failure that has direct interference with the core activities of the University (teaching/research/community service).
- 12.3 There shall be a recovery team (Crisis Control Team) drawn from experts within the University related to disaster by Management.
- 12.4 There shall be a Crisis Control Team which is adhoc in nature. The Team will handle all matters relating to an actual or potential disaster and the on-going task of Disaster Recovery Planning, including the implementation of disaster prevention activities.
- 12.5 The Vice-Chancellor has the right to establish various teams as may be necessary to secure business continuity.
- 12.6 The Registrar shall be the designated principal contact with employees, the media, regulatory agency, government agencies and other external organizations in the event of the declaration of a formal disaster.
- 12.7 Public releases in relations to disasters and emergencies shall be subject to approval by Management.
- 12.8 There shall be full and incremental backups of all information (Soft and Hard) and kept officially for the minimum period of six (6) years as per law.
- 12.9 All computerized automated backups shall be done daily at 12:00 midnight.
- 12.10 All manual backups should be done daily at 9:00am if automated backups fail.
- 12.11 The University shall computerise all of its backups by 2027.

- 12.12 The Policy shall complement the national attention and effort in case the disaster takes a national dimension.

13. ROLES AND RESPONSIBILITIES

- 13.1 The Crisis Control Team shall exist as an adhoc team to coordinate all matters relating to an actual or potential disaster and see to the on-going task of disaster recovery planning including the implementation of disaster prevention activities.
- 13.2 All departments (teaching/non-teaching) shall be accountable for carrying out the provisions in the plan.
- 13.3 Key Management officers shall ensure all relevant documents are in fireproof and waterproof cabinets.

14. POLICY PERFORMANCE INDICATORS

- 14.1 A clear procedure for managing emergency and disaster controls established.
- 14.2 A secured up-to-date backup system established.
- 14.3 A Fully computerised system by 2027

15. DEFINITION OF TERMS/ABBREVIATIONS

- 15.1 KTU - Koforidua Technical University
- 15.2 VC - Vice Chancellor
- 15.3 CCU - Crisis Control Unit

16. REFERENCES

- 16.1 Technical Universities Act, 2016 (Act 922)
- 16.2 <http://link.springer.com>
- 16.3 University of Ghana Disaster Policy

ENTREPRENEURSHIP TRAINING POLICY

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1. **Policy Title :** Entrepreneurship Training Policy
2. **Policy Number:** KTU_RES004
3. **Approval Authority:** Governing Council
4. **Functional Responsibility:** CEID Coordinator
5. **Approval Date:** 12/02/2024
6. **Commencement Date:** 12/02/2024
7. **Review Date:** 14/02/2028

8. Policy Statement

- 8.1 Koforidua Technical University shall provide a platform for students, staff and the broader community to engage in entrepreneurial skills development and training.

9. Policy Objectives

- 9.1 To promote the generation of business ideas and provide support services for trainees and departments.
- 9.2 To foster strong collaboration among trainees, industry and the University
- 9.3 To prepare beneficiaries for self-employment and employment.

10. Principles

The principles governing this policy are as follows:

1. Inclusiveness
2. Fairness
3. Integrity
4. Openness
5. Accountability
6. Passion
7. Leadership
8. Patience and Humility

11. Scope of Application

- 11.1 The policy shall apply to all trainees and facilitators of the Centre.

12. Decision Rules

A. Training logistics

- 12.1 The Centre shall develop training modules for all programmes offered.
- 12.2 The Centre shall make available requisite logistics for effective training.
- 12.3 The Centre may collaborate with local industries where it lacks capacity especially in areas of equipment and expertise.

B. Training Requirements

- 12.4 Students shall be required to attend a two (2) hour practical sessions per week.
- 12.5 Attendance by external participant(s) shall be negotiated with the coordinator of the Centre.

C. Facilitation

- 12.6 Facilitators shall be experts in their fields with considerable experience.
- 12.7 Research shall form the basis for innovation at the Centre.

D. Collaborations

- 12.8 The Centre shall work in close collaboration with the Innovation, Technology Transfer and Research Centre Development (ITTRCD), Business Development Centre (BDC) and the Institute of Open and Distance Learning (IODL) and all other relevant Faculties in the University.
- 12.9 The Centre shall collaborate with various Artisanal and Craftsmanship Associations in the region and Ghana at large.

13. Roles and Responsibilities

- 13.1 There shall be a Coordinator who shall see to the day-to-day operations of the Centre.
- 13.2 There shall be facilitators to take participants through practical training sessions.
- 13.3 Facilitators shall assess trainees' competencies at the Centre.

14. Policy Performance Indicators

- 14.1 An increase in knowledge transfer partnerships.
- 14.2 Number of businesses set up by graduates of the Centre increased.
- 14.3 Availability of training resources/equipment in the Centre

15. Definition/Abbreviations

- 15.1 The Centre – CEID: Centre for Entrepreneurship and Innovation Development
- 15.2 ITTRCD - Innovation, Technology Transfer and Research Centre Development,
- 15.3 BDC - Business Development Centre
- 15.4 IODL - Institute of Open and Distance Learning

16. References

- 16.1 Technical Universities Act, 2016 (Act 922)
- 16.2 Industrial Attachment Policy of KTU
- 16.3 <https://oecd-ilibrary.org>

ETHICS FOR SECURITY PERSONNEL POLICY

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1. **Policy Title:** Ethics Policy for Security Personnel
2. **Policy Number:** KTU_SEC002
3. **Approval Authority:** Governing Council
4. **Functional Responsibility:** Deputy Registrar, Administration
5. **Approval Date:** 12/02/2024
6. **Commencement Date:** 12/02/2024
7. **Review Date:** 14/02/2028

8. POLICY STATEMENT

All Koforidua Technical University (hereafter referred to as KTU) Security Guards shall conduct themselves at all times in a manner that reflects the ethical standards consistent with the rules and regulations of the University.

9. POLICY OBJECTIVES

- 9.1 To provide standards of conduct for Security Personnel.
- 9.2 To promote professionalism and excellence among Security Personnel
- 9.3 To motivate Security Personnel to do the right thing always

10. GUIDING PRINCIPLES

The principles governing this policy are as follows:

1. Leadership
2. Honesty and Integrity
3. Compassion and Empathy
4. Respect
5. Responsibility and Accountability
6. Loyalty
7. Law abiding
8. Environmental Consciousness
9. Inclusiveness
10. Fairness, Openness and Transparency
11. Time Consciousness

11. SCOPE OF APPLICATION

This policy applies to security personnel of Koforidua Technical University

12. DECISION RULES

- 12.1 Security personnel shall obey and comply with all the regulations and orders applicable
 - 12.1.1 Personnel shall obey all lawful commands
 - 12.1.2 Personnel shall not wilfully violate any local or state laws.
 - 12.1.3 No member of the Security Department shall incur a liability, chargeable against the Department, without proper authorization.

12.1.4 Personnel shall maintain fitness and sufficient competency to perform their duties and their responsibilities.

12.2 Accountability, Responsibility and Discipline

12.2.1 Personnel shall be directly accountable for their actions through the chain of command, to the Head of the Department.

12.2.2 Personnel shall cooperate fully in any administrative investigation conducted by the security department or other authorized departments and shall provide complete and accurate information with regard to any issue under investigation

12.2.3 Personnel shall be accurate, complete, and truthful in all matters.

12.2.4 Personnel shall accept responsibility for their actions and inactions without attempting to conceal, divert, or mitigate their true culpability nor shall they engage in efforts to thwart, influence, or interfere with an internal or criminal investigation.

12.2.5 Personnel who are arrested, cited, or come under investigation for any criminal offence in this University or another jurisdiction shall report this fact to a superior as soon as possible.

12.2.6 Upon returning to duty from any period of absence, the Head of Security shall update all affected Security personnel about all new orders, University rules and regulations, policies, memoranda, and all other important matters governing their assignments.

12.3 Conduct Toward Fellow Employees

12.3.1 Personnel shall conduct themselves in a manner that will foster cooperation among members of the University, showing respect, courtesy and professionalism in their dealings with one another.

12.3.2 Employees of the Security Department shall not use foul language or engage in acts that demean, harass, or intimidates other colleagues.

12.3.3 All Security personnel shall cooperate and coordinate their efforts with other employees to ensure maximum effectiveness.

12.3.4 All Security personnel shall transmit all official communications promptly, accurately and completely to other members of the department as required and shall immediately notify their supervisors of any matter of importance that came to their attention over the course of their shift, or otherwise.

12.3.5 All Security personnel shall come to the immediate aid, assistance or protection of fellow Personnel who, in the performance of their duties, require such aid and assistance.

12.4 Conduct toward the Public

- 12.4.1 All Security personnel shall conduct themselves toward the public in a civil and professional manner that connotes a service orientation and that will foster public respect and cooperation.
- 12.4.2 Security personnel shall treat violators with respect and courtesy, guard against employing an officious or overbearing attitude or language that may belittle, ridicule, or intimidate the individual, or act in a manner that unnecessarily delays the performance of their duty.

12.5 Use of Alcohol and Drugs

- 12.5.1 Security personnel shall not consume any intoxicating beverage while on duty.
- 12.5.2 No alcoholic beverage shall be served or consumed on premises or in vehicles owned by the University (except as provided in the exceptions)
- 12.5.3 No Security personnel shall report for duty reeking of alcoholic beverage.
- 12.5.4 No Security personnel shall report to work or be on duty as a Security Guard when his or her judgement or physical condition has been impaired by alcohol, medication, or other substances.
- 12.5.5 Security personnel shall report the use of any substance, prior to reporting for duty that impairs their ability to perform their duties.
- 12.5.6 Supervisors shall order a drug or alcohol screening test when they have reasonable suspicion that a Security guard is using and/or under the influence of drugs or alcohol.

12.6 Abuse of Security Powers or Position

- 12.6.1 Security personnel shall report any unsolicited gifts, gratuities, or other items of value that they receive and shall provide a full report of the circumstances of their receipt if directed.
- 12.6.2 Security personnel shall not purchase, convert to their own use, or have any claim to any found, impounded, abandoned, or recovered property, or any property held or released as evidence.
- 12.6.3 Security personnel are prohibited from using information gained through their position as security men and women to advance financial or other private interests for themselves or others.
- 12.6.4 Security personnel who institute or reasonably expect to benefit from any civil action that arises from acts performed under cover of authority shall inform their superiors.

13. ROLES AND RESPONSIBILITIES

13.1. Management

- 13.1.1 Shall employ only highly trained and competent personnel to ensure they are fully aware of the requirements of this policy and standards.
- 13.1.2 Shall organise periodic training for all Security Personnel

13.2 Head of Security

- 13.2.1 Shall be the spokesperson for all security-related issues.
- 13.2.2 Shall create and maintain good channels of communication and support across various departments.
- 13.2.3 Shall create digital security management programs and prioritize security initiatives and issues.

13.3. Security Personnel

- 13.3.1 All Security personnel shall serve the interests of the University.
- 13.3.2 All security personnel shall be honest in thoughts, deeds in his/her, personal or official actuation.
- 13.3.3 All security personnel shall be expected to obey the laws of the land and the rules laid down by the University.
- 13.3.4 Security personnel shall not disclose any confidential information.
- 13.3.5 Security personnel shall perform their duties with decorum and shall not personalize prejudice or interfere with other people's work.
- 13.3.6 Security personnel shall assist the University in its drive against lawlessness and crimes
- 13.3.7 Security personnel shall carry out all of their duties to the best of their abilities.
- 13.3.8 Security personnel shall wear their uniforms as a symbol of trust and confidence for the public.
- 13.3.9 Security personnel allegiance should be with the University.
- 13.3.10 Security personnel shall diligently adhere to the rules and regulations laid down by the University.
- 13.3.11 Security personnel shall be courteous, professional and respectful

while performing their duties.

13.3.12 Security personnel shall always carry their identification cards.

13.3.13 Security personnel shall never use their post or position for personal gains.

13.3.14 Security personnel shall maintain attentiveness at all while on duty.

13.3.15 Security personnel shall refrain from reading on duty.

13.3.16 Security personnel shall not indulge in illegal activities or stick against the University.

14. POLICY PERFORMANCE INDICATORS

Low number of reported cases of misbehaviour on the part of Security Personnel.

15. DEFINITIONS OF TERMS/ABBREVIATIONS

15.1 KTU - Koforidua Technical University

16. REFERENCES

16.1 Code of Ethics of KTU

16.2 TU Act, 2016 (Act 922)

16.3 Online.marquette.edu

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| 1. Policy Title: | Examinations Policy |
| 2. Policy Number: | KTU_AA002 |
| 3. Approval Authority: | Governing Council |
| 4. Functional Responsibility: | Deputy Registrar Academic |
| 5. Approval Date: | 12/02/2024 |
| 6. Commencement Date: | 12/02/2024 |
| 7. Review Date: | 14/02/2028 |

8. POLICY STATEMENT

This policy is to guide the successful conduct of examinations in Koforidua Technical University (KTU) and ensure the efficient operation (planning and management) of examinations system with clear guidelines for all relevant stakeholders.

9. POLICY OBJECTIVES

To guide stakeholders in the successful conduct of examinations in the University.

10. GUIDING PRINCIPLES

The principles governing this policy are as follows:

- 10.1 Fairness
- 10.2 Integrity
- 10.3 Transparency
- 10.4 Accountability
- 10.5 Security
- 10.6 Accuracy
- 10.7 Professionalism
- 10.8 Efficiency

11. SCOPE OF APPLICATION

This policy covers all stakeholders involved in examinations conducted in the University.

12. DECISION RULES

- 12.1** All examinations shall be conducted in accordance with Examinations Guide of the University.

- 12.2** As a minimum, all assessments will be moderated internally prior to moderation by external examiners to ensure consistency. The University will determine the appropriate method of moderation for its own courses. Moderation must always include an element of double or second marking.
- 12.3** Marking must be undertaken either with the University defined grades or aligned to the University's grades if a numeric or other scheme is used, and this must be specified as part of the course assessment information provided to students. Grades are defined in the University's Examinations Guide.
- 12.4** Assessment grades and feedback shall be provided to students as soon as possible but not later than ten (10) weeks after the close of the examinations.
- 12.5** A student shall have the right of appeal once s/he is not satisfied with awarded grades.

13. EXCEPTIONS

A student affected genuinely by unforeseen problems which were not within his/her control shall be given an opportunity to take the assessment on a later date based on submitted reasonable evidence.

14. ROLES AND RESPONSIBILITIES

14.1. Quality Assurance and Academic Planning Directorate

Quality Assurance and Academic Planning Directorate shall perform the following functions before and during examinations conducted by the University:

14.1.1 Prepare and release provisional examinations timetable to the faculties and departments six (6) weeks before the start of End-of-Semester Examinations.

14.1.2 Prepare and publish the final end-of-semester's examinations timetable four (4) weeks before the examinations.

14.1.3 Liaise with relevant departments and directorates to ensure that all necessary arrangements are in place before the start of the examinations.

14.1.4 Monitor all examinations processes

14.1.5 Audit examinations results periodically

14.2. Academic Affairs Division

The Examinations Section shall be responsible for the following:

14.2.1 Submit a budget of all logistics needed for examinations to the Director of Finance **at most six (6)** weeks before the start of End-of-Semester Examinations.

14.2.2 Provide all logistics needed for the conduct of examinations to the Faculty Examination Officers two (2) weeks before the start of examinations.

14.2.3 Prepare and submit provisional Invigilators Schedule for End-of-Semester Examinations to departments and faculties four (4) weeks before the start of examinations.

14.2.4 Prepare and submit final Invigilators Schedule to departments and faculties two (2) weeks before the start of End-of-Semester Examinations.

14.2.5 Shall receive and manage all reports on the conduct of examinations.

14.3 Information and Communications Technology (ICT) Directorate

The ICT Directorate:

14.3.1 Shall publish final examinations timetable on the University's Website two weeks prior to the start of the End-of-Semester Examinations when made available by the Quality Assurance and Planning Directorate.

14.3.2 Shall assign and provide Heads of Department access to the Students Management Systems of the University for onward assignment to lecturers.

14.3.3 Shall replace lost Identity Cards (IDs) by students before the start of End-of-Semester Examinations at a fee to be determined by Management.

