



Corporate governance and compliance management at University of Ghana – Case study on professional responsibility in sustainable management of research projects

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Partners:








Outline

- Understanding of international corporate governance principles
- Applicability of international corporate governance principles in the University of Ghana
- Awareness of personal and professional responsibility in the University of Ghana
- Codes of good conduct in sustainable management of research projects
- Identification of risk areas in:
 - Academics
 - Cybersecurity
 - Data privacy
 - Human Resource (HR)
 - Financial compliance



Sustainability management

- Sustainability emphasizes the importance of considering long-term implications in current decision-making. It thus specifies the idea of responsibility by highlighting the time dimension and the relevance of future effects and side effects.
- So, how does current decision-making affects the needs of present and future stakeholders?
- Ideed as Olga just underlined “*sustainability starts and finishes with governance*”!

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Scope of Research Projects – complex

- Basic Arts and Sciences
- For agricultural sciences
 - Soil management
 - Crop management
 - Animal management
 - Fisheries management
 - Water management
 - Post harvest management
 - Business management, policy analysis, etc.



- So, need to understand and explore international best practices
- And take responsibility!
- So what are the International Corporate governance principles/
- Are they applied in the University of Ghana?
- What are the key challenges of compliance?

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1. Understanding of international corporate governance (CG) principles

- The ICG Network principles describe the responsibilities of boards and shareholders respectively and aim to enhance dialogue between the two parties.
- Dialogue is important so that society rather than self-interest will be the watch word

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Understanding of international corporate governance (CG) principles – ICGN principles



- 1 Board role and responsibilities
- 2 Leadership and independence
- 3 Composition and appointment
- 4 Corporate culture
- 5 Risk oversight
- 6 Remuneration
- 7 Reporting and audit
- 8 Shareholder rights

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Brief History



- The University of Ghana is the oldest and largest of the thirteen Ghanaian public universities.
- Incorporated in 1948
- Most departments were created after 1968, when it became a full-fledged University.
- In 2005, most Departments modernized names and courses

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UG Vision and Mission



- **Vision:** To become a “World Class research-intensive **University**” over the next decade.
- **Mission:** We will create an enabling environment that makes **University of Ghana** increasingly relevant to national and global development through cutting-edge research as well as high quality teaching and learning.



Vice
Chancellor



ProVC, ASA



ProVC, RID



Provosts



Deans

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2. Applicability of international corporate governance principles in the University of Ghana



1: Board role and responsibilities – Chancellor, University Council, Core management, Business and Executive Committee

2: Leadership and independence: Academic Board

3: Composition and appointment: Unit heads are appointed; Deans, Provosts, Pro VCs and Vice Chancellor is through application, search party and interview; Chancellor is selected through search party.

4: Corporate culture: Standards of practice and ethics, ensuring that the vision, mission and objectives are sound and demonstrative of its values

4: Risk oversight: Internal Audit directorate and representatives and Risk management board available since **February 2021** to proactively oversee, review and approve the approach to risk¹⁰

2. Applicability of international corporate governance principles in the University of Ghana



6: Remuneration: Government pay role with market premium for senior members

7: Reporting and audit: Audit Department oversee timely and high quality disclosures for stakeholders relating to financial statements, strategic and operational performance, corporate governance and material environmental and social factors.

8: Shareholder rights: SRC, GRASAG, TEWU, FUSSAG and UTAG represented on UG Council and Finance and General Purposes Committee, etc.

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3. Awareness of personal and professional responsibility of SMRP in UG



Responsibility areas	Description	Remarks
Personal responsibilities	Individual competencies that play a specific role in different phases and characteristic aspects of the research project: The initial inspiration for research design; research project development; and the involvement of stakeholders.	The most apparent competences are related to: <ul style="list-style-type: none"> - strategic management and action, - diversity, - interdisciplinarity, and - interpersonal aspects The least apparent competencies are related to: <ul style="list-style-type: none"> - Systems thinking competence - foresighted thinking competence and - normative competence
Professional responsibilities	Delivering value creation and preventing or at least reducing disvalue creation in the long term	Efforts to integrate three perspectives, the ecological, economic, and social

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4. Codes of good conduct in sustainable management of research projects

Name	Unit	Description
Code of conduct for Academic staff (2011)	Public Affairs Directorate	Foster and strengthen adherence to the University statutes
Research, Innovation and Development	Office of Research, Innovation and Development (ORID)	Implement policy in a sustainable manner
Research code of practice	Research Ethics Board	Overall and sub-units- Sciences and Humanities
Sexual Harassment and Misconduct policy	Anti-Sexual Harassment Committee CEGENSA	Chairperson and thirteen members
Strategic plan (2014-2024)	Office of Vice Chancellor	Making UG 'a go to University'
Risk Management (2021)	Office of Risk	Ensure compliance with



Office of Research, Innovation and Development (www.orid.ug.edu.gh)

- It has the specific responsibility of:
- developing and implementing the University's research policy
- fund-raising for research
- ensuring effective distribution and efficient use of research funds, in line with priority areas identified in the University's strategic plan
- setting standards and ensuring effective dissemination of high quality research output
- representing the interests of the University in contractual relationships, grant applications and reporting administering contract research
- establishing systems for ethical clearance
- registration, patenting and