14.4 Students' Services Section

The Students' Services Section shall perform these functions:

14.4.1 Publish lists of registered students eligible to write the End of Semester Examinations two (2) weeks after the deadline for registration.

14.4.2 Publish the list of re-sit/supplementary students eligible to write the End of Semester Examinations two (2) weeks before the commencement of the examinations.

14.4.3 Shall ensure that all first year students are provided with Koforidua Technical University's ID cards.

14.5 Estates Section

The Estate Section shall perform the following functions:

14.5.1 Shall provide adequate and suitable furniture before the start of End-of-Semester Examinations.

14.5.2 Shall properly clean designated examination halls during and after the End-of-Semester Examinations.

14.5.3 Shall provide good lightening systems for Examination Halls at all times.

14.6 Security Section

The Security Section shall be responsible for the following:

14.6.1 Shall provide general security for all stakeholders before, during and after examinations.

14.6.2 Shall be required to walk out any candidate whose conduct is deemed as endangering any stakeholder before, during and after examinations.

14.7 Examiners

14.7.1 All examiners shall submit their corrected examinations questions to the Faculty Examinations officers three (3) days before the paper in question is to be written.

14.7.2 Examiners shall be required to be present at least 30 minutes at the examination venue and shall be exempted from invigilating during the period.

14.7.3 Examiners shall be required to set separate sets of questions for the various sessions (Regular, Evening and Weekend) for the same course.

14.7.4 Examiners shall submit their marked scripts in addition to the result report from the Online Management System to office of their respective Heads of Department six (6) weeks after end of examinations.

14.7.5 Examiners who fail to comply with anyone or all above shall be referred to the disciplinary committee for sanctions.

14.8 Invigilators

14.8.1 Invigilation shall be compulsory for all academic staff of the University.

14.8.2 Invigilators shall inspect students' ID cards to avoid unauthorized persons entering into examinations halls

14.8.3 Invigilators shall report at least thirty (30) minutes before the start of examinations.

14.8.4 Invigilators who report thirty (30) minutes late before the start of examinations shall not be allowed to invigilate the paper, and shall be sanctioned.

14.9 Deans and Directors

14.9.1 Deans and Directors shall act as supervisors during End-of-Semester Examinations

14.9.2 Deans shall present the results of the various departments under their faculties during Academic Board Meetings.

14.9.3 Deans shall collaborate with Faculty Examination Officers to ensure smooth and credible examinations.

14.10 Academic Heads of Department

The Academic Heads of Department shall:

14.10.1 Act as supervisors during end-of-semester examination.

14.10.2 Assign Lecturers their respective courses on the Students Management Systems of the University two weeks before the End of Semester Examinations.

14.11 Faculty Examinations Officers

The Faculty Examinations Officers shall be responsible for the following:

14.11.1 Shall make available Invigilators' Schedules from the Examinations Office to Departmental Examinations Officers.

14.11.2 Co-ordinate and supervise all examinations in their faculties.

14.11.3 Liaise with Departmental Examinations Officers and Heads of Department to ensure smooth examinations.

14.11.4 Collect all logistics necessary for the conduct of examinations from the Examinations Office.

14.11.5 Collect all moderated questions for printing at least two (2) days before the start of End of Semester Examinations.

14.11.6 Collaborate with the examinations office to resolve all issues relating to examinations under their faculties.

14.11.7 Attend to the needs of invigilators at their faculties during End-of-Semester Examinations.

14.11.8 Present results at the Faculty Examinations Board meetings.

14.11.9 Write reports on the conduct of End-of-Semester Examinations to Deans of their faculties and submit copies of such reports to the various Key Officers including the Examinations Office and the Quality Assurance and Planning Directorate.

14.12 Departmental Examinations Officers

Departmental Examination Officers shall perform the following functions:

14.12.1 Lecturers are properly assigned to their courses on the Assessment Management System two weeks before the End of Semester Examinations.

14.13 Students

14.13.1 Registration

To be eligible to partake in any of the University's examinations:

Students shall be required to register for their courses at the beginning of every semester.

14.13.1.1 Deadlines for students' registrations shall be strictly adhered to.

14.13.1.2 Students who fail to register their courses without reasonable excuse shall not be allowed to write the semesters' examinations.

14.13.2 Other Eligibility Criteria for Students.

To be eligible for admission into examinations halls:

14.13.2.1 Students shall present valid Koforidua Technical University's ID Cards.

14.13.2.2 Students shall not enter examinations halls with programmable calculators/or electronic gadgets except as authorized by the examiner.

14.13.2.3 Students shall not enter examinations halls with unauthorized materials.

14.13.2.4 Students shall not borrow any examination materials during examinations.
i.e. calculators, erasers, pencils, pens, etc.

14.13.2.5 Students shall report at the examination venues at least 30 minutes before the start of examinations.

14.13.2.6 A student, who reports thirty (30) minutes or more after the start of an examination, shall not be allowed to write the paper for which he/she arrives late.

14.13.3 Students' Appeal against Grade/Marks Awarded

Where a student believes that an error has been made or an injustice was done in respect of the grade/mark awarded for a course, the student shall request for a review of the grade/mark after payment of an appropriate fee.

This request shall:

14.13.3.1 Be made in writing to the Head of Department concerned by stating the grounds for review.

14.13.3.2 The Head of Department shall nominate an academic staff with similar academic background to review the student's script.

14.13.3.3 Student shall be notified within ten (10) working days of filing the complaint the outcome of the review/re-mark.

14.13.3.4 A student who is dissatisfied with the outcome of the review of the grade/mark shall lodge a formal appeal to the appropriate Dean within 10 working days of notification of the outcome of the review.

14.13.3.5 The Dean shall nominate an academic staff with similar background to review the student's script.

14.13.3.6 A student who is not satisfied with the decision from the review shall have the right of appeal to the Academic Board for redress.

14.13.3.7 Fees paid by a student towards the re-marking shall be refunded if his/her request for review or appeal is upheld.

15. POLICY PERFORMANCE INDICATORS

15.1 Minimum records of examinations malpractices.

15.2 Integrity of examinations enhanced.

16. DEFINITION OF TERMS/ABBREVIATIONS

16.1 KTU - Koforidua Technical University

16.2 ICT - Information and Communications Technology

17. REFERENCES

1. York St John University (2012). Principles of e-submission, marking and feedback using Moodle. [online]. York: York St John University. Available from: <http://www.google.co.uk/url?sa=t&ret=j&q=&esrc=s&source=web&cd=1&cad=rja&uact=8&ved=0CCEQFjAA&url=http%3A%2F%2Fwww.yorks.ac.uk%2Fdocs%2FSubmission%2520%26%2520Marking%2520Principles%2520%2520APPROVED.docx&ei=3kodVfebA9LhaOnKgKAM&usg=AFQjCNGZUIpqU2HKJFA916UhZO3N7fGt-Q> [Accessed 17 April 2019]
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FOREIGN TRAVEL POLICY

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1. **Policy Title:** Foreign Travel Policy
2. **Policy Number:** KTU_IPIL001
3. **Approval Authority:** Governing Council
4. **Functional Responsibility:** Dean, International Programmes and Institutional Linkages
5. **Approval Date:** 12/02/2024
6. **Commencement Date:** 12/02/2024
7. **Review Date:** 14/02/2028

8. POLICY STATEMENT:

- 8.1 Koforidua Technical University (KTU) shall have a work-related foreign travel policy that seeks to enable it manage its risk and resources associated with working and travelling abroad.

9. POLICY OBJECTIVES

- 9.1 To establish links with relevant Institutions abroad
- 9.2 To provide for the health, safety and resource needs for all such travels
- 9.3 To manage the risks and resources associated with working and traveling abroad
- 9.4 To provide opportunities with respect to all academic discourse abroad.

10. GUIDING PRINCIPLES

The principles governing this policy are as follows:

- 10.1 Security
- 10.2 Integrity
- 10.3 Transparency
- 10.4 Honesty
- 10.5 Objectivity
- 10.6 Ethical standards
- 10.7 Cost effectiveness
- 10.8 Accountability
- 10.9 Insurance
- 10.10 Be worthy Ambassadors

11. SCOPE OF APPLICATION:

- 11.1 This policy applies to all KTU staff and students on all forms of foreign travel.

12. DECISION RULES

A. Approval Process

- 12.1 Management approval shall be sought in all cases of work-related foreign travels.

- 12.2 Staff shall be required to apply through the immediate HoD/Dean and the Dean of International Programmes and Institutional Linkages (IPIL) to the Vice Chancellor
- 12.3 A student shall be required to apply through the student's Head of Department office for permission to travel.
- 12.4 The approval shall be sought between six (6) to eight (8) weeks prior to the trip
- 12.5 Upon approval, a staff or student would be required to liaise with the IPIL office for processing.
- 12.6 All students embarking on foreign travels at the cost of the University shall provide a guarantor.
- 12.7 The guarantor shall provide the original document of a landed-property which shall properly be kept by the Registrar of the University.

B. Travelling Arrangements

- 12.8 A staff or student preparing to travel must possess a valid passport with an expiry date not less than six (6) months
- 12.9 A staff or student scheduled to travel but not possessing a valid passport must inform the IPIL and fill a passport application form not less than three (3) months to the expected departure date (in exceptional cases, the IPIL shall facilitate the passport acquisition).
- 12.10 A staff or student preparing to travel shall seek guidance on visa application from the IPIL
- 12.11 Where special documents are required for processing the visa (e.g. invitation letters), the applicant must secure such a document early to facilitate processing
- 12.12 All documents for travelling shall be submitted to the IPIL for onward processing four (4) weeks to the date of departure.
- 12.13 The IPIL shall forward the application to the relevant embassy for visa acquisition
- 12.14 Where the visa application is submitted by the applicant, the applicant shall periodically inform the IPIL of the status of the application.
- 12.15 The IPIL shall in consultation with the applicant book an appropriate and affordable

flight for the trip.

- 12.16 The flight shall at all times, except in exceptional cases, be an economy flight

C. Post-Trip

- 12.17 Upon return from a foreign trip, a staff or student shall be required to submit a detailed report on the visit to Vice Chancellor through the Dean of IPIL not later than 21-days after return.

D. Numbers and Composition on Official Trips

- 12.18 Staff shall not embark on work-related foreign trips exceeding three (3) times in an academic year

E. Conferences and other related trips

- 12.19 In cases of conferences, all facilitation and expenses shall be borne by the department / faculty concerned.
- 12.20 In special conferences, where a Key-Officer delegation is expected, not more than five (5) delegates shall be selected to attend.
- 12.21 In international recruitment of students, the International Student Recruitment team shall be supported to embark on the trip.
- 12.22 Staff studying abroad on scholarships shall be supported with their travelling needs per sponsorship prevailing conditions in the University.

F. Expense Report

- 12.23 An expense report shall be prepared by the applicant for approval by the immediate Head immediately after completion of the trip.
- 12.24 The period for submission of the expense report shall not exceed 21-days after return from the trip.
- 12.25 Failure to submit the expected report shall result in none-payment of any expected reimbursement
- 12.26 Delinquent charges incurred as a result of delay in submission of report shall be borne by the staff or student concerned.
- 12.27 Receipts for all expenses over ten US dollars (\$10) is mandatory.

13. Reimbursement

- 13.1 Reimbursements shall not be paid for items indicated without supporting receipts
- 13.2 A receipt shall be original and shall include sufficient information to establish the amount, date, place and essential character of the expenditure
- 13.3 Credit card receipts shall not be considered as adequate support, except for restaurant expenses if they do not detail the nature of the expenditure
- 13.4 Reimbursements shall be made by institution cheque if the amount of expenses exceeds the amount of any cash advances or prepaid items.
- 13.5 All amounts shall be converted and paid in Ghana Cedis using the prevailing exchange rates

14. Reimbursable Expenses

- 14.1 Expenses deemed to be reimbursable under this policy shall include the following: Internal air travels, Airport taxes, Baggage handling, photocopy services (for institution purposes), Fax charges (for institution purposes), Hotel accommodation, Laundry and Valet services (trips over 7 working days), Public transportation (rail, bus, institution use of personal vehicle taxi/shuttle), Institutional telephone calls, Tolls and parking.

15. Non-Reimbursable Expenses

- 15.1 Items that are considered non-reimbursable under this policy includes: Dues to airline clubs, fines for traffic violations while on Institutional trip, damages to staff /student(s) vehicle while on Institutional trip, loss of personal property while on Institutional trip, loss of cash advance, University paid airline tickets, or personal funds, cost of personal credit cards, purchase of life insurance during travel, purchase of clothing and other personal items such as haircuts, shoe shines, newspapers, magazines, tobacco, alcohol, etc., purchase of in-room movies and entertainment, medical expenses (other than emergency care).

16. ROLES AND RESPONSIBILITIES

- 16.1 The Dean of IPIL shall be responsible for all Institutional linkages and collaboration initiatives.

16.2 All efforts by departments and faculties to establish external partnerships shall be required to be certified by the Dean of IPIL.

16.3 The Dean of IPIL shall provide an institutional framework to guide all applicants seeking for external partnerships and collaborations

17 POLICY PERFORMANCE INDICATORS

17.1 The number of staff and students who embark on foreign travels every academic year satisfactorily.

17.2 The availability of guidelines and framework facilitating international travels and institutional partnership establishments

17.3 Increased outcomes of institutional collaborations and linkages

17.4 Prompt responses to the requests and needs of staff and students abroad

18 ENFORCEMENT

18.1 A framework for institutional collaboration must be developed and enforced

18.2 Failure to use and follow institutionally approved framework for external collaboration shall result in non-recognition of the collaboration

18.3 Where an applicant fails to comply with an expected timeframe for application and submission of relevant documents, the Institution shall not be held liable even in exceptional cases.

18.4 Where an applicant fails to involve the IPIL in any visa application procedures or inform the office of the progress of any application thereof, the office shall not be held liable for any adverse outcomes of the application.

19 EXCEPTIONS

19.1 Where applicable, a special consideration shall be made for persons who exhaust their allowable maximum travel slots per academic year.

19.2 The maximum allowable travel slots shall not be applicable to the key Officers of the institution.

- 19.3 Where a staff's or student's travel abroad is financed by an external institution, such trip shall not be counted as part of the allowable maximum trips for an academic year.

20 DEFINITION OF TERMS AND ABBREVIATIONS

- 20.1 **Staff:** Any person who is a confirmed full time employee of KTU
20.2 **IPIL:** International Programmes and Institutional Leakages
20.3 **KTU:** Koforidua Technical University

21 REFERENCES

- 21.1 Koforidua Technical University Statutes, 2019
21.2 Conditions of Service of Technical Universities, 2023
21.3 University of Ghana Foreign Travel Policy, 2020

KTU RESEARCH POLICY (GENERAL)

1. **Policy Title: KTU Research Policy (General)**
2. **Policy Number: KTU_RES001**
3. **Approval Authority: Governing Council**
4. **Functional Responsibility: The Vice Chancellor**
5. **Approval Date: 12/02/2024**
6. **Commencement Date: 12/02/2024**
7. **Review Date: 14/02/2028**

8. POLICY STATEMENT

- 8.1 Koforidua Technical University (KTU) shall provide an environment that fosters research and the creation, enhancement and dissemination of knowledge in all disciplines.
- 8.2 KTU shall encourage good research practices through freedom of enquiry, freedom to challenge conventional thought, opportunity to conduct research using both human and animal subjects, commitment to high scientific and ethical standards, sound governance framework for research and the right to disseminate research results.

9. POLICY OBJECTIVES

- 9.1 Ensure that the University carries out cutting-edge research through academic and scientific partnership with the best tertiary and research institutions as well as with key industry stakeholders both locally and internationally.
- 9.2 Encourage joint research, publications, the development of new products and patents.
- 9.3 Promote exchange of faculty members and graduate students with Peer Institutions for research projects.
- 9.4 Ensure that faculty members and students are trained and exposed to up- to- date research techniques and new trends in various fields of endeavour.
- 9.5 Ensure commitment to high ethical, professional and academic standards in carrying out research.
- 9.6 Make quality research the hallmark of excellence in increasing knowledge, understanding and insights in all disciplines at the University for the benefit of industry, business and the wider society.

10. GUIDING PRINCIPLES

The principles governing this policy are as follows:

- 10.1 Empathy
- 10.2 Confidentiality
- 10.3 Informed Consent
- 10.4 Integrity
- 10.5 Transparency

- 10.6 Honesty
- 10.7 Objectivity
- 10.8 Responsible publication
- 10.9 Respect for intellectual property
- 10.10 Respect and care for persons
- 10.11 Respect and care for social and cultural contexts.
- 10.12 Respect and care for the natural environment.
- 10.13 Avoidance of conflict of interest

10. SCOPE OF APPLICATION

- 10.1 This policy applies to University faculty members, staff, students and all research stakeholder groups, partners and affiliated institutions as well as all disciplines in which research work is undertaken.

11. DECISION RULES

A. Creating Conducive Research Environment

- 11.1 The university shall recognize and reward research staff who excel in their fields.
- 11.2 The University shall sponsor staff visits to established research centres both local and international.
- 11.3 The University shall sponsor staff to attend and present papers at both local and international conferences of significant value.
- 11.4 The University shall encourage inter-departmental research as well as faculty and departmental seminars on important subjects relevant for research.
- 11.5 KTU shall reduce the teaching load of staff engaged in cutting-edge research projects.
- 11.6 The University shall improve the International Journal of Technology and Management Research (IJTMR) by ensuring high quality Editorial Board and recognize research publications in IJTMR for promotion/career advancement.
- 11.7 The University shall pay for membership subscription fees to enable staff gain access to papers and journals from professional bodies.
- 11.8 The University shall source for external funding for research projects.
- 11.9 The institution shall continue to organize and improve the Annual Applied Research Conference.
- 11.10 KTU shall monitor and evaluate research practices and projects.
- 11.11 The University shall encourage attachment of faculty members and researchers to relevant institutions.

B. CONSULTANCY SERVICES

- 11.12 The University shall encourage faculty members to occasionally engage in consultancy services in relevant fields without breaching the Code of Ethics relating to conflict of interest.

C. OPENNESS IN RESEARCH

- 11.13 The University is committed to openness as well as free and honest exchange of ideas in research activities.
- 11.14 The University shall not encourage secret research projects.

D. MULTIPLE AUTHORSHIP OF PAPERS

- 11.15 The University shall accept multiple authorship of papers provided:
- i. Authors agree on shared responsibility
 - ii. Each author/contributor has access to procedures relating to data collection and analysis
 - iii. Each author/contributor has access to the paper before publication.
 - iv. Authors/Contributors agree on protocols for data management at the start of the project.

E. OWNERSHIP OF RESEARCH

- 11.16 Every research project shall have a Principal Investigator (PI).
- 11.17 Ownership of research shall encompass the PI, the sponsoring institution or funding agency and any other recognized participant or partner.
- 11.18 The institution shall own the project data but the PI and the funding agency shall have “rights” to access and use of the data.
- 11.19 The PI shall have physical custody of the data on behalf of the sponsoring institution.
- 11.20 KTU shall have the right of ownership of any research project conducted under its auspices and shall therefore assume responsibility for how professionally and ethically the research is carried out.
- 11.21 A PI may be granted stewardship over the project data and may control the direction, publication, patenting and copyright of any innovative output or results of the research under the overall supervision of the Directorate of Research and Innovation (D.R.I).
- 11.22 Researchers shall not automatically assume that they can take research project data with them when they leave the services of K.TU.

- 11.23 The university may continue to maintain ownership of the project data as long as the PIs remain in the employment of the University.

F. TRANSFER OF DATA

- 11.24 The University shall determine whether individuals who participate in research projects can take away copies of project data when they leave the service of the university.
- 11.25 When a PI leaves the service of KTU and a research project is to be moved to another institution, ownership of the research data may be transferred only with the approval of the University on the basis of a written agreement with the PI's new institution.
- 11.26 This agreement shall guarantee:
- i. New institution's custodial responsibility for the project data.
 - ii. KTU shall continue to retain the ownership of the original research project data but the PI shall be granted access to it when necessary.

G. FUNDING

- 11.27 Where research projects are funded by government agencies, philanthropic organizations or private sector industries, specific regulations regarding data management and dissemination shall be included in the Research Protocol Agreement.
- 11.28 The PI and University authorities shall comply with provisions in the Protocol Agreement in respect of the research project and related data management.
- 11.29 The Director of Research and Innovation and the Research Development Coordinators shall be responsible for monitoring the usage of research funds.
- 11.30 The funds shall be held in trust by the DRI and transferred to the Research Project originators after the kick-off of project execution.

H. GRANT RESEARCH

- 11.31 While the PI retains control over agreed scope of project, the DRI shall hold the funds in trust for the project originators.

I. CONTRACT RESEARCH

- 11.32 Contract Research shall be subjected to strict regulations, requirements and expectations.
- 11.33 The PI shall coordinate decision-making with the funding agency during project execution. The funding agency shall assign a project officer to oversee project implementation and ensure the achievement of the agency's goals.

11.34 Contract fund disbursement shall be by instalment linked to the project milestone dates.

11.35 Funds for this type of research project shall be held in trust for project originators by the D.R.I.

J. REWARD FOR ORIGINATORS OF RESEARCH PROPOSAL

11.36 All originators of winning research proposals shall be given an appropriate reward based on agreed percentage of the research grant.

K. RESEARCH AND TEACHING ACTIVITIES REQUIRING ETHICAL APPROVAL

11.37 Research students shall make their own application for ethical approval after consultation with their project supervisors.

11.38 Approval shall be sought for research and teaching activities which involve access to personal information not already publicly available.

11.39 Approval shall be sought for research activities involving administration of questionnaires and surveys within and outside the premises of the University.

11.40 Prior approval shall be sought for research and teaching activities involving adult human participants, human tissue, and children, elderly people and other special groups.

11.41 Independent bodies associated with the University shall also make application prior to the KTU Ethical Review Board to seek prior approval for research and teaching activities.

K. RESEARCH AND TEACHING MERIT

11.42 All proposed research projects shall satisfy minimum academic standards as follows:

- i. Project proposals must have clear goals and research design must be sufficiently robust to meet these goals.
- ii. The researcher/supervisor must have appropriate qualifications and expertise to carry out or supervise the research project.
- iii. The benefit of the research must be clear cut.

M. MISCONDUCT

Where university faculty members and student researchers fail to obtain required ethical approval or act contrary to the decision/ conditions set by the appropriate Ethics Committee, this shall amount to misconduct and shall be dealt with under the University's Code of Conduct.

N. PLAGIARISM AND SIMILARITY INDEX

- 11.44 University faculty members and student researchers shall adhere to the appropriate University acceptable Similarity Index percentage as well as what is considered a plagiarism.

The following shall suffice:

- i. Plagiarism refers to the use of the ideas, structures or argument, or phrases of others without appropriate acknowledgement.
- ii. Plagiarism ranges from the submission by a student of an entire essay or project done by someone else to the inclusion in a paper of a phrase that is not properly quoted or documented, even though the source may be included in the list of works cited.
- iii. Such intellectual phrases borrowed from others must be identified as quotations and fully attributed.
- iv. Koforidua Technical University as an educational institution shall use the Turnitin software to help the academics to reduce plagiarism and also enhance academic integrity.
- v. The University shall define the acceptable Turnitin similarity total score for each of the category actors within the University. The Turnitin similarity total score shall not deviate so much from best practices.

a. Staff

The Turnitin similarity total score for all staff shall be 20%. The 20% Turnitin Similarity Report Total Score is a better approximation for staff, and it has also been used by many International Universities.

b. MTech/PhD Students

High academic standards are expected from junior faculty members of the University. They are expected to produce high quality work free from plagiarism. Their project work shall have Turnitin similarity total score of 20%.

c. Bachelor of Technology

The Bachelor of Technology students in the University shall have their project works checked for plagiarism. The proposed Turnitin similarity total score for Bachelor of Technology students should be 20%.

d. Higher National Diploma

The project work of Higher National Diploma students shall have a Turnitin similarity total score of 25%.

e. Diploma in Business Studies and other University Diplomas

The proposition is that Diplomas in Koforidua Technical University Turnitin similarity total score should be 30%.

12. ROLES AND RESPONSIBILITIES

A. CREATING CONDUCTIVE RESEARCH ENVIRONMENT

- i. The University shall approve and apply a standard and workable research policy
- ii. document that will step up KTU's lead in applied science and technology research.
- iii. The University shall make deliberate effort to deeply resource the Research Directorate to facilitate their role in the coordination of research activities in the University.
- iv. Establish reward package for research success.

B. CONSULTANCY SERVICES

1. Preliminary Statement

Faculty research output is central to the growth, development and ranking of Koforidua Technical University (KTU).

KTU staff are encouraged to take part in consultancy services whether in private or for the University. Consulting for KTU, however, is highly encouraged as it provides deliverables like:

- i. Improving the University's reputation.
- ii. Enhancing the financial position of both staff and the University.
- iii. Improving staff skills and competencies.
- iv. Fostering partnerships and nurturing.

2. University Consultancy Planning

- i. Staff who wish to undertake consultancy on behalf of the University shall seek written approval from the Vice Chancellor.
- ii. Staff intending to undertake consultancy with any organisation must first do a thorough background check on the organisation and its general health as part of the engagement process.
- iii. Staff must ensure that client underscores the proposed deliverables of the consultancy.
- iv. The University shall not be constrained in its normal dealings as a result of the consultancy.

- v. In all cases, staff must follow principles which enhance integrity, image and value of the University.
- vi. Consultancy pricing by staff shall be at full cost recovery, perhaps return a surplus to the University based on the Terms of Reference (ToR), fair pricing, responsible practices, and follows the rule of competitive pricing. The entire pricing must feature the principles as follows: both direct costs and indirect costs should be outlined accurately and fully covered.
- vii. Consultancies which are of community service in nature should be priced below full cost and the benefits should be quantified and recorded as evidence. Such an organisation may include: all aspects of work for a non-profit organisation and other charitable entities.
- viii. Staff intending to undertake consultancy must adhere to all aspects of risk and risk policy of the University.

3. Approval of University Consultancy

- i. There shall be approval of consultancy services by the Vice Chancellor of the University for Faculty members to undertake with a value exceeding GH¢ 50,000.
- ii. Approval of consultancy services by the Pro Vice Chancellor of the University for Faculty members to undertake with a value between GH¢ 20,000 and up to GH¢ 50,000 subject to periodic review.
- iii. Approval of consultancy services by the Director of Research of the University for Faculty members to undertake with a value not exceeding GH¢ 20,000 subject to periodic review.
- iv. The Vice-Chancellor shall be copied or notified for approval in the case of ii and iii.
- v. The approval amount (as stated in ii and iii) is subject to annual reviews and economic trends.

C. OPENESS IN RESEARCH

- i. Staff and students of the University shall strictly comply with ethics of research.
- ii. The University shall enforce the appropriate sanctions in any reported cases of misconduct, plagiarism or academic dishonesty.

D. MULTIPLE AUTHORSHIP OF PAPERS

Scientific publication is a team effort. KTU is committed to collaborative research that advances the body of knowledge in diverse fields.

1. Responsibilities of Authors

- i. It is the responsibility of authors/researchers to take the necessary steps to prepare their manuscripts as per the requirement of the journal they have selected to publish the research work.
- ii. Researchers/authors are required to publish their scientific works in peer-reviewed double-blinded journals as determined by KTU.
- iii. Final manuscript must be shared with all the authors and it should have approval of all the authors.
- iv. Researchers should note that authorship brings responsibility and authors have to be accountable to the data and results which are published.
- v. Copyright transfer form should be signed by all the authors before submitting to the journal. Signing the copyright form brings responsibility.
- vi. It is dishonest to omit an author who has made significant contributions.
- vii. It is dishonest to include names of ghost author(s) in research article.
- viii. A ghost author, guest or gift/honorary author is someone who is named as an author, but who did not contribute in a meaningful way to the design, research, analysis, or writing of a paper.
- ix. Researchers should be aware of the University's policy on use of guest or gift authors.
- x. Guest or gift authors refer to well-known and well-respected individuals in the field of research. The inclusion of their names in the author list increases the chances of acceptance of the research document for publication. In some cases, PIs may also give honorary authorship to their colleagues for encouraging collaborations and maintaining good working relations or as repayment of favors. Whatever the cause, gift or guest authorship is an unacceptable practice in publication.

2. Authorship Order

- i. The University shall determine the rules for authorship.
- ii. The question of authorship order shall be responsibility of team members.
- iii. The number of authors shall be maximum of 8, and each must make significant contributions to the research project defined as follows:

2.1 All Authors

All the authors shall be given the same marks irrespective of the position on the research output, analysis and manuscript under consideration.

D. OWNERSHIP OF RESEARCH

Academic life revolves around publications. Publication adds to the credibility of the research and brings fame and recognition to the author(s) and University at large.

1. Who Qualifies as an Author?

An author shall be defined as an individual who fulfils the listed criteria collectively:

- i. Made substantial contributions to conception and design;
- ii. Helped in the acquisition of data, or analysis and interpretation of data;
- iii. Assisted in drafting the article or revising it critically for important intellectual content;
- iv. Contributed to the final approval of the version to be published.
- v. Individuals who have provided technical services/translating text/identifying patients for study/ supplying material/providing funds/applied statistics/ medical writers are not eligible for authorship.
- vi. All contributors who do not meet the criteria for authorship should be listed in the acknowledgement section.

2. Responsibility of Author

Authorship is not just a list of names. It is the matter of pride that has to be deserved, earned, and declared.

To maintain the integrity and credibility of research and to nourish the trust of public in scientific endeavours, all authors must follow the rules of good scientific publication practice and should stick to the following responsibilities:

- i. Do not fabricate or manipulate the data.
- ii. Avoid plagiarism and give proper acknowledgement to other works.
- iii. Decide the order of authorship prior to writing the paper to avoid future conflicts
- iv. Declare whether research work has been published or presented before.
- v. Avoid ghost/gift/guest authorship.
- vi. Do not submit the manuscript to more than one journal for simultaneous consideration.
- vii. Take approval from the University Ethical Review Committee before conducting research.
- viii. Take direct responsibility for appropriate portions of the content (Section D).

F. TRANSFER OF DATA

- i. In keeping with Section, copies of any research project document shall be kept in the University repository.
- ii. Students shall deposit copies of their final project work at the University Library, which in turn shall make the document available in its repository.

- iii. Approved examination questions and all marked scripts shall be kept with the Head of Department.
- iv. DRI shall be the custodian of original documents on research projects/consultancy services undertaken by staff or on behalf of KTU.

G. FUNDING

- i. Where research projects are funded by government agencies, philanthropic organizations or private sector industries, PIs shall inform the University (Vice Chancellor) in writing in good time prior to the commencement of the project.
- ii. The University shall provide a response to the PI within seven (7) working days starting from the day of receipt of the PI's communication.
- iii. Terms and conditions in this Section shall apply in the management of the funds.

H. GRANT RESEARCH

- i. DRI shall manage the University grant repository, and keep the University community informed of available grants.
- ii. Application for available grants shall be done on the University grant repository.
- iii. Grant-based research projects shall be approved by the Vice Chancellor.
- iv. The Vice Chancellor shall call for a presentation on any grant research.
- v. ?*PIs shall provide a progress report on the research project to the Vice Chancellor as may be determined by the University.
- vi. Terms and conditions in Section H.11.31 shall apply in all grant research projects.
- vii. PI shall be entitled to 2% of the grant obtained and such payments shall be immediate once the grant is received.
- viii. The PI and the Team shall be put on monthly payment on the administration of the grant work.

I. CONTRACT RESEARCH

- i. The Vice Chancellor shall approve the contract research.
- ii. PIs shall provide a progress report on the research project to the Vice Chancellor as may be determined by the University.

- iii. Terms and conditions in this Section shall apply in all Contract Research projects.

J. REWARD FOR ORIGINATORS OF RESEARCH PROPOSAL

- i. The Vice Chancellor shall approve the grant research proposal.
- ii. The PI shall indicate his/her acceptance of the terms and conditions regulating grant and consultancy services in the University.
- iii. The University shall set a prescribed reward package for staff who contribute in diverse ways to the writing of grant proposal.
- iv. Depending on the grant secured, KTU shall pay 2% of the amount received upfront to the originator(s) of the research proposal.