Office of Research, Innovation and Development

- Research management services at ORID are delivered through seven teams, which provide streamlined and uniform support to the University community. The teams are:
- Pre- and Post-Award Services Team (PPA)
- Capacity Development Services Team (CaD)
- Technology Transfer and Intellectual Property Services (TTIPs)
- Research Performance Services Team (RePs)
- Publication, Dissemination and Translation Team (PDT)
- Human and Animal Research Ethics Services Team (HARES)
- Accounts Office

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Partnerships and compliance

- The last two decades has seen a leap frog in partnerships leading to establishment of several institutes, research-based Centres, Centres of Excellence (CoE) and calls for deeper responsibility to the economy, ecology and society.
- Leading donors including African Union, World Bank and other development partners are championing and contributing to strengthen the partnerships
- African Universities Research Alliance (ARUA)
- World University Alliance (WUA)
- National government has contributed to the Research Scholarship and Innovation Fund for partnership development related to science, engineering and technology- PASET-RSIF
- Industry relations and support for research commercialization is progressing (albeit slowly)

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Challenges of compliance

Element	Description
Personal responsibility	It is not my job
	I have a few years to retire, my mouth is shut
	I am a retired staff, I am an observer
National responsibility	Limited budget for infrastructure, facility improvement and professional recruitment
Institutional responsibility	-Ill prioritisation of investments due to limited internally generated fund
	-Rumours of victimization
	-Low frequency of training and sensitization programmes to re-orient and refresh on staff, student and public responsibilities

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RISK MANAGEMENT POLICY

Office of Risk Management

- The Chief Risk Officer (CRO), under the Vice-Chancellor, coordinate all risk management activities of the University.
- Develop and deploy the core enterprise risk management toolset including risk identification, assessment, prioritisation, mitigation, monitoring, reporting templates, and communication tools.
- Ensure compliance with the risk management requirements of the University's Financial Regulations and Governance, International Public Sector Accounting

4. Identification of risk areas in academics – personal observation and rapid appraisal



- **Operational areas:** Research, Consultancy
 - Student research
 - Faculty research
 - Lab and farm activity
- **Human resource:**
 - Recruitment
 - Promotion of staff
- **Marketing/Public relations:**
 - Communication plan
- **Finance**
 - Research projects funds disbursement and accounting
 - Financial management: ORID funds, donor funds use, logistics directorate and review boards

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Identification of risk areas in cybersecurity



Cybersecurity risk is the probability of exposure or loss resulting from a cyber attack or data breach on University of Ghana.

In UG, the potential loss or harm is related to technical infrastructure, use of technology or its reputation.

Due to increasing reliance on computers, networks, programs, social media and data as well as open internet ports UG is prone to:

- Ransomware. This is a form of malware (malicious software) that attempts to encrypt (scramble) your data and then extort a ransom to release an unlock code. ...
- Phishing. ...
- Data leakage. ...
- Hacking. ...
- Insider threat.

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Risk areas in cybersecurity- reducing the loss in UG

In order to reduce the loss:

- UG computing systems –
- Head and subsection-heads (security, admin/academic. Computing)
- Centre IT team leads
- Unit IT focal persons
- IT Security is charged with protecting the University's networks from malicious computer attacks, service interruptions, and network harassment

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Identification of risk areas in data privacy

Data privacy risks that could hinder UG:

- Accidental Sharing. Not all data loss events are the work of sophisticated cybercriminals. ...
- Overworked Cybersecurity Teams. ...
- Employee Data Theft. ...
- Ransomware. ...
- Bad Password Hygiene. ...
- Bribery. ...
- Too Much Data Access. ...
- Phishing Emails
- Overlooking the Data Protection Law

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Identification of risk areas in HR

- Recruitment – based on project activities (meritocracy or subjectivity?)
- Promotion of staff (meritocracy- publication)

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Risk areas in HR – Reducing the loss

- Set up the Ethics committees
- Other directorates
 - Careers and Counselling Centre
 - Finance Directorate
 - Health Service Directorate
 - Internal Audit Directorate (IAD)
 - Institutional Research and Planning Office (IRPO)
 - Physical Development & Municipal Services (PDMSD)
 - Logistics directorate
 - Office of the Legal Counsel
 - University of Ghana Computing Systems

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Identification of risk areas in financial compliance

Financial compliance risk is the threat posed to UG's financial and or reputational standing resulting from violations of laws, regulations, codes of conduct, or standards of practice.

The key areas identified:

- Damage to finance officer's reputation
- Improper scoping of activities
- Loop holes in monitoring
- Budgeting limitations
- Pre-audit sloppiness
- Regulatory and legislative changes
- Failure to innovate

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The way forward for SMRP

- Strengthen established units for ensuring compliance:
 - Office of Vice Chancellor
 - Office of Pro Vice Chancellor (Research, Innovation and Development)
 - Administrative directorates
 - Academic Boards
 - Several Standing and Ad-hoc committees
 - College, School, Departments, Halls of Residence



THANK YOU

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The Presenter



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