K. RESEARCH AND TEACHING ACTIVITIES REQUIRING ETHICAL APPROVAL

- i. The Faculty shall provide a copy of the University research guidelines to the students Twelve (12) months prior to the commencement of students' final project work.
- ii. Supervisors are required to guide the students and ensure all the necessary protocols are followed.
- iii. Final project work shall be submitted to the Turnitin software and must attain the required Turnitin similarity total score of (See Section N of grant/research policy).
- iv. Staff research manuscript be submitted to the Turnitin software and must attain the required Turnitin similarity total score.

L. RESEARCH AND TEACHING MERIT

- i. Final year students' project work which satisfy minimum academic standards shall be approved by the supervisor.
- ii. The supervisor shall award the student (s) the desired marks as per the grades outlines in the University Students Handbook.
- iii. The University shall accept for staff promotion, publications which meet the minimum research standards.

M. MISCONDUCT

- i. The University Code of Conduct shall be applied to all manner of misconduct found to have occurred in relation to research conducted.

- ii. The Pro Vice Chancellor shall constitute an independent Fact-Finding Committee as part of regulations established in the University Code of Conduct.
- iii. The Fact-Finding Committee shall investigate the alleged misconduct and submit their report recommending the appropriate sanctions.
- iv. The Vice Chancellor shall constitute a Disciplinary Committee who shall consider the report of the Fact-Finding Committee.
- v. The Registrar shall communicate the decision of the Fact-Finding Committee for the next line of action.

N. PLAGIARISM AND SIMILARITY INDEX

The terms in Article 8.4 shall be applied to the University staff, students and any research document.

12.1 Submission of Turnitin and the Review Process

- 12.1.2 Details on the submission of research manuscript to Turnitin shall be provided in the University guidelines.
- 12.1.3 The University guidelines will be made available to students at the beginning at least twelve (12) months before their final submission date.
- 12.1.4 After a student's project work has been submitted to Turnitin, the supervisor nominated by the Faculty shall review the text comparison report within ten (10) working days.
- 12.1.5 In exceptional cases, where reviewer suspects academic integrity, safety protocols and plagiarism to be in breach, manual checks may be undertaken with the outcome reported to the candidate/main supervisor/sponsor and to the University Ethical Review Board.

12.2 Where Reviewer Finds No Plagiarism

Where the nominated reviewer finds no suspected plagiarism in the manuscript, he/she shall report the outcome to the candidate and to the Vice-Chancellor.

12.3 Where the Reviewer Finds Suspected Plagiarism

- 12.3.1 Where the nominated reviewer finds suspected plagiarism, he/she must notify the University as soon as possible through the Vice-Chancellor, in writing, with the relevant evidence.
- 12.3.2 The University must also inform the candidate, PIs and the KTUERC.

- 12.3.3 The Faculty Ethical Review Board (or its nominee) shall consider the evidence and, where it is considered to be a minor or poor academic practice, may forward the case to the Pro-Vice Chancellor through the Dean for the University Academic Board's decision.
- 12.3.4 The Academic Board may decide that it is minor poor academic practice, and that the research document must therefore be re-submitted to Turnitin and to the Academic Board with correct referencing.
- 12.3.4 The Pro Vice-Chancellor shall set a deadline of up to four (4) weeks from the notification of the decision to the PI or candidate, with any necessary support to be provided by the supervisor (In the case of student project work).
- 12.3.5 In exceptional cases, the Pro Vice-Chancellor may decide on a longer period and may grant extensions to the deadline.
- 14.3.3 The Faculty Dean (or nominee) must inform the candidate, the main supervisor and the Head of Department of the decision of poor academic practice, in writing.
- 12.4 In all other cases, the Faculty Dean must convene a faculty panel to investigate the suspected plagiarism, which will involve the panel interviewing the candidate/student/PI.
- 12.4.1 The panel must consist of at least three academic members of staff without previous direct involvement with the candidate/PI, including (i) a member of the candidate's Faculty, (ii) a member of another Faculty and (iii) Faculty Administrator.
- 12.4.2 The Faculty Dean must appoint a nominee with appropriate experience to chair the panel. To maintain impartiality, the Faculty Dean must not chair or be a member of the panel.
- 12.4.3 The Faculty Administrator must attend to provide advice on regulations and is also responsible for ensuring that a formal note of the interview is taken.
- 12.4.4 The purpose of the interview is to determine whether plagiarism (or other transgressions in academic integrity) has occurred and to allow the candidate/PI to make representations and to present mitigating factors.
- 12.4.5 Where the candidate declines to attend the interview, the panel shall continue the investigation with the available evidence. Any obstruction or lack of engagement from the candidate must be included in the panel's report.
- 12.5 The Panel's Decisions**
- 12.5.1 Following the investigation, the panel must first decide whether the candidate has committed the offence of plagiarism (or another transgression in academic integrity).
- 12.5.2 If the panel decides that the offence has not been proved, no further action shall be

taken under this procedure. The Chairperson of the panel shall inform, in writing, the candidate, the main supervisor, the Head of Department, the Faculty Dean, and the Pro-Vice-Chancellor of its decision.

- 12.5.3 If the panel finds that the offence of plagiarism (or other transgression) has been committed, the panel shall determine the seriousness, taking into account (i) whether it is the first or subsequent offence, and (ii) the extent and significance of plagiarism (or other transgression) in the dissertation.

12.6 Referral to the Academic Board

- 12.6.1 Where the panel finds that the offence of plagiarism (or other transgression) has been committed, the panel shall write to the Academic Board with the recommended sanctions.

In cases of serious plagiarism (or other transgression), the panel may also recommend that a non-academic penalty be considered.

- 12.6.2 The report to Academic Board must set out the finding of plagiarism (or other transgression) and must include:

- a. A brief summary of the evidence considered;
- b. The formal note of the interview, or details of why the student declined an interview;
- c. The factors taken into account in reaching a decision;
- d. Any mitigation provided by the candidate; and
- e. The recommendation(s).

- 12.6.3 The Chair of the panel must inform the candidate and main supervisor of the recommendation to the Academic Board, but the report to Academic Board shall remain confidential at this stage.

12.7 Academic Board Decision

Academic Board shall consider the panel's report and may decide to impose a penalty beyond reporting the outcome to the candidate/ Faculty Dean and the main supervisor for future reference.

13. POLICY PERFORMANCE INDICATORS

- 13.1 Increased research publications.
- 13.2 Improved quality of research publications.
- 13.3 Increased in the number of received by the university.

14. DEFINITION OF TERMS/ABBREVIATIONS

- 14.1 **IJTMR**-International Journal of Technology and Management Research
- 14.2 **KTU**- Koforidua Technical University
- 14.3 **PI**- Principal Investigator
- 14.4 **DRI**- Directorate of Research and Innovations
- 14.5 **MTECH**- Master of Technology

14.6 BTECH- Bachelor of Technology

15. REFERENCES

- 15.1 Animal Welfare Act (2002) of the Australian Code for the Care and Use of Animals for Scientific Purposes, 8th edition , 2013.
<https://grants.nih.gov/grants/olaw/guide-for-the-care-and-use-of-laboratory-animals.pdf>
<https://www.ncbi.nlm.nih.gov/pmc/articles/PMC6120529/>
- 15.2 University of Michigan. Research and Sponsored Projects:<https://orsp.umich.edu/policies-procedures/openness-research>
- 15.3 University of Bristol, Regulations and Code of Practice for Research Degree Programmes, Annex 8 - Academic integrity and plagiarism reviews Section 9.2
- 15.4 Academic Quality and Policy Office:<https://www.bristol.ac.uk/academic-quality/pg/pgrcode/annex8/>.
- 15.5 American Psychology Association (APA). Ethics in research with animals, January 2003, Vol 34, No. 1. Print version: page 57
- 15.6 <https://www.scribbr.com>
- 15.7 <https://dissertation.laerd.com>

HOUSING POLICY

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1. **Policy Title** : **Housing Policy**
2. **Policy Number** : **KTU_ESTH001**
3. **Approval Authority** : **Governing Council**
4. **Functional Responsibility** : **Directorate of Works**
5. **Approval Date** : **12/02/2024**
6. **Commencement Date** : **12/02/2024**
7. **Review Date** : **14/02/2028**

8. POLICY STATEMENT

- 8.1 All Koforidua Technical University (KTU) staff shall be provided with residential accommodation subject to availability and in accordance with the conditions of service.

9. POLICY OBJECTIVE

- 9.1 To provide residential accommodation for all staff of the University.

10. GUIDING PRINCIPLES

The principles governing this policy are as follows:

- 10.1 Security
- 10.2 Safety
- 10.3 Accessibility
- 10.4 Disability friendly
- 10.5 Affordability
- 10.6 Fairness
- 10.7 Transparency

11. SCOPE OF APPLICATION:

- 11.1 This policy applies to all staff and prospective staff of the University.

12. DECISION RULES

A. Staff Accommodation

- 12.1 A person shall occupy a University owned or rented residence only with the approval of the Residence and Housing Committee (RHC) or other persons empowered by the Residence and Housing Committee (RHC).
- 12.2 The Residence and Housing Committee (RHC) shall prescribe the terms and conditions governing the allocation of the housing facilities of the university subject to approval by council.
- 12.3 The University shall make available housing loans for staff subject to availability.
- 12.4 All vacant accommodation shall be advertised in accordance with procedures prescribed

By the Residence and Housing Committee (RHC).

B. University and Tenant Obligations

- 12.5 There shall be a tenancy agreement specifying the obligations of the University and tenants.

C. Staff on Leave

- 12.6 Staff granted leave without pay shall not be entitled to official housing during the period of the approved leave.
- 12.7 Staff granted leave without pay if housed shall vacate the official housing in accordance with this policy (i.e. within a six (6) month period).
- 12.8 Staff who are on study leave with pay may be allowed to stay in their respective allocated housing units for only the approved period of leave

D. Occupancy and Vacation

- 12.9 A person allocated housing based on appointment to a term of office, shall vacate the residence upon expiration of that term.
- 12.10 A staff shall vacate the official residence as soon as their contract with the University expires.
- 12.11 An official accommodation may be changed where necessary.

13. ROLES AND RESPONSIBILITIES

- 13.1 The Residence and Housing Committee (RHC) shall be responsible for the allocation of housing units to all staff entitled to KTU accommodation.
- 13.2 A tenancy agreement with a property owner shall be signed on behalf of the University by the Head Estates in consultation with the Residence and Housing Committee (RHC).
- 13.3 The Residence and Housing Committee (RHC) shall have oversight responsibility for the efficient and effective use of all accommodation facilities.

14. POLICY PERFORMANCE INDICATORS

- 14.1 The number of staff and students housed periodically.
- 14.2 Reduced number of reported complaints on accommodation allocations.
- 14.3 New residential buildings constructed or private properties acquired.
- 14.4 Increased quantity of facilities.
- 14.5 Improved Quality of facilities.
- 14.6 The number of beneficiaries of housing loans disbursed.

15. ENFORCEMENT

- 15.1 Applicants with false information shall be disqualified.
- 15.2 An unauthorized occupant of the University's housing facilities shall be evicted.
- 15.3 Any breach of the provisions of this policy shall be subjected to sanctions to be determined by the Residence and Housing Committee (RHC).
- 15.4 Applicants would be considered for University accommodation based on a transparent scoring system. The scoring system shall include but limited to: number of years served, rank/status, community service..etc.
- 15.5 All University accommodation shall be advertised
- 15.6 No University accommodation shall lie vacant without an occupant for more than a month.
- 15.7 No occupant of a University accommodation shall sublet the accommodation to another occupant.
- 15.8 Any person who takes delivery of the keys to his/her assigned accommodation shall forfeit same if the facility is not occupied within three months.

16. DEFINITION OF TERMS/ABBREVIATIONS

- 16.1 **University** - Koforidua Technical University
- 16.2 **Accommodation** - A place suitable for habitation as appropriately determined by the Residence Committee of the KTU
- 16.3 **Residence and Housing Committee (RHC)** - Academic Board sub -committee whose functions and responsibilities are defined by the KTU. It is also known as Residence and Health Committee.
- 16.4 **Tenant** - A member of staff of the University who has been allocated an official residential accommodation by the appropriate body.

17. REFERENCES

- 17.1 Statutes of the Koforidua Technical University.
- 17.2 Rent Act 1963 (ACT 220) as amended.
- 17.3 Conditions of Service,
- 17.4 Maintenance Policy.
- 17.5 <https://caseworthy.com>

INDUSTRIAL ATTACHMENT POLICY

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1. Policy Title : Industrial Attachment Policy
2. Policy Number : KTU_IND001
3. Approval Authority : Governing Council
4. Functional Responsibility: Industrial Liaison Officer
5. Approval Date : 12/02/2024
6. Commencement Date : 12/02/2024
7. Review Date : 14/02/2028

8. POLICY STATEMENT

- 8.1 All students of Koforidua Technical University (KTU) shall undertake Industrial Attachment as an essential part of the requirements to obtain a qualification.
- 8.2 The Industrial Liaison Office (ILO) of KTU in collaboration with faculty members, shall provide guidance and assistance to all students to undertake Industrial Attachment.

9. POLICY OBJECTIVES

- 9.1 Provide relevant practical training to all students through placement in appropriate industries
- 9.2 Prepare students for employment and equip them to contribute to national development.
- 9.3 Offer students opportunities for hands-on experience that complements theoretical knowledge.
- 9.4 Assist students to network with industry and business
- 9.5 Expose students to sound work ethics.
- 9.6 Implement the KTU Industrial Attachment Program efficiently and effectively.

10. GUIDING PRINCIPLES

The principles governing this policy are as follows:

- 10.1 Inclusiveness
- 10.2 Fairness
- 10.3 Integrity
- 10.4 Openness
- 10.5 Accountability
- 10.6 Discipline
- 10.7 Innovation
- 10.8 Professionalism

11. SCOPE OF APPLICATION

- 11.1 All categories of registered KTU students
- 11.2 Faculty members and ILO staff responsible for implementation and management of industrial attachment.

12. DECISION RULES

A. Types of Industrial Attachment

- 12.1 There shall be three (3) types of Industrial Attachment placement as follows:
 - i. Industrial Liaison Office (ILO) Aided Industrial Placement (ILOAIP)
 - ii. Self-Aided Industrial Attachment (SAIA) and

iii. Virtual Industrial Attachment (VIRA)

B. Students

- 12.2 Students shall register for Industrial Attachment as a course and fulfil all necessary requirements (e.g. Orientation) before the Attachment begins.
- 12.3 Students on Bachelor of Technology degree programmes shall undertake internship once before completion of the programme.
- 12.4 All HND students shall be engaged in Industrial Attachment in the 2nd and 4th Semesters during the first and second year respectively.
- 12.5 Students on a two- year non HND programme shall go on Industrial Attachment once, at the end of their first year.
- 12.6 Industrial Attachment shall attract two-hour (2 hr) credit rating for courses which run for two years and four (4hr) credit rating for courses which run for three or more years
- 12.7 Students shall not be allowed to graduate unless they satisfy the total credit hour rating required for the industrial attachment exercise for specific courses.
- 12.8 Students shall be allowed to do attachment only in their chosen fields of study.
- 12.9 Students on industrial attachment shall not be allowed to withdraw or change placement without written permission from the ILO
- 12.10 Performance of students during Industrial Attachment shall be assessed and graded on the basis of approved grading system of the KTU.
- 12.11 Koforidua Technical University shall take appropriate steps to procure individual or group insurance cover before students embark on any Industrial Attachment activity.
- 12.12 Industrial and business establishments, which take on students for Industrial Attachment, shall not be under any obligation to pay such students.

C. Faculty, Management & Staff

- 12.13 Koforidua Technical University shall procure individual or group insurance cover for any faculty member and Industrial Liaison Office staff assigned as supervisors before they embark upon any industrial attachment supervisory activity.
- 12.14 The position of Faculty and Departmental Coordinators of industrial attachment shall be termly.
- 12.15 The Industrial Relations Committee shall determine the duration of Industrial Attachment but the minimum threshold shall normally be a total of two months.

D. Financing and Cost

- 12.16 Management shall be financially committed to the smooth running of the Industrial Attachment program and ensure its sustainability.
- 12.17 Fees payable by students for Industrial Attachment shall be determined by the Industrial Relations Committee (IRC) and approved by Management.
- 12.18 Fees payable shall cover supervision costs (i.e. night allowance, fuel cost, call credits and honorarium) report marking and contingency cost.
- 12.19. Payment to supervisors shall be made according to the number of students supervised plus honorarium.
- 12.20 There shall be a biennial review of supervision fees, honorarium and marking fees for the Industrial Attachment program
- 12.21 Imprest shall be given to supervisors and drivers before they embark upon industrial attachment visits
- 12.22 Cost of feeding of supervisors during Industrial Attachment visits shall be negotiated and included in night allowance.

E. Assessment/Evaluation

- 12.23 Performance of students on Industrial Attachment shall be based upon:
- i Confidential Report on student performance received from business and industrial establishments where students are placed.
 - ii. KTU Supervisory Report
 - iii. Log book/Report from students duly vetted by workplace supervisors.
- 12.24 The weight of assessment shall generally be:
- | | | |
|------|--|------|
| i. | Field supervisory/Confidential Report: | 40% |
| ii. | KTU Supervisory Report: | 30% |
| iii. | Student Log Book/Report: | 30% |
| | Total: | 100% |
- 12.25 Competency – Based Training (CBT) II
- | | | |
|------|--|------|
| i. | Field Supervisory/Confidential Report: | 40% |
| ii. | Defence: | 30% |
| iii. | Student Report/Log Book: | 30% |
| | Total | 100% |

F. Specific Circumstances

1. Special Training Requirements

- 12.26 First year Auto Engineering Students shall engage in the normal one session Industrial Attachment like all other students.
- 12.27 In addition, during their second year, they shall be required to undergo a competency – Based Training (CBT) program of sixteen (16) – week duration during the fourth semester.

12.28 Students on C.B.T Programmes shall be required to defend their Industrial Attachment reports

2. Placement

12.29 Students who may not locate internship sites shall be placed by the Industrial Liaison Officer in organizations and companies scouted with the consent of students.

12.30 Students who do not get placement through the usual processes shall be required to enrol on VIRA program.

12.31 Students who wish to undertake Industrial Attachment outside Ghana shall notify the ILO, at least two months, before they start such attachment.

12.32 Duration of Industrial Attachment programmes shall be less than the minimum threshold of two months where:

- i. The policy of the host organization is to accept students for a shorter period.
- ii. Due to the high cost of participation in the VIRA program, it is appropriate to limit attachment to two (2) weeks.

13. ROLES AND RESPONSIBILITIES

13.1 The Industrial Liaison Office shall provide students with introductory letters to enable them locate suitable internship sites.

13.2 The Industrial Liaison Office and Faculty Coordinators shall facilitate the search for suitable industrial and business organizations for placement of students.

13.3 Lecturers and the Industrial Liaison Office shall monitor and evaluate performance of students on attachment as part of their supervisory duties.

13.4 Where such factors as distance warrant it, the ILO shall arrange for supervisors from sister Technical Universities to monitor and evaluate students on internship.

13.5 The Vice Chancellor, Pro Vice Chancellor and the Registrar may partake in the monitoring process, at a high level, to strengthen links with business and industry

14. ENFORCEMENT

14.1 Students who fail to undertake their industrial attachment shall not be allowed to graduate

14.2 False report/assessment by a student shall be considered as a malpractice and subjected to KTU's disciplinary procedures for the necessary action.

14.3 A student found to have submitted a false report/assessment shall receive a two-semester rustication from the Disciplinary Committee.

- 14.4 A faculty member found to have misconducted himself/herself by not going on supervision, or failing to diligently assess a student, or any other improper conduct shall be made to forfeit selection for two consecutive supervisions to be determined by the IRC as well as refund monies given to him/her.

15. DEFINITION OF TERMS/ABBREVIATIONS

15.1 ILO Aided Industrial Placement (ILOAIP)

Placement in this category is arranged by the Industrial Liaison Officer for registered students and staff. There are limited placements under this category, therefore, available slots are allocated on “first come, first serve” basis.

15.2 Self-Aided Industrial Attachment (SAIA)

Students under this category apply to industry and business with a letter from ILO

15.2 Virtual Industrial Attachment Program (VIRA)

This is a 14 – day intensive practical training program organized for students in selected faculties. Eligibility criteria are defined by the Industrial Relations Committee (IRC).

15.3 ILO - Industrial Liaison Office

15.4 KTU - Koforidua Technical University

15.5 CBT - Competency – Based Training

15.6 IRC - Industrial Relations Committee

16. REFERENCES

16.1 Accra Technical University Industrial Attachment Policy, 2021

16.2 Sunyani University Industrial Attachment Policy, 2021

KTU INTELLECTUAL PROPERTY POLICY

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1. **Policy Title** : **K.T.U. Intellectual Property Policy (IP)**
2. **Policy Number** : **KTU_RES005**
3. **Approval Authority** : **Governing Council**
4. **Functional Responsibility** : **The Vice Chancellor**
5. **Approval Date** : **12/02/2024**
6. **Commencement Date** : **12/02/2024**
7. **Review Date** : **14/02/2028**

8. POLICY STATEMENT

- 8.1 Koforidua Technical University (K.T.U) shall provide an environment that fosters the creation, ownership, protection, commercialisation and enforcement of Intellectual Property (IP) rights created by staff, students and research collaborators.
- 8.2 K.T.U. shall encourage good research practices through freedom of enquiry, freedom to challenge conventional thought, opportunity to conduct research using both human and animal subjects, commitment to high scientific and ethical standards, sound governance framework for research and the right to disseminate research results.

9. POLICY OBJECTIVES

- 9.1 Create an environment that encourages, recognizes the generation of new ideas and identifies Intellectual Property (IP) within KTU to promote entrepreneurial culture among staff and students.
- 9.2 Ensure efficiency in IP identification, utilization, management, and commercialization.
- 9.3 Ensure a balance of interests of stakeholders where IP management and commercialization processes do not impede the tenants of institutional sovereignty, academic freedom, open and timely publication, as well as serving public interest.

10. GUIDING PRINCIPLES

The principles governing this policy are as follows:

- 10.1 IP Disclosure
- 10.2 IP Protection
- 10.3 Confidentiality
- 10.4 Ownership of Data
- 10.5 Informed Consent
- 10.6 Integrity
- 10.7 Transparency
- 10.8 Honesty
- 10.9 Objectivity
- 10.10 Responsible publication
- 10.11 Respect for intellectual property
- 10.12 Respect and care for persons
- 10.13 Respect and care for social and cultural contexts.

- 10.14 Respect and care for the natural environment.
- 10.15 Avoidance of conflict of interest
- 10.16 Monitoring and Evaluation

11. SCOPE OF APPLICATION

- 11.1 This policy applies to all IPs created by staff, students, collaborators and visitors during, on or before their exit from the University. For the avoidance of doubt, it is applicable to all members of staff, students and visitors who participate in a Research Project or produce Scholarly Works. Rights and obligations under this Policy shall survive any termination of employment, enrolment or appointment in the University.

12. DECISION RULES

- 12.1 All IPs must be declared upon appointment as staff (permanent/temporary), and enrolment as student as well as any existing IP that they wish to exclude from the application of this policy due to its prior existence before appointment or enrolment.
- 12.2 The University may sponsor staff visits to established Research Centres, both local and International.
- 12.3 The University may sponsor staff to attend and present papers at both local and International conferences of significant value.
- 12.4 The University shall encourage inter-departmental research as well as faculty and departmental seminars on important subjects relevant for research.
- 12.5 The University shall reduce the teaching load of staff engaged in cutting-edge research projects.
- 12.6 The University shall improve the International Journal of Technology and Management Research (IJTMR) by ensuring high quality Editorial Board and recognize research publications in IJTMR for promotion/career advancement.
- 12.7 The University shall pay for membership subscription fees to enable staff gain access to papers and journals from professional bodies.
- 12.8 The University shall source for external funding for research projects.
- 12.9 The University shall continue to organize and improve the Annual Applied Research Conference.
- 12.10 The University shall monitor and evaluate research practices and projects.
- 12.11 The University shall encourage attachment of faculty members and researchers to relevant institutions.

13. ROLES AND RESPONSIBILITIES

- 13.1 This policy constitutes an undertaken that is binding on the university, staff, students, collaborators and or visitors once adopted by Council of the University. This forms part of protocols set out in:

- i. Staff Employment (temporary/permanent) where existing IP(s) owned is/are declared and those with intent to exclude from the application of this policy.
- ii. Students Handbook
- iii. Any document engaging other relevant party (ies) including students and visitors in research contracts or consultancies. The University shall ensure that employment contract or other agreement (s) establishing any type of employment relationship explicitly require party(ies) to sign and agree to abide by the provisions of the policy.

13.2 STUDENTS PARTICIPATING IN RESEARCH

- 13.2.1 All students participating in a research projects shall be made to sign an agreement to comply with the provisions of this policy before commencing the project.

13.3 GOVERNANCE AND OPERATIONS

- 13.3.1 The University shall set-up an IP Management Committee (IPMC) to provide strategic guidance for the implementation and further development and improvement of this policy whiles providing strategic direction to the IPMO.

- 13.3.2 The IP Management Committee shall comprise

- | | | |
|-------|--|--------------------|
| i. | Pro-Vice Chancellor | - Chairman |
| ii. | Representative, Finance Directorate | - Member |
| iii. | Director of Research and Innovation | - Member |
| iv. | Dean of Faculties/Representative | - Member |
| v. | Librarian | - Member |
| vi. | Entrepreneurship and Business Development Manager | - Member |
| vii. | Head, IPMO | - Member |
| viii. | Other Professional Advisers (as may be required) | - Member |
| ix. | Administrator, Office of Research and Innovation (ORI) | - Member/Secretary |

- 13.3.3 The IP Management Committee members must sign a confidentiality agreement to ensure IP security.

- 13.3.4 Members of the IP Management Committee must declare their interest if any, in an invention disclosure scheduled for valuation by the Committee.

- 13.3.5 The functions of the IP Management Committee include:

- i. Determine institutional IP strategy
- ii. Make recommendations on amendment of IP Policy
- iii. Manage disputes arising from the IP Policy
- iv. Resolve issues relating to ownership of IP
- v. Perform such other responsibilities as may be required with regard to intellectual Property and the IP Policy

- 13.3.6 The IP Committee shall organize regular and ad-hoc meetings where necessary for the advancement of IP related matters

13.3.7 KTU shall establish an IP Management Committee (IPMC), managed by IP Manager to ensure efficiency in IP management and commercialisation processes

13.3.8 The functions of the IPMC shall include but not limited to:

- i. IP awareness creation among stakeholders
- ii. IP management including relationship with creators/inventors
- iii. Advise on appropriate IP commercialisation strategies
- iv. Technology marketing and IP contract negotiation
- v. IP contract management
- vi. IP cost, revenue and incentive management and distribution
- vii. Capacity building of stakeholders in IP development
- viii. Recommend appropriate sub-committee membership for determination on any particular IP
- ix. Carry out other IP management activities that may evolve over time.

13.4 OWNERSHIP OF IP AND RIGHT TO USE IP GENERATED BY STAFF

13.4.1 Institutional Ownership

All IPs created by an employee of KTU in the course of his/her employment shall be owned by the University. For avoidance of doubt, this includes all IPs:

- i. Created in the course of his/her employment.
- ii. Created while making substantial use of the institution's resources.
- iii. Administrative procedure or research activity sponsored by the University.
- iv. Research contracts executed using the Institution's goodwill, name and resources.

13.4.2 Assignment of Right(s)

- i. Once creatorship has been determined, the creators shall be required to formally assign any right, title or interest they may have in that IP to the Institution in the form of a contract that specifies the rights that will accrue to the creator(s) and the Institution and the obligations they will have to assist the Institution with the Commercialization of that IP.

13.4.3 Staff Ownership

Staff shall own if:

- i. IP was created outside course and scope of his/her employment.
- ii. Research did not make substantial use of institution's resources. KTU will have no interest in any inventions or other IPs created by personnel entirely on their own time without the use of any KTU Assets. The onus shall be on the person asserting his rights under this paragraph to prove to the satisfaction of KTU that the relevant invention or IP was in fact created by them on their own time without the use of any KTU assets. The person must not infringe the IP of the University or any other party.
- iii. Copyright in Academic Publications

13.4.4 Ownership

In the absence of any agreement to the contrary, the University will not assert ownership of the copyright in academic publications. However, there are exceptions to this of which the following are non-exhaustive examples:

1. Documents prepared as part of a research contract which put restrictions or caveats on publication
2. Where such publications have been specifically commissioned by the University. The University will retain, where the publishers permit this, a royalty-free licence for promotional, teaching and educational purposes of the University.
3. The University does not waive its rights to any Collaborative IP which it owns and which is mentioned in academic publications (for example inventions, designs and computer software).
4. Any other IPRs, as required by national laws and or for which the institution expressly indicated no interest in ownership.

13.4.5 Moral Rights

1. **Recognition.** The Institution undertakes to respect and protect the moral rights which copyright law confers on authors of copyright works
2. **Rights granted.** The Institution acknowledges the moral rights vested in authors of copyright works irrespective of the copyright ownership thereof and include:
 - i. The right of attribution of authorship in respect of the copyright works
 - ii. The right not to have authorship of the copyright works falsely attributed
 - iii. The right of integrity of authorship in respect of the copyright works.
3. **Waiving of right.** The Institution will not require staff members, students or visitors to waive their moral rights as a condition for employment, enrolment, appointment or funding.

13.5 IP Arising from Research Contracts/Collaborations

In the absence of the provisions to the contrary in any National law, or no substantial use of the University's resources, the terms of the research contract will regulate ownership of IP created by staff in the course of a research project that forms part of the research contract. In the absence of any such agreement, or provision for ownership of IP within such agreement, employee generated IP will be owned by the University.

i. Right under research contracts.

Staff members, students and visitors shall not have the right to enter into a Research Contract with external parties on behalf of the University unless they are authorized to do so by an official representative of the Institution.

ii. Performance of Research Contract

All Research Contracts must be executed and performed in compliance with the Institution's Research Contract Policy

iii. Due diligence.

Persons acting for and on behalf of the Institution shall exercise all due diligence and consult IPMO when negotiating and signing contracts that may affect the Institution's IPRs.

iv. Ownership and rights to use

Subject to any provisions in law to the contrary, ownership and rights to use shall be agreed upon with the external entity, in accordance with the guidelines in 4.1.1.1(d).

v. Guiding Principles

The IP clauses in all Research Contracts shall be governed by the following basic principles:

a) Inception agreement.

A research contract must be executed in writing and signed by the Institution and the external party (ies)/sponsor(s) prior to the commencement of any research project and, as appropriate and without limitation, must contain terms relating to ownership, management and use of IP arising from the research project as well as any Background IP.

b) Background IP.

All Institution Background IP must be properly recorded and declared prior to the commencement of a research contract. Similarly, Background IP of the external party/sponsor, belongs to such party or sponsor and shall be declared. Use of such Background IP requires express written permission from the party concerned.

c) Co-owned Foreground IP.

- i. Terms for co-ownership: Co-ownership of IP generated pursuant to a research contract shall be in accordance with the provisions of the contract.
- ii. Costs for protecting and maintaining co-owned IP. The costs for protecting and maintaining any IPRs shall be shared between the Institution and the external party (ies)/sponsor(s), as mutually agreed contractually.

d) Serendipitous IP.

Any IP created during the course of the research contract which falls outside of scope of the research contract shall be owned by the Institution or the external party (ies)/sponsor(s) which developed such IP, unless otherwise agreed contractually in the research contract.

- e) **Right of first refusal to the IP.** The Research Contract may include provisions giving the external party (ies)/sponsors, a right of first refusal to commercialize the IP emanating from the Research Contract, through a license or joint venture arrangement or assignment.
- f) **Publication delay.** It is the strict policy of the Institution to allow Creators the freedom to publish their work. However, the Institution acknowledges that delays in publication for the purpose of initiating statutory protection of the IP is often necessary. In this regard, the Institution will agree on case-by-case basis, to a contractual delay in publication by Creators. Where necessary, IPMO may, if so required, facilitate the signing of a non-disclosure agreement by the journal appointed peer reviewers, such that review of the article for publication can proceed while the necessary procedures are being followed for IP protection.
- g) **Use of the IP for research and teaching.** In instances, where the Institution IP is licensed exclusively or assigned as part of the research contract, all efforts should be made to secure a royalty-free license for use of the IP for on-going research and teaching purposes.

13.6 The University shall have the right of ownership of any research project conducted under its auspices and shall therefore assume responsibility for how professionally and ethically the research is carried out.

13.6.1 Public Domain

Classification

Institution IP forms part of the Public Domain in the following circumstances:

- i. If a research contract provides that the research results be placed into the Public Domain
- ii. If staff members or visitors made use of Open Educational Resources (OERs) or resources licensed through Open Source or Creative Commons Licences and the .licensing conditions require release of derivatives into the public.

13.6.2 Release into Public Domain

The Institution shall release IP into the Public Domain in the following circumstances:

- i. Where it is deemed to be in the public interest
- ii. If the IP has low commercial or other development potential and low prospects of fostering the development of new products or services
- iii. If deemed necessary by the Institution

A Principal Investigator may be granted stewardship over the project data and may control the direction, publication, patenting and copyright of any innovative output or results of the research under the overall supervision of the Directorate of Research and Innovation (D.R.I).

13.7 DATA PROTECTION

13.7.1 Record Keeping

Creators shall use research note books in order to keep appropriate records of their research processes in accordance with this policy procedures and make reasonable efforts to ensure that only those individuals within the Institution who have a need to have access to such records for the performance of their duties are granted such access. Such individuals shall be required to sign Non Disclosure Agreement (NDAs) for IP security

13.7.2 IP Disclosure

The following considerations shall be adhered to:

i. Disclosure of potential IP

Where a creator identifies potential IP resulting from his/her Research or that of his/her team, he/she shall disclose such potential IP to IPMO promptly by means of an IP Disclosure Form. Where the IP will be treated as a Trade Secret, the separate secured database will be created to which all parties who have access to the database shall be required to sign NDAs.

ii. Complete disclosure.

Creators must provide to IPMO such IP full, complete and accurate information as IPMO may reasonably require to enable it to sufficiently assess the technical and related features and functions, ownership, commercial potential and IP protection that might be applicable to such IP. Upon complete disclosure, the IP Disclosure will be registered and assigned a reference number and IPMO will share this reference number with the creators to signify that the IP Disclosure has been formally received by the Institution

13.8 IP PROTECTION

13.8.1 Decision to Protect

In the event that a decision to protect is taken, the following considerations under evaluation and recommendation shall be taken into account:

i. Duration

IPMO will analyse the information disclosed in the IP Disclosure within one hundred and twenty (120) days of formal receipt. The analysis will include:

- a. whether or not the subject matter is protectable as IP
- b. an assessment of economic viability or marketability; and
- c. determination of any rights of external parties, such as a funder or collaborator.

ii. Preliminary Report

After evaluation, IPMO will prepare a preliminary report with findings that will enable the Institution to decide if it will proceed with IP protection and commercialization. IPMO shall share the preliminary report with the creator(s), and seek their input.

13.9 Final decision to protect

The Institution will decide, as soon as reasonably practicable, whether or not it wishes to protect the IP. IPMO will use all reasonable efforts to notify the creator(s) of the Institution's decision within one hundred and twenty (120) days of formal receipt of the IP Disclosure. IPMO will also make a determination in relation to the validity of any claim made by a member of staff, a visitor or a student that they are the true creator(s) of that IP and in relation to their rights under this Policy.

13.10 Notification on decision to protect

Within not more than one hundred and twenty (120) days, IPMO will notify the creator(s) of the decision of whether or not the Institution will pursue IP protection.

13.11 Decision not to protect

Where a decision is taken not to protect, the following shall be considered:

i. IP abandoned

The Institution reserves the right not to protect IP that it owns if after consultation with the creators:

- a. there is no reasonable prospect of commercial success
- b. it is not deemed to be in the best interest of the Institution; or
- c. it is not deemed to be in the public interest.

ii. Transfer of Ownership

In the event that the Institution decides not to pursue IP protection it will take steps to return the said IPRs to the creator(s), contingent on any other superseding contract rights of external party (ies)/sponsor(s).

iii. Notification on decision

If the Institution is unable to or decides not to protect the Institution's IP, it shall notify the relevant creator(s) of its decision in writing and in a timely manner.

iv. No prejudice to IP protection

The creator(s) should receive the written notification in a timely manner that enables the relevant creator(s) to take any formal steps to ensure the protection of IP, should they so desire.

v. Assignment of IP

a. Deed of assignment

If the creator elects to take assignment of the IP, the Institution shall ensure that a deed of assignment is executed without delay.

b. Terms and conditions

If the Institution assigns IPRs to the creator in terms of this Section 11.35 sub section (ii), the assignment may be subject to one or more of the following terms and conditions:

- i. That upon commercialization, the Institution shall be compensated for any expenditure it may have incurred in connection with the protection and/or commercialization of such IP; and/or
- ii. That the Institution be granted a non-exclusive, royalty-free license to use the IP for research and teaching purposes.

13.12 COMMERCIALIZATION OF IP

13.12.1 Responsibility

The IPMO is responsible for the commercialization of the University's IP through the Directorate of Research and Innovation (DRI). For this reason, the DRI must take keen interest in the development and commercialization of IP in order to have the desired economic, social impact, relational and other related benefits of the exploitation.

13.12.2 Decision to Commercialize

Evaluation and recommendation

- a) IPMO will analyse the information disclosed in the IP Disclosure form within 90 days of formal receipt. The analysis will include:
 - 1) An assessment of economic viability or marketability
 - 2) Determination of any rights of external parties, such as a funder or collaborator.
- b). After evaluation, IPMO will prepare a preliminary report with findings that shall enable the Institution to decide if it will proceed with IP commercialisation. IPMO shall share the preliminary report with the Creator(s), and seek their input.
- i. Notification of Decision to Commercialize

The Institution will decide, as soon as reasonably practicable, whether or not it wishes to commercialise the IP. IPMO will use all reasonable efforts to notify the creator(s) of the Institution's decision within ninety (90) days of formal receipt of the IP Disclosure. IPMO will also make a determination in relation to the validity of any claim made by a member of staff, a visitor or a student that they are the true creator(s) of that IP and in relation to their rights under this Policy.

- ii. Institution's obligation to notify creators of its decision

Within not more than ninety (90) days IPMO will notify the creator(s) of the decision of whether the Institution will or will not pursue IP commercialisation of their disclosed IP.

13.12.3 Decision not to Commercialize

- i. IP abandoned or not commercialized

The Institution reserves the right not to commercialize IP that it owns if after consultation with the creators:

- a. There is no reasonable prospect of commercial success;
- b. It is not deemed to be in the best interest of the Institution; or
- c. It is not deemed to be in the public interest

ii. Transfer of Ownership

In the event that the Institution decides not to pursue IP commercialisation, it will take steps to return the said IPRs to the creator(s), contingent on any other superseding contract rights of external party(ies)/sponsor(s).

iii. Notification on decision

If the Institution is unable to or decides not to commercialize the Institution IP, the relevant creator(s) should be notified of its decision in writing and in a timely manner.

iv. No Prejudice to IP Protection

The creator(s) should receive the written notification in a timely manner that enables the relevant creator(s) to take any formal steps to ensure the protection of the IP, should they so desire.

v. Deed of Assignment

If the creator elects to take assignment of the IP, the Institution shall ensure that a deed of assignment is executed without delay.

a) Terms and conditions of assignment

If the Institution assigns IPRs to the creator in terms of this section 11.38, the assignment may be subject to one or more of the following terms and conditions:

- 1) That upon commercialisation, the Institution be compensated for any expenditure it may have incurred in connection with the commercialisation of such IP; and/or
- 2) That the Institution be granted a non-exclusive, royalty-free licence to use the IP for research and teaching purposes.

13.13 Commercialization Strategy

i. Determination of Commercialization Strategy

- a) Within six (6) months of the decision to protect or commercialize the IP under this policy, the Institution will determine, with input from the creators, the most appropriate commercialization strategy.
- b) The IPMO will assist, provide advise, or procure the provision of outside professional advice in relation to the various options for commercialisation and technology transfer that may be appropriate in order to best meet the aims of this IP Policy, including:

- 1) Licensing the IP to a third party for a fixed sum or a royalty related to future sales.
- 2) Assigning the IP to a third party for a fixed sum or a royalty related to future sales.
- 3) Developing the commercial potential of the IP through a campus company or spin off.
- 4) Developing the commercial potential of the IP through a joint venture with a third party/start-up.
- 5) Non-profit use/donation/royalty free access on humanitarian/other ground.
- 6) Any other arrangement that may be considered appropriate.

13.14 Co-operation of Creators

Creators of IP which has been selected for IP commercialization by the Institution must provide IPMO with all reasonable support in the assessment, protection (including preventing premature disclosure and execution of any documents including deeds of assignment and deeds attesting to creatorship), and commercialization of the IP.

13.15 Sovereign Right

The Institution shall have the sole discretion regarding the commercialization of IP owned by it. Notwithstanding, the Institution will ensure that reasonable efforts are made to keep the creators informed and, where appropriate, involved in the commercialization of the IP to which they contributed. The commercialization of Institution IP will be planned, executed, and monitored by IPMO.

13.16 Guiding Principles

Regardless of the mode of IP commercialization, the transaction will be executed in a contract which:

- a. protects the interests of the Institution, its members of staff, students and visitors;
- b. retains rights for the Institution to use the IP for educational and research purposes;
- c. assures that the IP will be utilized in a manner which will serve the public good;
- d. assures that the IP will be developed and brought to the marketplace as useful goods and services.
- e. prohibits the “shelving” or “mothballing” of the IP or its use in any illegal or unethical manner.

13.17 Commercialization of Students IP

If requested, the University may assist students by undertaking or arranging the commercial exploitation of their IP. The terms of that assistance will be agreed on by the University and the student on a case by case basis. The IP could be assigned by the student to the University in return for a revenue sharing arrangements.

13.18 INCENTIVES/INCOME MANAGEMENT

13.18.1 General Principles

The following principles apply in relation to licensing and division of income from commercialising of KTU IP.

- i. KTU welcomes the development by industry, for public use and benefit, of inventions and other IPs resulting from KTU research.
- ii. KTU will maintain a flexible and open approach to bringing KTU IP into commercial use. Each case will be considered individually and will involve an assessment of all the potential risks and potential rewards.
- iii. Where a student or staff from another Institution is recognised as a co-inventor, such students or staff will be entitled to revenue sharing.
- iv. The definition of “income” includes revenue derived from the KTU IPs in question, which are commercialised by KTU, and also includes (without limitation) up-front licence fees, down payments, minimum annual payments, royalties on sales and net of any expenses incurred by KTU in commercialising or protecting the relevant patents or other KTU IP.
- v. All direct expenses incurred by KTU in:
 - a. The registration or protection of KTU IP; and
 - b. The commercialisation of an invention or any other KTU IP; including (without limitation) administrative, licensing, legal, and any other expenses and costs and any subsequent investigation, development and promotion, will be deducted from the initial income or lump sum or Gross IP revenue. No royalty income will be made available for distribution until such expenses have been recovered.
- vi. If more than one inventor or department is involved, unless formally agreed amongst themselves, with due regard to the value and substance of their respective contributions, the Inventor’s share set out above shall be divided equally among them.
- vii. The division of income will be carried out within two (2) months of the receipt of such income by KTU.
- viii. The originator of the IP shall continue to be paid his/her share even if he/she has left KTU, or his/her designate shall receive the share if the originator is dead.

13.18.2 Division of Income

Subject to the general principles set out above, income derived from inventions or other IPs which are commercialized by KTU in accordance with the provisions of this IP policy shall be distributed between the originator(s), enablers, the originator(s)’ Department(s), Research Centre/Faculty, the KTU Research Development Fund and KTU Main Administration after 5% has been deducted from the gross IP revenue to take care of all related cost (IP protection processes, maintenance fees, negotiation and marketing).

While it is recognized that each project may have to be negotiated on its own merits, the following percentages shall apply:

Table 1: Distribution of income from patents

Category of beneficiary	Ownership (%)
Originator (s) or inventor(s)	55
Department or Research Centre	10
Faculty of originator/inventor	5
Research Development Fund	15
KTU Main Administration	15

13.19 Start-Ups/Spin-Offs resulting from IP

Commercialization may result in spin-offs by the University or start-ups with a third party where the University will be a partner.

i. Employee participation in spin-offs/start-ups

Employees may continue to actively participate in the development of a Company, principally to provide strategic technical support for the development of IP. Any such role will, at all times, be subject to the normal University rules and regulations surrounding employees undertaking outside work. Employees who are requested by the Company to undertake formal Director roles in a Company should note that the role of Company Director makes them subject to the duties and responsibilities enshrined within Company Law of Ghana active at the time of their appointment, and they should ensure they fully understand the legal responsibilities and potential personal liabilities involved in such roles. Employees must ensure they do not create any conflict of interests with their University role when accepting any position within a Company. Guidance on this matter is available by contacting the University's Intellectual Property Manager.

ii. Revenue sharing from spin-offs/start-ups

The share of ownership of a Company, that is, the distribution of shareholding in that company between the University and Originators, will be decided on a case by case basis and will, at all times, be subject to the relevant operative University regulations. Upon an Originator receiving share capital or similar in a Company, no further revenue sharing between the University/Company and Originator will be undertaken, and hence the revenue sharing guidelines given in section 12.44 and 12.45 will not apply. In all cases it will be for Originators to obtain (and pay for) their own tax and other advice where they are to receive any shares in a Company.

13.20 Other Benefits

i. General Principle

As a default position, the Institution will refrain from accepting non-monetary benefits for the commercialization of its IP or from offering incentives other than revenue sharing, unless they are in addition to the revenue sharing as appropriate. The Institution will thus give consideration, on a case-by-case basis, to the provision of other incentives, where monetary benefits (revenues) are not available or where the Creator/Enabler elects to choose other benefits *in lieu of* revenue sharing, which may only be realized in due course. Other incentives will include, but are not limited to, the incentives described in section 12.44 – 12.45.

ii. Research Development Fund

KTU will establish a research fund to be used to promote and enhance research and development activity and facilities within KTU as determined by the Research and Innovation Development Committee (“R&ID Committee”) under the aegis of the Academic Board Committee on Research and Innovation through the Directorate of Research and Innovation from time to time. This will be known as the Research Development Fund (“RDF”). The R&D Committee will give due cognizance to the research area/center that secured the funding in deciding on its expenditure. The RDF will be used to advance further research, technology development and transfer activities, and the development of spin offs and/or otherwise to ensure maximum benefit to the University and the public good, as determined.

iii. Professional Development

A framework for growth and development of the Creator in their professional and personal capacity shall be developed including (i) recognition of IP generation and commercialization performance in appraisal procedures; and (ii) opportunities for enterprise development or capacity development through, for example, specific training opportunities, sabbaticals, and local and international exchanges in their relevant research fields or in the field of IP management and knowledge transfer.

iv. Creator receiving shares in a Commercialization Entity or other licensee

- a. In the case where a Creator is granted equity in a commercialization entity that licenses the Institution IP which the Creator has created, such Creator’s portion in the standard revenue sharing will be adjusted accordingly, taking into account the shares held in the company by the Creator.
- b. Where the Institution receives shares in a licensee company, which company may be a Commercialization Entity, as consideration for an IP license, the Institution will take steps such that the Creators will be issued their license company shares in the revenue sharing proportions, at the time the shares are issued to the Institution by the licensee.
- c. Notwithstanding the benefit sharing in respect of shares in terms of this Section 12.46 sub section iv(c), the Creators will still be entitled to their share of any other revenues under the IP license.

13.21 Warranties and Liabilities

In the instance of a Company securing external investment, it is likely that the external investors will seek warranties around the creation of the IP. It is expected that a proportion of the liabilities associated with such warranties will fall to the originators mirroring the potential rewards available to them from successful commercialisation. Hence, originators may be required to give warranties and accept certain liabilities which will affect them on a personal basis independent of their employment at the University.

As such, the University cannot offer legal advice to originators obtaining share capital in a Company and strongly advises that originators obtain independent legal advice before providing any such warranties or accepting any commensurate liability to a Company and/or investor in the Company.

13.22 Contact Details

The onus is upon each Creator to ensure that the Institution is in receipt of their current address details for the purpose of revenue sharing. Unless contrary to law, should the Institution be unable to locate the Creators through reasonable efforts, in order to effect payment of the revenue share amount, (where creator has left the employment of the University) and a period of five years has passed since an initial attempt, then the portion owed to that Creator or his/her heirs will be paid to the Institution's Research Development Fund to be used to support Research and innovation activities.

13.23 IP PORTFOLIO MANAGEMENT

13.23.1 The following shall be adhered to under portfolio management

i. Monitoring and Evaluation

IPMO shall maintain records of the Institution's IP in an appropriate form and in sufficient detail. It shall monitor the deadlines for the payment obligations related to the maintenance or annuity fees of protected IP, and shall, within a reasonable time, inform the person or department designated to make such payments.

ii. Accounting

IPMO with the help of the Accountant at DRI shall maintain income/expense accounting records on each IP so that revenue sharing allocations can be calculated.

13.24 CONFLICT MANAGEMENT

13.24.1 Conflict of Commitment and Interest:

i. Commitment to the Institution:

Members of staff and visitors' primary commitment of time and intellectual contributions should be to the education, research and academic programs of the Institution.

ii. Best Interests of the Institution:

Members of staff and visitors have a primary professional obligation to act in the best interest of the Institution; they should avoid situations where external interests could significantly and negatively affect their work ethic and research integrity.

iii. Agreement(s) with External Parties.

All agreements must be drafted with assistance from the IP Office with support of the legal Office to ensure that all staff agreements with external parties do not conflict with their duties and responsibilities in terms of this Policy. This provision shall apply in particular to private consultancy and other research service agreements concluded with external parties. Duties of all parties to the agreement shall be clearly stated and provided with a copy of this Policy.

iv. Disclosure of External Activities and Financial Interests.

Members of staff and visitors shall promptly report all potential and existing Conflict of Interest (COI) or Conflict of Commitment (COC) to the IPMO to facilitate the resolution of the conflict or reaching a solution satisfactory to all parties concerned.

13.25 Disputes

i. Resolution of Conflicts

a. Any dispute between KTU and the originator of IP will be forwarded to the IP Committee through the IPMO for resolution. Failing which the dispute will be forwarded to the IP committee for determination in consultation with the Legal Officer. Expenses incurred in resolving a conflict shall be deducted from IP revenue before distribution.

b. Any internal disputes or questions of interpretation arising under this Policy must in the first instance be referred to IPMO for consideration.

c. If the matter cannot be resolved by the IP Committee, then the dispute or question of interpretation must be referred to the Management of KTU for mediation.

d. The Pro Vice-Chancellor in consultation with the Legal Officer shall (where necessary) refer the matter to Management of KTU and/or an arbiter for arbitration as final arbiter of any disputed issues or for final determination.

e. **Appeal.** Individuals covered by this Policy shall have the right to appeal the application of any aspect of this Policy to the IP Committee.

13.26. REVIEW AND AMENDMENT

13.26.1 Revision.

This Policy may be amended at any time as is practicable by a decision of the IP Committee. In this case:

- a. all IP disclosed on or *after* the effective date of such amendment shall be governed by the Policy as amended; and

- b. all IP disclosed *prior* to the effective date of the amendment shall be governed by the Policy prior to such amendment, provided that the provisions of the Policy (as amended) shall apply to all IP licensed or otherwise commercialised on or after the effective date of any such amendment regardless of when the IP is disclosed.

14. POLICY PERFORMANCE INDICATORS

- 14.1 Increased numbers of IP Identification from research
- 14.2 Improved balance of interests between stakeholders and Koforidua Technical University through IP.
- 14.3 Enhanced efficiency in IP identification, utilization, management, and commercialization.

15. EXCEPTIONS

- 15.1 It may be agreed from time to time that an Employee will undertake work for a third party on a temporary or ad-hoc basis. Before undertaking that work, an agreement must be put in place between the University, the Employee and the third party governing ownership and exploitation of IP which the Employee creates. In the absence of any such agreement, or provision for ownership of IP within such agreement, employee-generated IP will be owned by the University.
- 15.2 In certain cases, it may be necessary and/or beneficial to the Institution to enter into a research contract that contains exceptions to the provisions of this Policy. Any such exceptions require prior, written approval from the Pro-Vice Chancellor.

16 DEFINITION OF TERMS/ABBREVIATIONS

- 16.1 Without prejudice to any applicable laws, the definitions set out below in this policy shall apply:

16.2 Intellectual Property (IP).

All outputs of creative endeavour in any field at the Institution for which legal rights may be obtained or enforced pursuant to the law. IP may include:

- i. literary works, including publications in respect of research results, and associated materials, including drafts, data sets and laboratory notebooks;
- ii. teaching and learning materials;
- iii. other original literary, dramatic, musical or artistic works, sound recordings, films, broadcasts, and typographical arrangements, multimedia works, photographs, drawings, and other works created with the aid of Institution's resources or facilities;
- iv. databases, tables or compilations, computer software, preparatory design material

- for a computer program, firmware, course-ware, and related material;
- v. patentable and non-patentable technical information
 - vi. designs including layout designs (topographies) of integrated circuits;
 - vii. plant varieties and related information;
 - viii. trade secrets;
 - ix. know-how, information and data associated with the above; and
 - x. any other Institution-commissioned works not included above.

16.3 Intellectual Property Rights (IPRs).

The proprietary rights that may be granted for an invention, mark, design, plant variety, or other type of IP, should the statutory requirements for protection be met to result in a patent, trade mark, registered design or plant breeders' right, respectively.

16.4 Institution IP

IP owned or co-owned by the Institution.

16.5 Invention

An idea of an inventor which permits in practice the solution to a specific problem in the field of technology. It may be a product or process.

16.6 Inventor

Any person to whom this Policy is applicable, who individually or jointly with others makes an Invention and who meets the criteria for inventorship under the national IP laws.

16.7 Patent

Title granted to protect an invention.

16.8 IP Disclosure Form

The form [provided in Annex to be completed by Creators and submitted to IPMO to document their creation.

16.9 Appointment

A formal agreement for a staff or Visitor at the Institution, which is a prerequisite to participate in or conduct Research, scholarship, creative work, or teaching at the Institution.

16.50 Author

Any person to whom this Policy is applicable, who individually or jointly with others makes a design, a mark or copyrightable work and who meets the criteria for authorship under the IP laws of Ghana

16.51 Background IP

Any pre-existing IP created before the execution of any Research Project, or prior to a Creator becoming subject to this IP Policy, by virtue of Appointment in the case of a Visitor, employment contract in the case of a Staff Member, or registration in the case of a Student.

16.52 Commercialisation

Any form of utilisation of IP intended to generate value, which may be in the form of a marketable product, process or service, commercial returns, or other benefit to society.

16.53 Commercialise is similarly defined.**16.54 Commercialisation Entity**

A company that has access to the IP of the Institution, through any one or more of the available Commercialisation modes, to produce new products, processes or services.

This can be a spin-off or start-up.

16.55 Conflict of Commitment (COC)

Any situation in which an individual Staff Member's or Visitor's primary professional loyalty is not to the Institution because the time devoted to outside activities adversely affects their capacity to meet their responsibilities as set out in their employment contract of Appointment, respectively.

16.56 Conflict of Interest (COI)

Any situation in which real or perceived interests of an individual Staff Member, Visitor or Student may run counter to the interests of the Institution or negatively affect their employment or duties.

16.57 Course Materials

All materials used in, or in connection with, and for the purpose of, teaching an education course through the provision of lectures, tutorials, seminars, workshops, field or laboratory classes, assessments, practicum and other teaching activities conducted by the Institution; and all IP in such materials.

16.58 Creator

Any person to whom this Policy is applicable, who creates, conceives, reduces to practice, authors, or otherwise makes a substantive intellectual contribution to the creation of IP and who meets the definition of 'inventor', 'author' or 'breeder' as generally implied in the IP laws of Ghana.

16.59 Gross IP Revenue

All revenue received by the Institution from the Commercialisation of Institution IP before any deductions for IP Expenses

16.60 IP Expenses

All expenses incurred by the Institution in the management and Commercialisation of IP for which Gross IP Revenue has been received.

16.61 IP Committee

The body within the Institution, set up which is responsible for overseeing the drafting, implementation, monitoring and evaluation of the Policy, and for providing strategic oversight of the IPMO.

16.62 IP Management Office (IPMO)

The administrative unit established that is responsible for day-to-day management of all IP-related activities of the Institution.

16.63 Open Educational Resources (OERs)

Teaching, learning and Research materials that reside in the Public Domain and that have been released under an open license that permits their free use or modification by others.

16.64 Plant Variety

Plant grouping within a single botanical taxonomy on the lowest known rank which grouping, irrespective of whether the conditions for the grant of a plant breeder right are fully met.

16.65 Public Disclosure.

The communication of information, relating to IP, to external parties. Public Disclosure includes, but is not limited to, disclosure in written or oral form; communication by email; posting on a web blog; disclosure in a news report, press release or interview; publication in a journal, abstract, poster, or report; presentation at a conference; examination of a thesis; demonstration of an Invention at a trade show; or the industrial application of an Invention.

16.66 Public Domain

The freely accessible public realm in which works that are not protected by IPRs, either because the rights have been forfeited or because the rights have been expired, are thereby held by the public at large and available for all to use without permission from the Creator or owner.

16.67 Research.

Any creative work undertaken on a systematic basis in order to increase the stock of knowledge, including knowledge of man, culture and society, and the use of this stock of knowledge to devise new applications. It comprises three activities: basic research, applied research and experimental development.

16.68 Research Contract.

Any type of agreement between the Institution and an external party or research sponsor,

concerning Research, which could result in IP being created at the Institution. This shall include, but is not limited to, all sponsorships, donorships and collaborations with the external party or research sponsor.

16.69 Research Project.

Any project that forms the basis of Research undertaken by the Institution and includes projects undertaken by a Student, under the supervision of a Staff Member or a Visitor, as part of a research degree program.

16.70 Scholarly Works.

All copyright works which are the outputs of academic staff members, students or visitors, including Research, creative and other outputs in area(s) of his/her expertise. It does not include Course Materials

16.71 Staff Member.

Any person who is under a contract of employment with the Institution including academic, research, technical, administrative and adjunct staff, whether full-time or part-time or on a temporary basis.

16.72 Student.

Any student registered for an approved programme of study at the Institution.

16.73 Substantial Use.

Extensive (unreimbursed) use of the Institution's resources which include but are not limited to facilities, equipment, human resources or funds and any Background IP that is not publicly available. It however includes routine use of libraries and/or office space.

16.74 Trade Secret.

Confidential information not publicly available that has commercial value because of its confidential nature, and which the owner has taken reasonable efforts to keep secret.

16.75 Visitor.

Any person who is neither a Staff Member nor a Student of the Institution who engages in work at the Institution, including visiting professors, adjunct and conjoint professors, researchers, scholars and volunteers; and who signs an agreement with the Institution.

16.76 Serendipity- The notion that research in one area often leads to advances in another area.

16.77 K.T.U. - Koforidua Technical University

16.78 IP - Intellectual Property

16.79 IPMO - IP Management Office

16.80 DRI - Directorate of Research and Innovations

16.81 OERs - Open Educational Resources

16.82 NDAs - Non-Disclosure Agreements

17. REFERENCES.

17.1 <https://www.ug.edu.gh>

17.2 <https://www.bpc.sa.gov.au>

LANGUAGE CENTRE POLICY

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1. **Policy Title:** Language Centre Policy
2. **Policy Number:** KTU_001
3. **Approval Authority:** Governing Council
4. **Functional Responsibility:** Director, Language Centre
5. **Approval Date:** 12/02/2024
6. **Commencement Date:** 12/02/2024
7. **Review Date:** 14/02/2028

8. POLICY STATEMENT

- 8.1 Koforidua Technical University (KTU) shall have a centre that provides a platform for students, staff and the community to engage in proficiency in Languages and Language studies.

9. POLICY OBJECTIVES

- 9.1 To provide proficiency in English and other foreign languages
- 9.2 To prepare students for language proficiency tests and other standardized examinations
- 9.3 To provide language proficiency services
- 9.4 To provide proofreading, editing and business correspondence services

10. GUIDING PRINCIPLES

The principles governing this policy are as follows:

- 10.1 Clarity
- 10.2 Timeliness
- 10.3 Coherence
- 10.4 Urgency and Conciseness
- 10.5 Inclusiveness
- 10.6 Fairness
- 10.7 Integrity
- 10.8 Transparency
- 10.9 Accountability
- 10.10 Passion
- 10.11 Leadership
- 10.12 Patience and Humility

11. SCOPE OF APPLICATION

- 11.1 The Policy shall apply to all stakeholders of KTU

12. DECISION RULES

A. Training logistics and Physical Infrastructure

- 12.1 KTU shall make available, physical infrastructure for effective training and studies
- 12.2 KTU shall make available, requisite logistics for effective training and studies
- 12.3 The Centre shall develop training modules for all programmes offered
- 12.4 The Centre may collaborate with local agencies where it lacks capacity especially in areas of equipment and expertise.

B. Training Requirements

- 12.5 The Centre is open to all prospective learners or participants.
- 12.6 All learners or participants should first register with the Centre
- 12.7 Attendance to the Centre shall be negotiated with the Management of the Centre
- 12.8 All applicants seeking to acquire knowledge shall pay a token which be determined by Management of the Centre in consultation with KTU Management.

C. Facilitation

- 12.9 Facilitators shall be experts in their fields with considerable experience
- 12.10 Research shall form the basis for innovation and development at the Centre.

D. Collaborations

- 12.11 The Centre shall work in close collaboration with all relevant Units in the University.
- 12.12 The Centre shall collaborate with relevant external institutions to promote and advance the study of languages.

13. ROLES AND RESPONSIBILITIES

- 13.1 There shall be a Director who shall be responsible for the day-to-day operations of the Centre.
- 13.2 There shall be facilitators to take clients through training sessions.
- 13.3 Assessment at the centre shall not be interrupted by external examinations

14. POLICY PERFORMANCE INDICATORS

- 14.1 A well-established functional Language Centre providing proficiency in Languages
- 14.2 Produce a number of clients with passed language proficiency tests and other standardized Examinations
- 14.3 Availability of training resources in the centre

15. DEFINITION OF TERMS AND ABBREVIATIONS

- 15.1 **KTU** - Koforidua Technical University

16. REFERENCES

- 16.1 <https://cxl.com>
- 16.2 <https://www.raijmr.com>

OPEN AND DISTANCE LEARNING POLICY

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1. **Policy Title:** **Open and Distance Learning Policy**
2. **Policy Number:** **KTU_ODL001**
3. **Approval Authority:** **Governing Council**
4. **Functional Responsibility:** **Director (IODL)**
5. **Approval Date:** **12/02/2024**
6. **Commencement Date:** **12/02/2024**
7. **Review Date:** **14/02/2028**

8. POLICY STATEMENT

- 8.1 Koforidua Technical University (hereafter referred to as The University) shall provide access to open and distance learning through flexible and blended mode of delivery.

9. POLICY OBJECTIVES

- 9.1 To expand full access to technical, vocational and higher education to learners having diverse and special needs.
- 9.2 To improve the quality of conventional education through different kinds of support mechanisms and materials by the application of Information Communication Technology (ICT).
- 9.3 To promote lifelong learning, continuing education and professional development through open and distance learning systems
- 9.4 To provide skills-based education through customized courses to cater for the needs of the labour force.
- 9.5 To create an avenue for skill certification and accreditation to preserve the traditional skills and customary learning of the indigenous community.

10. GUIDING PRINCIPLES

The principles governing this policy are as follows:

- 10.1 Accessibility
- 10.2 Collaboration and Partnership
- 10.3 Cost effectiveness and Sustainability
- 10.4 Equity
- 10.5 Flexibility
- 10.6 Learner Centeredness
- 10.7 Openness
- 10.8 Quality
- 10.9 Relevance
- 10.10 Ethics and Professionalism
- 10.11 Standardisation

11. SCOPE OF APPLICATION

- 11.1 The policy shall apply to all staff, and students of the University who engaged in Open and Distance Learning activities.

12. DECISION RULES

A. Training, logistics and Physical Infrastructure

- 12.1 There shall be an Institute responsible for Open and Distance Learning and related matters in the University
- 12.2 The Institute shall be headed by a Director.
- 12.3 The Institute for Open and Distance Learning shall be a coordinating Unit
- 12.4 The Institute shall develop training modules for all programmes offered
- 12.5 The Institute shall make available physical infrastructure for effective learning
- 12.6 The Institute shall make available requisite logistics for effective learning
- 12.7 The curricula for open distance learning shall be developed within the approved framework of curriculum development and accreditation of the University
- 12.8 The Institute shall facilitate the establishment of distance learning centres in major towns.

B. Training Requirements

- 12.9. Admission into a programme of study under the Open and Distance Learning shall conform to the admission requirements of the University.

C. Certification

- 12.10 Graduation and award of certificates for students of Open and Distance Learning shall conform with the approved procedures and regulations of the University

D. Collaborations

- 12.11 The Centre shall work in close collaboration with the relevant departments or units of the University.
- 12.12. The Centre shall collaborate with relevant external institutions and regulators to promote and advance the Open and Distance Learning by the University.

13. ROLES AND RESPONSIBILITIES

- 13.1 The Director of the Institute of Open and Distance Learning shall be responsible for the day-to-day operations of the Institute.
- 13.2 A Registry headed by an Administrator and other supporting units shall support the Director in the discharge of his/her duties.

14. POLICY PERFORMANCE INDICATORS

- 14.1 Well established and functional institute of ODL which conforms to the approved procedures of Koforidua Technical University (KTU).
- 14.2 Establishment of Centres in major towns in Ghana.

- 14.3 Increase in number of programmes, especially informal sector programmes
- 14.4 Increase in number of trained artisans

15. DEFINITION OF TERMS/ABBREVIATIONS

- 15.1 ODL - Open and Distance Learning
- 15.2 KTU - Koforidua Technical University
- 15.3 ICT - Information Communication Technology

16. REFERENCES

- 16.1 <https://planipolis.iiep.unesco.org>
- 16.2 <https://ur.ac.aw>

PRIVATE PUBLIC PARTNERSHIPS
(INFRASTRUCTURE) POLICY

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1. **Policy Title:** Private Public Partnerships (Infrastructure) Policy
2. **Policy Number:** KTU_PPP001
3. **Approval Authority:** Governing Council
4. **Functional Responsibility:** Director of Works and Physical Development
5. **Approval Date:** 12/02/2024
6. **Commencement Date:** 12/02/2024
7. **Review Date:** 14/02/2028

8. POLICY STATEMENT

Koforidua Technical University (KTU) (hereafter referred to as The University) shall have Private Public Partnerships (PPP) arrangement that solicit sustainable alternative ways to bridge the infrastructural requirement gaps.

9. POLICY OBJECTIVES

- 9.1 To provide guiding principles, procedures, and operations, and indicate the boundaries within which the private sector could participate in the provision of real estate facilities through the institution's requirement.
- 9.2 To encourage the provision of quality, wide variety and timely public infrastructure and services.

10. GUIDING PRINCIPLES

The principles governing this policy are as follows:

- 10.1 Value for money
- 10.2 Risk Allocation
- 10.3 Ability to pay
- 10.4 Local content and technology transfer
- 10.5 Safeguarding public interest
- 10.6 Consumer rights
- 10.7 Accountability
- 10.8 Transparency
- 10.9 Equal opportunity
- 10.10 Security
- 10.11 Safety
- 10.12 Accessibility
- 10.13 Fairness

11. SCOPE OF APPLICATION

The policy shall apply to all physical infrastructure on Koforidua Technical University's lands under Private Public Partnerships (PPPs).

12. DECISION RULES

- 12.1 The University shall ensure that value for money is given the highest preference for all Private Public Partnership (PPP) arrangements and shall be competitive.
- 12.2 The University shall ensure that risks within all Private Public Partnership (PPP) arrangements are controlled and managed to ensure maximization of value for money.
- 12.3 The University shall be committed to ensuring that all Private Public Partnership (PPP) arrangements have a positive impact on the University's community, considering climate, environmental and social safeguards.
- 12.4 The University shall ensure that all Private Public Partnerships (PPP) arrangements follow laid-down procedures, regulations and be given priority in terms of short to long term affordability.
- 12.5 The University shall sub-lease the land to the prospective investor after all requirements have been met for a period ranging from 30-45 years. The University shall however remain the owner after the operator builds, operates and transfers to the University upon expiration of the agreed lease period.
- 12.6 The University shall enter into partnership agreement with an investor or developer under which development and management of the land required for the project shall be valued by a Chartered Valuer.
- 12.7 The University shall study the business plan of a prospective investor and request premium and periodic rental charges payable to the Directorate of Finance of KTU.
- 12.8 The University shall set conditions/ regulations regarding the development and operations of private properties, be it students' accommodation, commercial properties, etc.

13. ROLES AND RESPONSIBILITIES

- 13.1 There shall be a Director of Works who shall be responsible for the day-to-day running of the Directorate of Works and Physical Development.
- 13.2 There shall be the Head of an Estates Section who shall work under the Director of Works by supervising and directing the everyday activities related to the section.

13.3 There shall be a Development Committee on behalf of the Governing Council, primarily responsible for managing, evaluating and implementing contractual processes, project executions and project life cycles.

13.4 The Directorate of Works and Physical Development and Estate Management shall be actively involved in projects from start to finish.

14. POLICY PERFORMANCE INDICATORS

14.1 An increase in collaboration arrangements for Private Public Partnerships (PPPs) in physical infrastructure provision.

14.2 A number of physical infrastructure set up in the University through Private Public Partnership (PPP) arrangements.

14.3 An increase in value for money in contractual relationships between the University and would-be private partners.

14.4 The development options could be Build, Operate and Transfer (BOT), Joint Venture/ partnership and rental.

15. ENFORCEMENT

15.1 The University shall be responsible for enforcing the terms of the contract entered into with a developer or investor.

15.2 The business plan of a developer or investor shall be required to be made available for study by the Development Committee.

15.3 The developer or investor shall purchase an application form at a non-refundable fee of GH ¢ 5,000.00 (**subject to a review**) from the Directorate of Finance.

15.4 All applications shall be vetted by the Development Committee and appropriate recommendations made, subject to any modifications suggested on the terms of the agreement, Architectural and Engineering services.

15.5 The applicant shall bear the cost of all documentations such as indenture, surveys and other incidental charges.

15.6 The developer or investor must factor in the provision of security, maintenance plan and connectivity of services.

15.7 Every contract entered into must have stipulated agreed timelines.

16. DEFINITION OF TERMS/ABBREVIATIONS

16.1 Build, Operate and Transfer (BOT)

16.2 Joint Venture/Partnership

16.3 Rental

17. REFERENCES

17.1 Technical Universities Act, 2016 (Act 922)

17.2 Koforidua Technical University Statute (2019)

17.3 <http://mofep.gov.gh>

STAFF WELFARE POLICY

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1. **Policy Title:** **Staff Welfare Policy**
2. **Policy Number:** **KTU_HRM002**
3. **Approval Authority:** **Governing Council**
4. **Functional Responsibility:** **Welfare Officer**
5. **Approval Date:** **12/02/2024**
6. **Commencement Date:** **12/02/2024**
7. **Review Date:** **14/02/2028**

8. POLICY STATEMENT

- 8.1 Koforidua Technical University (KTU) shall have a Staff Welfare Committee (SWC) that seeks to invest in the welfare of its staff.

9. POLICY OBJECTIVES

- 9.1 To provide a conducive working environment for all staff of the University.
- 9.2 To extend care to staff in times of need within the limits of this policy.

10. GUIDING PRINCIPLES

The principles governing this policy are as follows:

- 10.1 Accessibility
- 10.2 Equity and fairness
- 10.3 Personal responsibility
- 10.4 Integrity
- 10.5 Transparency
- 10.6 Accountability
- 10.7 Non discrimination
- 10.8 Empathy
- 10.9 Solidarity

11. SCOPE OF APPLICATION

This policy shall apply to permanent employees of the University including:

- i. Senior Members (Teaching and Non-Teaching)
- ii. Senior Staff (Teaching and Non-Teaching)
- iii. Junior Staff

12. DECISION RULES

A. Employees' Welfare Fund

Mutual Fund Scheme

- 12.3 The Mutual Fund Scheme shall exist as an optional scheme and shall be operated as per the rules established by its members.

Credit Union

- 12.4 The Credit Union shall exist as an optional scheme and shall be operated as per the rules established by its members.

Internal Welfare Fund

- 12.5 The Internal Welfare Fund shall continue to exist with periodic review of members' contributions for realistic benefits.

Other Welfare Funds

- 12.6 The University may allow the establishment of other welfare funds by faculties, departments, units, recognised labour unions, and registered identifiable groups.

B. Wages and Salaries Administration

- 12.7 The University, through its activities, may provide opportunities for employees to earn additional wages through extra-teaching and administrative activities as may be legally appropriate.

C. Staff Recreational Activities

- 12.8 The University shall organize medical screening for staff, at least, once a year to improve their well-being.
- 12.9 The University may hold health-walks and health-talks, at least, once a year on dates to be determined by the Staff Welfare Committee.
- 12.10 The University shall arrange, support and promote worthwhile sports and group recreational activities.
- 12.11 The University shall establish a Club-house for staff to socialize, share ideas and foster comradeship.

D. Staff Safety

- 12.12 The University shall provide for the safety of its staff during working hours in line with the provisions of the Conditions of Service and the Labour Act 2003, Act 651 and any other relevant legislation.
- 12.13 Staff shall observe all safety rules established by the University.
- 12.14 Staff shall be accountable to their Heads of Department for adherence to safety rules.

E. Housing

- 12.15 The University shall implement its Housing Policy as prescribed.

F. Canteen Services

- 12.16 The University shall make provision for canteen services to serve the University community.

G. Benefits on Leaving the Service

- 12.17 Staff leaving the service of the University shall be paid all benefits due them in accordance with the Conditions of Service and the rules and regulations governing the various schemes.

H. Special Awards

- 12.18 The University shall provide special awards to deserving staff annually.

I. Exceptions

- 12.19 Temporary/Casual staff of the University shall not be entitled to benefit from the provisions of this policy.
- 12.20 Part-Time staff of the University shall not be entitled to the provisions of this policy

13. ROLES AND RESPONSIBILITIES

- 13.1 A Welfare Officer shall be appointed to the Human Resource Division.
- 13.2 Staff must be sensitive and responsive to their own and other colleagues' welfare at work.
- 13.3 Staff must co-operate as far as possible with any initiatives and recommendations introduced in relation to their welfare.
- 13.4 All staff must follow the recommended guidelines provided by the University on all welfare issues.
- 13.5 The University will respond to staff in a supportive manner taking into account their feelings and difficulties in an atmosphere of trust and confidentiality.
- 13.6 The University shall provide support and ensure that all staff are treated fairly.

14. POLICY PERFORMANCE INDICATORS

- 14.1 Staff are able to access welfare supports system within a reasonable time-frame.
- 14.2 Conducive working environment is provided to staff of the University.

15. DEFINITION OF TERMS/ABBREVIATIONS

- 15.1 Staff** – All persons in the permanent employment of the University.
- 15.2 Senior Member** – Any member of the Academic, Professional or Administrative staff holding office in the University not below the grade of a Lecturer or its equivalent position in other departments.
- 15.3 Senior Staff** – Those persons in the employment of the University of a Grade not lower than that of an Administrative Assistant or its equivalent grade.
- 15.4 Junior Staff** – Those persons in the employment of the University of rank below that of an Administrative Assistant or its equivalent grade.
- 15.5 Internal Welfare Fund** – Welfare Scheme run by the Institution

16. REFERENCES

- 16.1 Labour Act, 2003 (Act 651)

- 16.2 Technical University Act, 2016 (Act 922)
- 16.3 Unified Conditions of Service for Unionised Staff of the Polytechnics in Ghana
- 16.4 <https://www.eesc.europa.eu>

TRANSPORT POLICY

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1. **Policy Title:** Transport Policy
2. **Policy Number :** KTU_EST002
3. **Approval Authority:** Governing Council
4. **Functional Responsibility:** Transport Officer
5. **Approval Date:** 12/02/2024
6. **Commencement Date:** 12/02/2024
7. **Review Date:** 14/02/2028

8. POLICY STATEMENT

- 8.1 The University shall operate an efficient and effective transport system for enhanced administration and for teaching and learning.

9. POLICY OBJECTIVES

- 9.1 To optimize the use of the university vehicles.
- 9.2 To run an efficient and effective transport system
- 9.3 To conduct transport needs assessment and the means of purchase.
- 9.4 To ensure the safety of all University vehicles and their users.

10. GUIDING PRINCIPLES

The principles governing this policy are as follows:

- 10.1 Accessibility
- 10.2 Equity and fairness
- 10.3 Safety
- 10.4 Personal responsibility
- 10.5 Integrity
- 10.6 Transparency
- 10.7 Accountability

11. SCOPE OF APPLICATION

- 11.1 All vehicles within the University transport systems and their users.

12. DECISION RULES

- 12.1 The University shall ensure due process and procedures are followed in the purchase and operations of University vehicles.
- 12.2 The University shall ensure due maintenance and care of the University's transport systems.
- 12.3 The University shall ensure safety and security in the use of the University vehicles.
- 12.4 The University shall ensure sustainable and cost efficient transport system.

- 12.5 All regulations governing the use of the university's transport system shall be complied with.
- 12.6 There shall be a transport committee constituted by the Vice Chancellor in accordance with the University's Statute.
- 12.7 A daily travel log shall be maintained for each University vehicle
- 12.8 The maintenance requirement shall be complied with.
- 12.9 The usage requirements shall be complied with.
- 12.10 To qualify as a KTU driver, an applicant must have a minimum of a senior high school certificate, at least 4 years of relevant driving experience and be proficient in English. Other conditions indicated in the Scheme of Service for drivers shall apply.
- 12.11 To qualify as a KTU driver, an applicant must have a valid professional driver's licence required by the university.
- 12.12 Faculties and units shall be responsible for the maintenance, usage and safety care of vehicles assigned them.

13. SPECIFIC CIRCUMSTANCES

- 13.1 The University's vehicles shall be used for approved official businesses only.
- 13.2 All operators of the University's vehicles shall possess a valid operational license at all times.

14. ROLES AND RESPONSIBILITIES

- 14.1 The transport committee shall have oversight responsibility of the University's transport system.
- 14.2 The transport officer shall be responsible for the daily management of the University's transport system.

15. POLICY PERFORMANCE INDICATORS

- 15.1 Reduced number of reported cases of incidents and violations.
- 15.2 Reduced number of broken down vehicles.
- 15.3 A bi-annually (half-yearly) report on health status of the drivers.

16. ENFORCEMENT

- 16.1 A person may be required to make restitution to the University as a result of damage through misuse or gross negligence.
- 16.2 All violations of the transport policy shall attract appropriate sanctions.

17. DEFINITION OF TERMS/ABBREVIATIONS

- 17.1 Vehicle abuse:** It includes but not limited to, the improper care and maintenance of the vehicle such as excess or the extended filth of vehicle, operating the vehicle without servicing at the specified frequency, and damage to the vehicle caused by willful disregard or improper use.

18. REFERENCES

- 18.1 DVLA, Act 569, 1999
- 18.2 Ghana National Fire service Act, (1997) ACT 537,
- 18.3 <https://www.gdrc.org>

Asll (08/08/2024)

Nana (Prof.) Samuel Obeng Apori
(Chairperson of Council)

John Owusu 08/08/2024

Prof. John Owusu
(Vice-Chancellor)

Ms. Evelyn Fafa Adom 08/08/2024

Ms. Evelyn Fafa Adom
(Registrar/Secretary to Council)

